



**Capital Area Workforce Development  
Workforce Innovation and Opportunity Act Title I Local Area Plan**

**PY 2021**

**July 1, 2021 – June 30, 2022**

*Capital Area Workforce Development  
2321 Crabtree Blvd., Suite 200  
Raleigh, NC 27604*

## Local Title I WIOA Instructions

### Introduction

The Workforce Innovation and Opportunity Act (WIOA) requires each Workforce Development Board (WDB) to develop and submit, in partnership with the local chief elected official, a comprehensive four-year plan. Four-Year Plans were submitted in May 2020. In North Carolina, annually, each WDB is to provide updates to the Comprehensive Four-Year Plan. The WIOA Program Year (PY) 2021 Plan is to provide current information and be effective July 1, 2021 - June 30, 2022 and will include all current local policies. The local plan will support the alignment strategy described in the 2020-2024 NC Unified State Plan in accordance with WIOA Section 102(b)(1)(E), and otherwise be consistent with the NC Unified State Plan. North Carolina Governor Roy Cooper's mission is to ensure North Carolinians are better educated, healthier, and have more money in their pockets so that they can live more abundant, purposeful lives. The cornerstone to achieving this goal is to help people get good-paying jobs to support themselves and their families. Through NC Job Ready, Governor Cooper's workforce development initiative, North Carolina is working to build a stronger and better workforce. NC Job Ready is built on three core principles: education and skills attainment are the foundation to a strong and resilient workforce; an employer-led workforce development system is key to the growth of a highly skilled and job ready workforce; and local innovation is critical to a dynamic and effective workforce system. In addition, WDBs shall comply with WIOA Section 108 in the preparation and submission of the plan.

Through its strategic planning efforts, the NCWorks Commission developed a vision and mission for North Carolina's Workforce System. This vision is to build a job-ready workforce to strengthen North Carolina companies, attract new businesses, and ensure our state can adapt to a changing economy. The mission of the state's workforce development system is to ensure North Carolina has an innovative, relevant, effective, and efficient workforce development system that develops adaptable, work-ready, skilled talent to meet the current and future needs of workers and businesses to achieve and sustain economic prosperity, and to ensure North Carolinians are ready for the jobs of today and tomorrow by increasing access to education and skills training, fostering employer leadership to prepare workers, and supporting and scaling local innovation.

### Federal and State Requirements for Local Administration of the Workforce Innovation and Opportunity Act

Local Area WDBs should reference the Workforce Innovation and Opportunity Act, Public Law 113-128, enacted July 22, 2014. Additional information is available at the U.S. Department of Labor Employment and Training Administration website: [www.doleta.gov](http://www.doleta.gov).

North Carolina policy information is available at <https://www.nccommerce.com/jobs-training/workforce-professionals-tools-resources/workforce-policies>. Local Area WDBs may reference the North Carolina [WIOA Unified State Plan](#).

### Plan Submission and Due Date

The Local Area Plan must be submitted through Workforce Information System Enterprise (WISE), the Division's web-based financial system. ***The due date is May 7, 2021.*** Each attachment must be submitted

and labeled separately in either Word or PDF format. Attachments not submitted separately will not be accepted. Forms requiring original signatures may use DocuSign® and may be uploaded in WISE. If original signatures are obtained, forms must be mailed to the Local Area WDB's assigned Planner at: N.C. Division of Workforce Solutions, 4316 Mail Services Center, Raleigh, NC 27699-4316.

## I. WDB Overview

*The Local Area WDB Overview provides important contact information that is used throughout the Division. It is important that this section remain current during the Program Year. Updates should be submitted to the local Board's assigned Division Planner when changes occur.*

*In the first section and anywhere else in the Plan, please include the appropriate salutation along with Titles such as Dr., The Honorable, Chairperson, and Judge. Thank you.*

1. Provide the Local Area's official (legal) name as it appears on the local Consortium Agreement established to administer the Workforce Innovation and Opportunity Act (WIOA) or, if not a Consortium, in the formal request for Local Area designation.

### **Capital Area Workforce Development**

If the Local Area is a Consortium, attach a copy of the current Consortium Agreement. Name document: Local Area Name Consortium Agreement.

#### **Attached document: Capital Area Workforce Development Consortium Agreement**

2. Provide the Local Area's Workforce Development Board's official name.

### **Capital Area Workforce Development**

If the local Board officially changed its name, please attach a copy of the Status of Incorporation, attorney's letter, or other document.

3. Provide the name, title, organization name, address, telephone number, and e-mail address of the Workforce Development Director.

<b>Name:</b> Pat. E. Sturdivant	<b>Title &amp; Salutation:</b> Executive Director; Ms.
<b>Organization:</b> Capital Area Workforce Development Board	<b>Address:</b> 2321 Crabtree Blvd., Ste. 200 Raleigh, NC 27604
<b>Phone number:</b> 919-856-6048	<b>Email address:</b> pat.sturdivant@wakegov.com

4. Provide the name, elected title, local government affiliation, address, telephone number, and e-mail address of the Local Area's Chief Elected Official.

<b>Name:</b> Matthew M. Calabria	<b>Elected Title &amp; Salutation:</b> Chairman, Wake County Board of Commissioners; The Honorable
<b>Government:</b> Wake County	<b>Address:</b> PO Box 550, Raleigh, NC 27602

<b>Phone number:</b> 919-856-5576	<b>Email address:</b> matt.calabria@wakegov.com
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5. Provide the name, title, business name, address, telephone number, and e-mail address of the individual authorized to receive official mail for the Chief Elected Official, if different than question 3.

<b>Name:</b> Yvonne Gilyard	<b>Title &amp; Salutation:</b> Clerk to the Board; Ms.
<b>Business Name:</b> Wake County Government	<b>Address:</b> PO Box 550, Raleigh, NC 27602
<b>Phone number:</b> 919-856-7573	<b>Email address:</b> Yvonne.gilyard@wakegov.com

6. Provide the name, address, telephone number and email address of the Administrative/Fiscal Agent responsible for disbursing Local Area WIOA grant funds. This is the entity responsible for the disbursal of grant funds. [WIOA Sections 107(d)(12)(B)(i)(III) and 108(b)(15)].

<b>Name:</b>	<b>Title &amp; Salutation:</b>
<b>Organization:</b> Wake County Government	<b>Address:</b> PO Box 550, Raleigh, NC 27602
<b>Phone number:</b> N/A	<b>Email address:</b> N/A

7. Provide the name, title, organization name, address, telephone number and e-mail address of the Administrative/Fiscal Agent's signatory official.

<b>Name:</b> Pat E. Sturdivant	<b>Title &amp; Salutation:</b> Executive Director; Ms.
<b>Organization:</b> Wake County Government	<b>Address:</b> 2321 Crabtree Blvd., Ste. 200, Raleigh, NC 27704
<b>Phone number:</b> 919-856-6048	<b>Email address:</b> pat.sturdivant@wakegov.com

8. Attach a copy of the Administrative Entity/Fiscal Agent's organizational chart with an 'effective as of date'. Name document: Administrative Entity Name Organizational Chart.

**Attached document: Wake County Government Organizational Chart**

9. Provide the Administrative Entity's Data Universal Numbering System (DUNS) number and assurance that the 'System for Award Management' (SAM) status is current. Administrative Entities must register at least annually on the SAM website [www.sam.gov](http://www.sam.gov) to receive Federal funding [required by Federal Acquisition Regulation (FAR) Section 4.11 and Section 52.204-7].

**DUNS#: 1273801370000**

**Capital Area's SAM account is current.**

10. Provide the name of the Local Area WDB's Equal Opportunity Officer who shall be responsible for assuring that discrimination does not occur in its programs or projects. ([PS 07-2018](#))

**Jessica Locklear McLeod, Workforce Development Specialist**

*Composition of the Local Area WDBs shall comply with WIOA Section 107. Local Area WDB Membership Requirements have been provided a reference at [Appendix D](#).*

11. Provide each Local Area WDB members' name, business title, business name and address, telephone number and e-mail address on the provided form. The first block is reserved to identify the Board chairperson ([form provided](#)). Indicate all required representation and indicate if vacant. [WIOA Section 107(b)(2)]. Name document: Local Area Name WDB List. See [Appendix D](#) for Local Area WDBs' membership requirements.

**Attached document: Capital Area WDB List**

**Note:** Check the block on the form provided certifying compliance with required WIOA local Area WDB business nomination process.

If a Board list is not in compliance, please provide that list and state the expected date that a compliant list will be provided.

Use and identify categories as indicated on the form. Do not change required category names except to clarify those with multiple categories and do not count those names twice.

12. Briefly describe how the Local Area WDB works with local elected officials to ensure viable local business representatives are appointed to the local Area WDB.

**Capital Area has a Consortium Agreement between Wake and Johnston Counties which specifies that the Chairman of the Wake County Commissioner's Board serves as the Consortium's Chief Elected Official. The Chief Elected Official has the appointing authority for members of the Workforce Development Board and ensures that viable business representatives comply with WIOA requirements.**

*The Chief Elected Official must establish by-laws consistent with applicable local procedures, state and federal laws to include WIOA Final Rules and Regulations 679.310(g). The Board shall submit by-laws that clearly demonstrate all WIOA and North Carolina required elements described in [Appendix A](#). Additional by-laws guidance/template and electronic meeting formats have been provided in [Appendix B](#) and [Appendix C](#).*

13. Attach the WDB by-laws including date adopted/amended. By-laws must include the required elements found in [Appendix A](#). Name document: Local Area Name WDB by-laws.

**Attached document: Capital Area WDB By-Laws**

14. To demonstrate that the attached WDB by-laws comply, complete [By-Laws Required Elements – Crosswalk chart](#).

**Attached document: Capital Area WDB By-Laws Required Elements – Crosswalk chart**

*Sunshine Provision - The Local Board shall make available to the public, on a regular basis through electronic means and open meetings, information regarding the activities of the Local Board, including information regarding the Local Plan prior to submission of the Plan, and regarding membership, the designation and certification of one-stop operators, and the award of grants or contracts to eligible providers of youth workforce investment activities, and on request, minutes of formal meetings of the Local Board. [WIOA Section 107(e)]*

15. Describe how the WDB will make copies of the proposed Local Area Plan available to the public. If stating the Plan will be on the Board website, provide link. [WIOA Section 108(d)]

*Public Comment - The WDB shall make copies of the proposed Local Area Plan available to the public through electronic and other means, such as public hearings and local news media; allow for public comment not later than the end of the 30-day period beginning on the date the proposed plan is made available; and, include with submission of the Local Area Plan any comments that represent disagreement with the Plan. [WIOA Section 108(d)]*

**Capital Area posted the plan on the web site at <http://www.capitalareanetworks.com> on April 30, 2021 with comments and/or suggestions due back by May 29, 2021. After the comment period is over, Capital Area will send in any comments that represent disagreement with the Plan.**

16. Attach a copy of the Local Area WDB's organizational chart with an 'effective as of date.' Include position titles. Name document: Local Area WDB Name Organizational Chart.

**Attached document: Capital Area Workforce Development Organizational Chart**

17. Complete the following chart for the PY2021 Local Area WDB's planned meeting schedule to include time, dates, and location. *[Expand form as needed]*

**Note:** All Local Area WDB meetings shall be held in accessible facilities. All materials and discussions should be available in an accessible format upon request as indicated under North Carolina specific requirements detailed in [Appendix A](#).

Date	Time	Location (include address and room #)
September 23, 2021	8:30 am – 10:30 am	Zoom meeting
December 2, 2021	8:30 am – 10:30 am	Zoom meeting

March 24, 2022	8:30 am – 10:30 am	NCWorks Career Center at Tillery 1830 Tillery Place Raleigh, NC 27604 Boardroom
June 23, 2022	8:30 am – 10:30 am	NCWorks Career Center at Tillery 1830 Tillery Place Raleigh, NC 27604 Boardroom

18. Attach a copy of the signed ‘Certification Regarding Debarment, Suspension, and other Responsibility Matters – Primary Covered Transactions’ ([form provided](#)). [Required by the Regulations implementing Executive Order 12549, Debarment and Suspension, 2 CFR 180, participants’ responsibilities.] Name document: Local Area Name Certification Form.

**Note:** Document must have the original signature or DocuSign® (or similar) of the Administrative Entity signatory official. If using original signatures, mail the signed [Certification form](#) to the assigned Division Planner at N.C. Division of Workforce Solutions, 4316 Mail Service Center, Raleigh, NC 27699-4316.

**Attached document: Capital Area Workforce Development Certification Form**

19. Submit the original WDB and Chief Elected Official (CEO) Signatory Page ([form provided](#)), bearing the original signatures of the Chief Elected Official(s) and the WDB Chairperson, and attach a copy of the signed document if not using DocuSign® (or similar). Name document: Local Area Name Signatory Page.

**Note:** If using original signatures, mail the [Signatory Form](#) to the assigned Division Planner at N.C. Division of Workforce Solutions, 4316 Mail Service Center, Raleigh, NC 27699-4316.

**Attached document: Capital Area Workforce Development Signatory Page**



## II. Local Area Strategic Planning

*The Local Area WDB is required to keep the Plan up to date and fluid as events and funding changes occur which may require local area responses. Local Area Plans will require an annual modification. North Carolina has implemented integrated services delivery with an enhanced emphasis on regional planning and services. This approach is consistent with federal, state and regional initiatives and opportunities. North Carolina's workforce development system includes businesses, organizations, agencies, employed and unemployed persons, training and educational institutions, adults, and youth. To enhance services to all constituents, aligning workforce development planning and services with regional labor markets is both effective and productive. North Carolina Governor Roy Cooper's NC Job Ready Initiative is built on three core principles: education and skills development are the foundation to a strong and resilient workforce; an employer-led workforce development system is key to the growth of a highly skilled and job ready workforce; and local innovation is critical to a dynamic and effective workforce system.*

*Locally, WDBs are creatively working to address the new challenges of job growth and expansions. Boards continue to have a shortage of middle-skilled level workers. As a Board and workforce system, Boards are leveraging resources and engaging in new partnerships that include the business community, economic developers, chambers of commerce, NCWorks Career Centers, community colleges, public schools, and community partners. Working together, Boards are paving the way for an even stronger economy through sector partnerships and career pathways initiatives.*

1. Provide a description of the WDB's strategic vision and goals for preparing an educated and skilled workforce including youth and individuals with barriers to employment. Include goals relating to the performance accountability measures based on primary indicators of performance in order to support regional economic growth and economic self-sufficiency. [WIOA Section 108(b)(1)(E)]

**Capital Area Workforce Development Board (CAWDB) considers itself a public-private partnership that focuses on economic development by ensuring the local workforce has the skills, training, and education to meet the needs of local employers. The Capital Area Workforce Development Board oversees workforce solutions in Wake and Johnston counties designed to serve businesses and individuals of all ages. CAWD believes in economic development through workforce excellence.**

**From an operational perspective, Capital Area ensures that all career centers follow established board processes and protocols to ensure ongoing customer services. Whenever a state policy or state process is implemented, Capital Area ensures that a local policy is written to include state requirements as well as outline any local area additional requirements.**

**In September 2020, the Capital Area Workforce Development Board met for an interactive strategic thinking session intended to revisit its 2019 - 2022 Strategic Plan to support its mission and vision:**

**The MISSION of the Capital Area Workforce Development Board is to create a highly effective workforce system. This system will provide employers with productive, skilled workers and offer citizens training and employment opportunities that promote job satisfaction and economic stability. The accomplishment of this mission will enable all citizens to contribute to the prosperity of the community.**

**The VISION is Capital Area Workforce Development Board is the leader in providing innovative solutions to match workforce skills with employer needs.**

**The purpose of the strategic thinking session was to ensure the priorities identified in 2019 were still relevant and to determine if strategic goals needed to be changed in the wake of COVID. The strategic plan is a tool that is useful in guiding day-to-day decisions and assist the Board in measuring progress and adjusting as deemed appropriate. The Board decided that the strategic goals set in 2019 are still relevant even with COVID and determined that only a few tactical elements of the plan would change such as face to face meetings and gatherings with employers and job seekers.**

**Ultimately the three GOALS that were established remain for the current year:**

- 1. Assist the untapped workforce in gaining the skills, competencies and credentials required for in- demand, family-supporting careers.**
- 2. Increase brand awareness with our stakeholders.**
- 3. Align demand sector initiatives with workforce system and economic development needs.**

**CAWDB's committee structure is based on the Board's strategic priorities. Each of the Committees is assigned one of the GOALS and charged with recommending to the full Board a final GOAL STATEMENT, identifying STRATEGIES and establishing SUCCESS INDICATORS for their respective GOAL. The three board committees and their high-level strategies are listed below:**

**Committee 1 – Customer Success**

<b><i>Goal</i></b>	<b>Assist the untapped workforce in gaining the skills, competencies and credentials required for in-demand, family-supporting careers.</b>
<b><i>Strategies</i></b>	<ul style="list-style-type: none"><li><b>• Establish a service delivery matrix for the untapped workforce population.</b></li><li><b>• Design and pilot promising practices targeting the untapped workforce population.</b></li><li><b>• Implement service strategies targeting the untapped workforce population.</b></li></ul>

## Committee 2 – Outreach Committee

<b><i>Goal</i></b>	<b>Increase brand awareness with our stakeholders</b>
<b><i>Strategies</i></b>	<ul style="list-style-type: none"><li>• <b>Educate and inform local, state, and federal elected officials on the workforce development system’s purpose, services and needs.</b></li><li>• <b>Promote awareness of CAWD’s purpose and services to businesses.</b></li><li>• <b>Create a mission ambassador program of individuals who value workforce development and help to spread the word.</b></li></ul>

## Committee 3 – Sector Strategies

<b><i>Goal</i></b>	<b>Align demand sector initiatives with workforce system and economic development needs</b>
<b><i>Strategies</i></b>	<ul style="list-style-type: none"><li>• <b>Establish industry advisory groups that will serve as subject matter experts on evolving and critical workforce needs for our region’s high growth in-demand sectors.</b></li><li>• <b>Identify existing industry led workforce initiatives and unite to increase knowledge and align partner initiatives.</b></li><li>• <b>Initiate and formalize a coordinated and collaborative partner network that is responsive to the needs of business and industry.</b></li></ul>

2. Provide a description of how the WDB, working with the entities carrying out core programs, will expand access to employment, training, education and supportive services for eligible individuals, particularly eligible individuals with barriers to employment. Include how the WDB will facilitate the development of career pathways and co-enrollment, as appropriate, in core programs, and improve access to activities leading to a recognized postsecondary credential including a credential that is an industry-recognized certificate or certification, portable, and stackable. [WIOA Section 108(b)(3)]

**The WIOA fosters new opportunities for innovation and collaboration across Federal, State, and local agencies, private organizations, and businesses. Capital Area Workforce Development Board will continue to meet with our core partners to:**

- **Implement WIOA with other core programs, including the design of the One-Stop Career Center System and the integrated performance accountability system**
- **Efficiently provide services**
- **Implement universal design principles into the workforce development system’s facilities and operations**
- **Establish and expand partnerships with community rehabilitation service providers and businesses**
- **Continually review services, programs, and partnerships of core WIOA programs to reduce duplication of efforts, as well as to identify the gaps between programs and services**

- **Implement continuous improvement measures**
- **Meet with partners regularly to communicate, strategize and execute agreed upon methods of meeting the needs of individuals with barriers to employment, as well as recruitment of targeted individuals**
- **Identify and implement any best practice opportunities to expand services/programs to meet ongoing needs of individuals with disabilities.**

**Over the last few years, CAWDB has collaborated with its educational partners to increase its understanding of career pathways and strategically align its resources to support short-term training options focused on middle career occupations in high growth industries. Career Advisors intentionally work with individuals to identify career choices that offer competitive wages and opportunities for advancement. Our One Stop Operator regularly reviews its training opportunities and analyzes completion and placement rates to ensure training meets the needs of industry partners, and that career seekers are obtaining the skills needed to be competitive. CAWDB has convened education and business partners to develop customized training options if a training need is identified. CAWDB also recognizes the need to cultivate community collaborations to address the need for additional supports for eligible individuals.**

**The board continues to work with a diverse network of community providers who have resources available to address housing, mental health and substance abuse, and legal needs. Many of CAWDB communities have significant resources to assist with these needs, however, in the region's most rural areas, addressing these needs may be challenging and will require the board to advocate and encourage collaborative discussion to find solutions to support employment and training efforts.**

**CAWDB will continue to provide the highest quality of service to job seekers and businesses by addressing these challenges through well-coordinated approaches with its partners (mandatory and others) at the local level. Access to services will be enhanced through the use of technology. Examples of enhanced technology include: an active Call Center, provisions of remote services for both the employer and customer, via virtual career fairs and platforms for customer and employer services. Additionally, CAWDB will continue to explore creative partnerships with community organizations and other service providers, such as the Job Re-entry program, for those that have criminal records, etc. While access will be improved for all job seekers, the provision of services and training will be focused on those most in need and hardest to serve. Career services are customer-driven and assist the individuals in finding and retaining gainful employment. These services focus on training related to careers aligned with the skills needs of the area's in-demand employment opportunities. CAWDB aims to connect individuals with the following in-demand industry sectors using up to-date Labor Market Information (LMI):**

- **Healthcare,**
- **Advanced Manufacturing,**
- **Information Technology, and**
- **Skilled Trades.**

**“Job Ready” recipients in Capital Area NCWorks Career Centers will be co-enrolled in WIOA (Title I) and Wagner-Peyser (Title III) as appropriate, and there is an increased emphasis in our service provider contracts on industry-recognized credentials that enhance movement along established career pathways.**

**Additionally, CAWDB is an active partner in the work of myFUTURENC recognizing that the vast majority of new jobs will require education beyond a high-school diploma and supports the work by promoting North Carolinians in obtaining a high-quality post-secondary degree. The CAWDB partners with the two (2) local community colleges, Wake Technical Community College and Johnson Community College, which will assist the Board in moving forward with designated career pathways that lead to employer recognized credentials.**

3. Describe the WDB’s use of initiatives such as incumbent worker training programs, on-the-job training programs, customized training programs, industry and sector strategies, career pathways initiatives, utilization of effective business intermediaries, and other business services and strategies, designed to meet the needs of employers in the corresponding region in support of the regional strategy to meet the needs of businesses. [WIOA Section 108 (b)(4)(B)]

**Capital Area’s Business Engagement and Business Services activities are built, foundationally, around the expressed needs and demands of the business community. The workforce board has traditionally accomplished our primary understanding of business needs through roundtable meetings, direct business meetings, and business surveys, as well as leveraging local and regional data via EMSI, ONet, NC Commerce’s LEAD, and other data resources.**

**Our workforce board will continue to convene and be a part of meetings with area Business Resource partners, such as economic development and chambers, in which we will strategically identify joint business visits as well as other opportunities for collaboration.**

**CAWD currently uses incumbent worker training programs, on-the-job training programs, customized training programs, industry and sector strategies, career pathways initiatives as part of its business services portfolio.**

**In program year 2021, CAWD plans to put more emphasis on apprenticeship as a work-based learning strategy. CAWD’s business engagement director’s work plan includes a goal to promote apprenticeship with area employers and increase the number of businesses that establish apprenticeship programs. CAWD will also continue to seek outside funding to support more work-based learning resources.**

**CAWD has also decided to put more focus on Entrepreneurship and plans to develop an end-to-end process that identifies resources and training to support job seekers interested in starting their business.**

4. Provide a description of how the WDB coordinates workforce investment activities carried out in the Local Area with the provision of Adult Education and Literacy activities. [WIOA Section 108(b)(13)]

**Capital Area will continue to work closely with the agencies that provide Adult Education and Literacy activities in the local area including: Wake Technical Community College, Johnston Community College, and Triangle Literacy Council. These organizations are included in our quarterly partners meetings where information is shared and common workforce challenges are addressed. Partner meetings will continue on a quarterly basis to ensure a continued dialogue takes place regarding the coordination and strategic planning of service provision among all of these agencies. Capital Area will also continue to convene these agencies to provide training, additional information, and technical assistance as needed.**

**Capital Area currently has a contract with Wake Technical Community College Basic Skills to fund an adult basic skills instructor specifically for WIOA NextGen participants. As well, for program year 2021, Capital Area will partner with Wake Tech basic skills to pilot a new service delivery model for our youth program which focuses on apprenticeships. CAWD and Wake Tech will use its formal referral process to refer students between programs for the pilot. Implementation is planned for July 2021.**

5. Provide a description of cooperative agreements, as defined in WIOA Section 107(d)(11), between the WDB and other local entities described in Section 101(a)(11)(B) of the Rehabilitation Act of 1973 (29 U.S.C. 721(a)(11)(B)) with respect to efforts that will enhance the provision of services to individuals with disabilities and to other individuals, such as cross training of staff, technical assistance, use and sharing of information, cooperative efforts with employers, and other efforts to include cooperation, collaboration, and coordination. [WIOA Section 108(b)(14)]

**Capital Area will continue to work with the local Vocational Rehabilitation (VR) offices in Wake and Johnston Counties and other local entities to ensure individuals with disabilities have access to services at NCWorks Career Centers and NextGen Centers.**

**Capital Area will also work with VR to replicate cooperative agreements developed at the state level. These agreements will include provisions of integrated and cross training of staff; technical assistance; the availability and benefits of, and information on, eligibility standards for, vocational rehabilitation services; and the promotion of equal, effective, and meaningful participation by individuals with disabilities in workforce investment activities; use of linked electronic network systems for information, labor market information, job openings, career planning, and workforce investment activities; use of customer service features such as common intake and referral procedures, customer databases, and resource information; establishment of cooperative efforts with employers to facilitate job placement.; and other activities that employers determine to be appropriate; identification of staff roles, responsibilities, and available resources, and specification of the financial responsibility of each component of the statewide workforce investment system with regard**

to paying for necessary services (consistent with State law and Federal requirements); and specification of procedures for resolving disputes among such components.

Capital Area will also coordinate with the required partners to implement a service strategy that best meets the needs of customers and avoids duplication of service whether or not they are on-site at the Center. Communication and referral processes will be formalized in a manner that is stream-lined and efficient for all parties and to better serve the customers.

The Capital Area Executive Director is part of the “Disability:IN North Carolina” steering committee and will continue to provide leadership and guidance in ensuring that career centers have access to relevant information. The Director is currently working with this team to identify training needs for career centers across the state related to serving individuals with disabilities.

6. Provide a brief description of the actions the WDB will take toward becoming or remaining a high-performing Board, consistent with the factors developed by the NCWorks Commission. [WIOA Section 108(b)(18)]

Other than commission measures developed by the commission, there are no guidelines for high-performing workforce boards. Once the NCWorks Commission develops criteria for high-performing workforce boards, Capital Area Workforce Development will meet all the criteria outlined.

However, even without the criteria, Capital Area will continue to be a high-performing board by meeting or exceeding federal measures and implementing its strategic plan which focuses on addressing workforce issues in the Capital Area.

Capital Area Workforce Development Board continuously measures itself against its principles for a high-performing board:

- Be the community’s “champion” for workforce development
- Be the catalyst for creating a diverse and higher quality workforce
- Develop a strategic vision for the local and regional workforce issues
- Convene the relevant organizations and individuals to address workforce issues
- Create and promote workforce policy
- Be an accountability and change agent

Capital Area has an extensive monitoring and quality program, included as an attachment with this plan, that helps to ensure that the board is meeting all requirements and providing quality services. The monitoring program ensures the board:

- Meets state monitoring requirements with the goal of collecting sufficient data to:
  - Review WIOA activities

- Analyze how services are provided through the NCWorks Career Center(s)
- Determines any compliance issues in one or more of the WIOA funding streams

**Centers will have at least one review a year. Additional reviews are contingent on center designation (Comprehensive, Tier 2, Specialized or Partner sites) and past performance.**

**Capital Area Workforce Development Board will continue to focus on its core principles which epitomizes the work of a high-performing board:**

- Build robust business connections and supporting networks
- Enhance job seeker services and the One-Stop System
- Enhance youth service and resources

7. Provide details on how the region is prepared to respond to serve victims of national emergencies or weather disasters and utilize special grants efficiently.

**As a region, we stand ready to support our customers, businesses, and jobseekers in the case of a national emergency.**

**Capital Area has been fortunate with the last few hurricanes and has not had to access additional dollars to support recovery. For Wake and Johnston Counties, the county governments have acted swiftly and had the necessary resources to address areas impacted by hurricanes. CAWD's role has been to provide continued access to workforce services and information to our impacted customers. In the case of COVID, CAWD continued to provide services virtually and was one of the first boards to move forward with virtual services. The fact that we already had a contact center and virtual process in place made us more than ready to continue to provide services virtually. CAWD also invested, through County CARES funds, in virtual career fair software to continue to provide recruitment services for CAWD businesses.**

**For future emergencies, CAWD has the ability to act swiftly whether it be to provide transitional jobs using its current work experience process or on-the-job training process as well as leverage resources through partners such as Wake County and Johnston County Human Services and Dorcas Ministries. Our Contact Center will allow us to provide effective services virtually.**



### III. NCWorks Commission

*The NCWorks Commission recommends policies and strategies that enable the state's workforce and businesses to compete in the global economy.*

*The Commission is designated as the state's WDB under the federal Workforce Innovation and Opportunity Act. Led by a private sector chair, the 33-member Commission includes representatives from the business community, heads of state workforce agencies, educators, and community leaders. All members are appointed by the Governor.*

*Mission of the NCWorks Commission: To ensure North Carolina has an innovative, relevant, effective, and efficient workforce development system that develops adaptable, work-ready, skilled talent to meet the current and future needs of workers and businesses to achieve and sustain economic prosperity; and to ensure North Carolinians are ready for the jobs of today and tomorrow by increasing access to education and skills training, fostering employer leadership to prepare workers, and supporting and scaling local innovation.*

*Employer-led job training programs have the best career outcomes. Employers know best what skills their workers need, and employer involvement is key for workforce development and job readiness. Businesses that invest in developing North Carolina's workforce will benefit from well-trained employees and a more innovative and diverse workplace that better reflects its community.*

1. Briefly describe how the Local Area WDB engages with local employers and informs them of the wide array of business services offered.

**To ensure local employers are aware of the wide array of business services offered, Capital Area Workforce Development business services staff engage in outreach activities with local employers. These engagements include, but are not limited to, conducting standard promotional and follow-up calls, participating in employer-focused events at the local chambers of commerce, attending networking events, participating in job fairs and career expositions, engaging in strategic planning along with economic development, and by leveraging social media platforms such as LinkedIn and Facebook. Additionally, Capital Area works to maximize the effectiveness of the NCWorks system to identify employers that could benefit from business services. More specifically, business services staff generate NCWorks employer-specific reports to quickly identify both newly registered and returning employers using NCWorks to enter job openings and identify new talent. Business services staff then use these reports to plan targeted outreach to the employers that fall within their assigned territories to assess their individual business needs and provide information on available business services.**

2. Briefly describe how the Local Area WDB plans to increase NCWorks brand awareness (consult NCWorks Commission new 2021 Strategic Plan).

**The NCWorks Commission strategic plan states: “Support increased awareness, communication, accessibility, and understanding of the “NCWorks” brand through building a broad brand awareness aimed at attracting a large and diverse customer base, promoting a unity of effort to increase accessibility and user-friendly navigability. CAWD will support strategies and programs developed by the NCWorks commission once they are developed. In addition, CAWD will continue to promote NCWorks through social media platforms; participate in community events; issue press releases for special programs; and, participate in industry and economic development events. Starting in PY21, CAWD will initiate a CAWD Workforce video blog to highlight NCWorks services and benefits as well as other board priorities.**

3. Describe how the Local Area WDBs and partners identify and address local challenges for job growth and business expansions?

*Communities across North Carolina are developing great local models of workforce development. North Carolina should build on those successes and replicate them in more places to continue building and expanding innovative solutions.*

**The Capital Area region has been recognized as one of the strongest economies in the nation and a top market for new and existing industry investments. This success is due in large part to the collaboration efforts that exist between our private and public sectors. This collaboration is thriving and evident throughout our partner ecosystem - comprised of economic and workforce development, education, government, chambers of commerce and community partners. This partner network is led and shaped by business and industry and shares a common goal of driving growth and prosperity for our community and citizens.**

**Capital Area Workforce Development Board recognizes the importance and value of frequent and meaningful engagement with our business community and partner agencies. This ensures we are continually aligning our services and initiatives to the demands of the market and addressing local needs. These opportunities to network, share and learn are vital and include events such as quarterly partner meetings, industry roundtable discussions, 1:1 customer meetings and signature regional events. The strength of these partnerships that have been built and fostered over the years have resulted in our ability to be proactive and innovative in our solutions and service delivery.**

**As a collective partner network, we rely heavily on the use of data to help us make informed and appropriate decisions related to priorities, programs, funding and initiatives. In order to fully understand opportunities and challenges that exist for our market, we must consider timely and relevant data points such as growth in industries and occupations, educational attainment, skills and credentials of value and wage trends. This baseline knowledge is critical to our success. A key example of this approach and collaborative engagement is the Regional Workforce Study.**

**In 2017 and 2020, a Regional Skills Analysis was conducted by RTI in partnership with Capital Area Workforce Development, Wake County Economic Development, and the City of Raleigh. This study surveyed over 500 (2017) and 700 (2020) businesses across 15 counties and 10 industry sectors to uncover projected growth, skills, and education requirements and workforce challenges.**

**The 2020 study revealed several key findings that were critical for our board and partner network to recognize: 57% of companies surveyed expected to grow in the next 3 years, resulting in between 17,000-32,000 new jobs – not considering new economic development growth that was likely to also be entering our market. Companies confirmed their greatest source of talent is through friends and networks, highlighting the challenges many in our region’s workforce face with barriers to access these industries and occupations. The research also identified emerging non-traditional soft skills: Survey respondents noted other soft skills such as empathy and acceptance of diversity are prioritized at the same level as other soft or technical skills. Similarly, to the survey results from 2017, businesses across all industries still struggle to find employees that have responsibility/ self-discipline, the ability to think critically, and to take initiative.**

**By coming together as a regional partner collaborative to conduct this study and engage business and industry for their expertise, we were able to uncover immediate and pressing workforce needs as well as identify opportunities for future planning and development. Results from the study have been referenced in grant opportunities, curriculum discussions, economic development strategic plans, and sector partnership discussions. Private and public partnerships have been created and strengthened as a result of this data gathering and alignment of services.**

**Regional efforts such as our workforce study have demonstrated the importance and value of the partner network. Without the full support of our business community, economic developers, chambers of commerce, NCWorks Career Centers, community colleges, public school systems, and community partners, we would not be able to obtain these critical insights and reach such a broad and diverse audience.**

**Our region’s growth trajectory and tight labor market requires that we keep collaboration and partnerships a strategic priority. Regularly engaging at a local level with business leaders and community partners helps us stay on top of evolving needs while fostering innovation, diversity and flexibility in our approach.**

- 4. Briefly describe how the Local Area WDB provides new and innovative solutions to support growth of the local workforce system.**

**Capital Area Workforce Development is always looking for ways to provide innovative solutions for the workforce challenges our businesses and jobseekers face. The following efforts are just a few of the many that Capital Area has initiated over the past few years:**

- **Contact Center – This was initiated in response to jobseekers in our more rural areas, as well as individuals with disabilities who had barriers to in-person visits to the career center. Capital Area’s contact center is called “Access NCWorks”. It is an omnichannel solution that boasts a comprehensive Self-Service Knowledge Base (GUIDE), Chat, Talk, and Web Form options to customers for a virtual customer service experience to:**
  - reach unemployed and underemployed citizens with access barriers to NCWorks Career Center services
  - provide high quality career services through a virtual multi-channel setting
- **Virtual Reality (VR) training for youth – Capital Area uses Virtual Reality modules to engage youth in technology through learning opportunities that simulate life experiences. Our modules, custom designed through our partnership with VR developer NSENA, create a safe learning experience that empowers instructors to provide immediate feedback and coaching. Modules are layered, allowing youth to experience them multiple times while having a different encounter each time. We’re currently utilizing VR for mock interviews and conflict resolution to not only simulate real life interactions but to also prepare young adults to secure employment in a competitive job market. For program year 2021, CAWD will expand the offerings made available with the VR platform.**
- **VOS Greeter - NCWorks Career Centers are using the NCWorks Online VOSGreeter in the Talent Engagement Function. VOSGreeter is an automated check-in system designed to greet customers as they walk through the door. It is especially useful for Career Center staff because it streamlines the process of connecting customers with the appropriate staff. With VOSGreeter, staff serve customers more quickly and efficiently, whether it be a first-time walk-in, or a large group arriving for a scheduled workshop. The NCWorks Career Centers use a dedicated touch screen kiosk that customers use to simply select a reason for their visit and check in. VOSGreeter immediately notifies the designated staff member(s).**
- **Career Resource Area (CRA) Tablets - In all Capital Area career center locations, staff in the Talent Engagement Function (TE) are using Tablets to more efficiently service customers. The Tablets allow staff the flexibility to serve customers, enter case notes and capture activities as they occur. Staff can also readily track a customer’s progress to ensure timely movement through the center flow. The tablets also eliminate long waiting lines as staff can move through the line instead of waiting for customers to check in at the reception desk. The Tablets are also used for remote events, such as hiring and community events, which allows staff to register job seekers into NCWorks and enter data from remote locations.**

- **CAWD received CARES Act funding from Wake County to support Workforce Development. CAWD initiated the following programs to continue building and expanding innovative solutions.**
    - **Wake County Emergency Youth Employment COVID-19 which included dollars for Cyber security training for youth, electrical apprenticeship opportunities, and sector boot camps.**
    - **Reopen Wake included incumbent workforce funding for businesses to open safely.**
    - **Wake Partners – Community Based organization grants which included providing workforce grants to 14 community-based organizations to expand their services during the COVID-19 environment.**
    - **Wake Cares which included Housing and Emergency Support for Returning Citizens**
  - **For program year 2021, CAWD will pilot a NCWorks NextGen Apprenticeship Prep program. The primary focus of this program is to move more out of school youth into apprenticeship opportunities.**
5. Briefly describe how the Local Area WDB plans to enhance work-based learning projects to a broader range of local employers.

**Capital Area’s Business Services Team will continue to promote the value and benefit of work-based learning during their meetings with employers and in business presentations. Because work-based learning encompasses Work Experience, OJTs, Incumbent Worker and Apprenticeship and each employer situation can be different, Capital Area’s approach to serving businesses is a solutions-based approach tailored to meet the employer’s needs.**

**Capital Area’s Business Services Team is structured by geographical areas that cover both Wake and Johnston Counties. This allows for each Business Consultant to have an equitable amount of businesses and industries to service and target. Additionally, specific goals for each Business Consultant to execute work-based learning contracts are a normal part of the business services team’s work plans. One of the key strategies for using work-based learning is for employers experiencing difficulties in filling vacancies. Work-based learning allows employers to fill their openings with willing and ready candidates and mitigate some of the costs associated with bringing on a new hire.**

**For program year 2021, CAWD plans to hire a second business engagement manager at the board level to lead apprenticeship outreach and communication with regional businesses. This position will work closely with NCApprenticeship to identify apprenticeship opportunities for the new CAWD NextGen program design.**

#### IV. NCWorks Career Centers

*North Carolina's workforce system includes multiple agencies, programs, and funders. Collaboration, policy alignment, systemic communication, integration, and modernization of the workforce system will ensure a strong and healthy workforce system that can adapt to a changing economy.*

*For any documents that are missing or are unnecessary based on the response provided, please state, "No document is loaded and/or it will be loaded by the XX date".*

1. Identify NCWorks Career Center location(s) including Tier 1, Tier 2, Affiliate, and Specialized sites; On-site partners; how NCWorks Career Center operator(s) are designated; provider(s) of WIOA career services and method of selection; whether youth services provider is on-site and, if so, youth services offered. Use the NCWorks [Career Center Chart](#). [WIOA Section 121(b)(1)(A) and (b)(1)(B)] Name document: Local Area Name Career Centers.

##### **Attached Document: Capital Area Career Centers**

2. Provide a brief description of how Career and Training Services are provided. [WIOA Section 121(e), 134(c)]

**Capital Area provides services to customers through an Integrated Service Delivery (ISD) model in the NCWorks Career Centers. This model better serves our citizens and businesses by responding to customer needs, not just program requirements. It creates a seamless delivery system and improves customer services. The ISD model assists people in accessing the career and training services they need to get back to work and helps businesses connect with qualified workers.**

**Through the ISD model, all services are organized around three interrelated functions: Talent Engagement, Talent Development, and Talent Employment Solutions (Business Services). The expectation is that all function areas will work closely together to provide seamless services. Although individual functions may have primary responsibility for a set of customers, specific functions, or a specific service, all parts of the system must rely on each other and work closely together to ensure NCWorks performs, produces, and delivers the highest quality services for its customers.**

**The Capital Area NCWorks Career Center system includes: two Tier I Centers, one in Wake County and one in Johnston County; four Tier II Centers, all in Wake County and two NextGen Centers, one in Wake County and one in Johnston County. All Centers providing Adult services operate under the Integrated Service Delivery model.**

3. Provide the date and process for when the competitive procurement of the One-Stop Operators(s) occurred. Include the expected length of the contract (one-four years).

**Capital Area solicits proposals for the One-Stop Operator, WIOA Adult/DW Service Provider and WIOA Youth Service Providers under one RFP.**

**ResCare Workforce Services (now Equus Workforce Solutions) was awarded the One-Stop Operator and WIOA Adult/DW Service Provider contract in both Wake and Johnston Counties. The competitive RFP process took place from December 2018 to March 2019. The contract award began on July 1, 2019 and was for one year. Contract extensions are available for up to three additional years based on performance, quality of services, responsiveness of providers, and the ability to meet contract expectations.**

**Beginning July 1, 2017, CAWD began releasing Request for Proposals every four years; however, a solicitation for proposals may be released sooner than the 4-year interval due to circumstances including, but not limited to, termination of a contract due to contractor performance, and additional funds availability.**

**The goal of Capital Area Workforce Development is to ensure fair and lawful award of public funds to qualified eligible service providers. Procurement of One-Stop Operator, and WIOA Adult and Dislocated Worker services, to conduct Workforce Innovation and Opportunity Act activities, is accomplished through a competitive procurement process, as follows:**

- 1) The competitive procurement process starts with the release of the Request for Proposal. To ensure that the notification is viewed by the public as well as local, state, and federal employment and training agencies, the notice is posted in newspapers (including at least one minority publication), Capital Area Workforce Development's website, Wake County Government's website, National Association of Workforce Development Boards' website, and emailed electronically to an established list of adult employment and training agencies across the country.**
- 2) After the notification release, a Pre-Proposal Information Session is then conducted by Capital Area and Wake County Procurement Service staff to discuss the RFP and answer any questions. Attendance at the session is recommended, but not required for agencies responding to the proposal. Questions, other than those addressed in the session, must be emailed or faxed to Capital Area before the established due date. The RFP provides clear guidelines on the submission requirements and the proposal deadline date and time. Proposals are not accepted after the deadline. Respondents are required to submit a non-binding intention to bid as part of the response process.**
- 3) The Proposal Review Panel consists of Capital Area Board members and Capital Area staff. In selecting an organization for one-stop operator, adult/dislocated worker or youth services, primary consideration is given to the demonstrated effectiveness of the organization in delivering comparable services, overall quality of the proposed plan of services, the likelihood of meeting or exceeding federal Performance Indicators, and cost. In addition, consideration is given to: a strong record of integrity, business ethics, fiscal management, and accountability; staff qualifications and technical skills to perform the work; and the ability of the organization to meet service delivery requirements at a reasonable cost. As part of the proposal review and selection process, the top 3-5 respondents, based on the**

reviewers' ratings, are required to meet with the Proposal Review Panel to briefly discuss their proposal and answer questions.

- 4) After the review process is completed by the Proposal Review Panel, the Panel presents a recommendation to the Board at the scheduled Board meeting for Board approval. The selected respondent receives written notification of the award. The non-awarded respondents will also receive written notification with the instructions on how to request a debriefing or appeal, as follows.
  - a. The debriefing must be requested in writing to the Capital Area Workforce Development Executive Director within ten (10) working days of notification of non-award. In a debriefing, the discussion will be limited to a critique of the RFP response, i.e. specific information as to factors where the proposal manifested weaknesses and strengths. Comparisons between proposals or evaluations of the other proposals are not considered.
  - b. The appeal request must be submitted in writing to CAWD Executive Director within five (5) working days following a debriefing. An appeal request must identify an issue or fact concerning a matter of bias, discrimination, conflict of interest, or non-compliance with procedures described in the RFP document. Appeal requests not based on those conditions are not considered. Appeal requests are rejected as without merit if they address such issues as professional judgment on the quality of a proposal or the CAWD's assessment of Local Area needs, priorities, or requirements. The CAWD Executive Director will issue a decision within five (5) working days of receipt of a written appeal. The decision will be final.

**Funds for One-Stop Operator, WIOA Adult/DW Title I services are provided under a cost reimbursement contract, for the services provided during program delivery, between Capital Area and the WIOA service provider. CAWD now also uses a pay for performance model for all service providers that include profit in their budget.**

4. Describe how Local Area WDBs determine the need for enrollment in Training Services.

**Training Services are available to individuals who have been determined to need specific occupational skills training or skills upgrading to obtain employment, and who possess the requisite skills and abilities necessary to successfully complete the selected coursework, and who select occupational training directly linked to the employment opportunities. All customers interested in receiving training services must complete orientation, registration, an assessment, and meet one-on-one with a Career Center staff to determine the need for training. Each customer interested in receiving training services must complete a scholarship application. This application includes a process for the customer to research the occupation of interest through labor market data to determine if it will provide them with sustainable employment. Once the scholarship application is completed and returned to the Center it will go through a review process and may be approved.**



**A customer, who has been interviewed, evaluated, or assessed by a Career Center staff, is eligible for training if he/she meet the following conditions:**

**Condition 1- Is unlikely or unable to obtain or retain employment, that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment through the career services alone;**

**Condition 2- Is in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment;**

**Condition 3- Has the skills and qualifications to successfully participate in the selected program of training services;**

**Condition 4- Has selected a program of training services that is directly linked to employment opportunities in the local area or planning region, or in another area to which the individual is willing to commute or relocate;**

**Condition 5- Is unable to obtain grant assistance from other sources to pay the costs of such training, including such sources as State-funded training funds or Federal Pell Grants, or requires assistance in addition to other sources of grant assistance, including Federal Pell Grants;**

**Condition 6- Is a member of a worker group covered under a petition filed for Trade Adjustment Assistance (TAA) and is awaiting a determination. If the petition is certified, the worker may then transition to TAA approved training. If the petition is denied, the worker will continue training under WIOA;**

**Condition 7- Is determined eligible in accordance with the State and local priority system in effect for adults if training services are to be provided through the adult fund stream.**

5. Describe how follow-up services are provided through the NCWorks Career Centers. [WIOA Section 134(c)(2)(xiii)]

**Follow-up services are provided, as appropriate, for participants who are placed in unsubsidized employment, for up to 12 months after the first day of employment. While follow-up services must be made available, not all the adults and dislocated workers who are registered and placed into unsubsidized employment will need or want such services. Follow-up is viewed as an extension of the program during which staff help participants create their own solutions to the challenges they may continue to face as they transition to employment.**

**The type of appropriate follow-up services may vary based on the needs of each individual. Participants who have multiple employment barriers and limited work histories may need significant follow-up services to ensure long-term success in the labor market. Other**

participants may identify an area of weakness in their skills prior to placement that will affect their ability to progress further in their occupation or to retain their employment.

Follow-up services will help support each participant in maintaining employment and will provide a continuous link to the workforce system, including referral networks and partner programs.

In the Capital Area, follow-up services may include, but are not limited to:

- additional career planning and counseling
- counseling regarding the workplace
- contact with the participant's employer, including assistance with work-related problems that may arise
- peer support groups
- career pathway development
- information about additional educational opportunities
- information and referrals to supportive services available in the community
- case management administrative follow-up
- assistance in securing better paying jobs
- other services

The frequency of follow-up will align with the needs of the individual. Additional contacts will occur if the participant initiates them or if staff identifies a need for them. A consistent message during each follow-up contact will ensure participants know the NCWorks Career Center services are available to support them, even after follow-up ends.

6. Describe how a) new NCWorks Career Center staff are trained in the integrated services delivery system model, b) at what point do they have full access to [NCWorks.gov](https://www.ncworks.gov), c) the timeline for accomplishing the training for new staff, and d) describe the staff development activities that reinforce and improve the initial training efforts.

CAWD has developed and implemented a comprehensive training plan inclusive of a six-month calendar and onboarding process for its One-Stop system to ensure that staff are trained. The Instructional Coordinator provides oversight and conducts training that includes an overview of NCWorks online, integrated service delivery along with one week of job shadowing a high-performing staff in all functional areas to gain a broad understanding of service delivery. The initial onboarding training must be completed within fifteen days of hire. All new hires with the CAWD career center system are required to complete the training and sign off on the onboarding checklist. Once that is completed, staff can gain access to NCWorks Online. Afterwards, Center staff is provided 2-3 weeks of one-on-one training with the Team Lead or Senior staff person and functional manager on their job specific role and responsibilities to ensure they are equipped and up to speed. Daily check-ins and recaps are held with the functional manager to ensure adequate progress is occurring. State mandated training must be completed within required timeframes. Volunteers and partner staff complete a one-day training session. During the session they are provided an overview of NCWorks.gov, the ISD model, and an overview of

**programs and services offered at the center. Additional in-person and virtual training is available for volunteers. The volunteers only assist customers in the Resource Area (RA).**

**In addition, CAWD is committed to ensuring that NCWorks Career Center staff have access to a variety of ongoing training and professional development options including attending workforce conferences, NCWorks Training Center online courses, The Academy and LinkedIn Learning courses, Career Pathways, Customer Service, Workforce GPS, industry roundtable events, etc. Majority of the Center staff in the CA have completed the Facilitating Career Development (FCD) training course. Additional cross training occurs on Friday afternoons at the Career Center located at Tillery Place. For instance, training on Poverty, Customer Service, Working with Special Populations, etc. Another proven effective strategy incorporated is ongoing peer observations that occur regularly throughout the center.**

**CAWD also hosts its Annual Kick – Off which is a day of training that focuses on Policy and Procedures, Performance, and identified staff areas of improvement. CAWD works diligently throughout the year with the Capital Area NCWorks Career Centers to identify areas of improvement for staff and addresses them through technical assistance.**

7. Briefly explain coordination with the Trade Adjustment Act (TAA) to maximize resources and prevent duplicative services.

**One-Stop Career Centers provides Trade Adjustment Act (TAA) services through the Tier I NCWorks Career Centers. All TAA customers are co-enrolled in the WIOA Dislocated Worker program to ensure the timely provision of individualized career services and improve the overall effectiveness of the TAA program. TAA staff also works closely with WIOA staff in both Wake and Johnston Counties to best serve the customers with their job search and training needs. When possible, WIOA staff and TAA staff work together to share common forms to avoid duplication of efforts. All documentation, including Individualized Employment Plans, Objective Assessments, employment and training goals are uploaded into NCWorks Online. TAA funds are utilized first to pay for training costs and WIOA DW funds are used to supplement services as needed beyond what is available through TAA. For Level II centers, Customers who are eligible for TAA will be referred to the Tier I centers or they will receive needed services virtually.**

8. Briefly describe how the NCWorks Career Centers serve military veterans.

**For Capital Area, NCWorks Career Centers provide Priority of Service to veterans and eligible spouses and immediately work to assess their needs and provide services. Career Center staff provide in-person and virtual services during scheduled hours at each location. As part of Priority of Service, veterans are also given the opportunity to view and apply for newly posted positions within NCWorks prior to the posting being made available to all other job seekers. The center hosts job fairs targeting veterans and, typically, veterans are also given priority during recruitment events, job fairs, and training opportunities. The center also presents to community agencies, chambers of**

commerce, and employers to attract veterans to our local Career Centers as well as enhance services in the community. Both CAWD Tier 1 NCWorks Career Centers have either a Local Veteran Employment Representative (LVER), or a Disabled Veteran Outreach Program (DVOP) located on staff to help veterans with significant barriers overcome their barriers to employment.

9. Briefly describe how the NCWorks Career Center serve persons with disabilities.

**The NCWorks Career Center provides an array of career services to serve persons with disabilities including providing specific tools to assist this population with their job search and employment-related needs:**

- **Screen enlargement and magnification features are used for customers with vision difficulties (magnifying glasses/full page magnifiers)**
- **Specialized software (ZoomText, JAWS, Kurzweil 3000 software (Learning Disability),**
- **Headphones are made available for customers with hearing difficulties**
- **TSS telephone available for use**
- **Emergency lights / well-lit space and amplified fire/smoke alarms**
- **Staff available to read screens / forms as needed**
- **Referrals to organizations such as DHHS-Division of Services for the Blind and NC Center for the Blind, DHHS – Division of Services for the Deaf and Hard of Hearing**

**In an effort to strive for greater collaboration with organizations that serve persons with disabilities, the NCWorks Career Centers has connected with Community Workforce Solutions and Vocational Rehabilitation to champion the referral process between the two agencies in order to strengthen its relationship and create strategies to effectively serve customers. This includes facilitating job clubs and an annual job fair hosted by the Centers. Customers are registered in NCWorks and are referred appropriately to available services and resources. Peer-to-peer training is offered to ensure center staff are aware of the best possible resources available for the job seeker and employment opportunities that will meet the individual needs of each job seeker.**

**CAWD also partnered with Walk West and LCI to celebrate the Americans with Disabilities Act (ADA) 30th Anniversary. On July 30th, "What's the Deal with disABILITIES?" celebrated this important civil rights law that prohibits discrimination against individuals with disabilities in all areas of public life, including the workplace. Speakers included prominent business owners and community leaders living with disabilities and their experiences through the years, including more that can be done to help these citizens.**

**CAWD will continue to partner with organizations to host these types of events to educate and better serve persons with disabilities. The NCWorks Career Center continues to seek opportunities to collaborate with organizations that service persons with disabilities.**

10. Describe Local Area strategies and services that will be used to strengthen linkages between Boards and the NCWorks Career Center system and unemployment insurance programs. [WIOA Section 108(b)(4)(A)(iv)]

**Capital Area currently has a strong linkage with the Division of Employment Security regarding the unemployment insurance (UI) program. Both the Eligibility Assessment Interview (EAI) and the Reemployment Services and Eligibility Assessment (RESEA) programs mandate that unemployed customers that are able and available for work meet with NCWorks Career Center staff for career counseling and job placement services, including new COVID-19 UI recipients. As a part of the integrated process, all of our customers, including RESEA, EAI, and the universal population, will receive orientation on available services and resources, including partner services and any other pertinent resources to ensure a successful return to employment.**

**In addition to providing UI Fact Sheet information, an initial assessment of skill levels, aptitudes and abilities will be conducted to determine appropriate supportive service needs and potential next steps of services. Based on the initial assessment, an appropriate combination of services will be considered in response to the individual needs of the customer as they move through needed career and training services to achieve their career objectives. Center staff will also conduct follow-up appointments as required by the RESEA program. The Career Center also works with the NC Division of Employment Security on issues involving unemployment insurance claims and potential cases of fraud.**

11. Attach a flow chart for services to include initial one-on-one interviews with customers, including NCWorks.gov dual registration, skills assessments, and determination of further services. Name document: Local Area Name Service Flow Chart 2021.

**Attached Document: Capital Area Service Flow Chart 2021**

**CA's One-Stop delivery system is organized around three interrelated functions to serve customers virtually and in person. This will include staff from WIOA, Wagner-Peyser Employment Services, and other partner agencies. Customers are defined as job seekers and employers.**

**Talent Engagement welcomes the customer, conducts a basic assessment of needs, completes Wagner-Peyser enrollment, and directs the customer to center services based upon need.**

**Talent Development 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.**

**Talent Employment Solutions provides services to employers and work-ready job seekers. Employers will have at their disposal the following solutions: recruitment and prescreening, pre-employment training, job profiling, training grants and programs for**

existing employees, labor market data, rapid response, career fairs, interview days, networking events, training seminars for employers and HR professionals, industry roundtable meetings, and referrals to business services partners. Job seekers will have access to staff to guide and support their employment efforts by providing resume support, job referrals, networking (peer and employer) opportunities, and many other employment related services and activities.

Due to the global pandemic Capital Area has instituted enhanced operational changes to better service customers and to protect the health, wellbeing and safety of staff, partners, customers, and visitors. Customers have the option to receive enhanced virtual services or in-person services through Capital Area NCWorks Career Center system. While both options provide different entry points for customers the process is the same with the exception of the following noted for virtual services:

Each customer that is virtually enrolled into WIOA must have their identity verified visually at least once prior to enrollment. Each time staff speak to the customer virtually, they must verify their identity by asking the following questions:

1. What is the last four digits of your Social Security Number;
2. What is your date of birth; and,
3. What is your mailing zip code?

If the mailing zip code does not match, staff will ask for the mailing address used when creating their NCWorks account. Once confirmed staff can obtain the most up-to-date mailing address and update the NCWorks records accordingly. This process is critical to confirm staff are speaking to the correct person for security and confidentiality reasons. From there the staff will determine whether the customer is new or returning or an employer and follow the process outlined below.

When a customer first enters a Capital Area NCWorks Career Center, they sign in at the VOSGreeter kiosk then are welcomed by Talent Engagement staff who will determine whether they are a new or returning job seeker or business customer and verify identity. New job seekers will attend an orientation, complete registration, build an NCWorks Online profile, meet one-on-one with staff for an initial assessment and enroll in Wagner-Peyser then the jobseeker will be directed to center services based on their needs. Returning job seekers will be directed to the services needed at that time and employers will be directed straight to Talent Employment Solutions. The Talent Engagement function also has a Resource Specialist that can assist customers in accessing partner and self-directed services including housing, food, financial assistance and other supportive services beyond the capacity of the Center. Access NCWorks is also a part of the Talent Engagement function. Access NCWorks is a multi-channel contact center that provides comprehensive career center services to individuals in Wake and Johnston Counties. The goal of the contact center is to provide services to those individuals who may not be able to come into the center due to disabilities or transportation issues, however, these services have superseded our expectations and customers are now using virtual services from the convenience of their home. Just as you may contact a call center when you are ordering

something online, you can contact the center for assistance with your job search and do it all by phone or computer via chat or web form.

The Talent Development function prepares job seekers who are not “work ready” with the skills needed to obtain and retain sustainable employment. This will be accomplished through resume preparation, assessments, workshops, career counseling, and training activities. Customers can work one-on-one with staff in Talent Development or at their own pace in the computer resource area. Staff will assist customers with developing the employment plan for individual’s based on employment history, education, career assessment, current skills, qualifications, and barriers to employment. Each employment plan will outline steps necessary for the job seeker to be considered “work ready”. Based on the number and intensity of steps necessary to become “work ready”, job seekers will be instructed to make an appointment (appointments can be made for same day) with talent development staff who will work closely with the job seeker to assist them in completing the action steps of their employment plan. Jobseekers will also be able to work on their employment goals at their own pace in the computer resource area, if necessary. These job seekers will always have the option of speaking to talent development staff at any time should they need assistance. Once a job seeker is “work ready” they will be referred to Talent Employment Solutions.

The Talent Employment Solutions function in the NCWorks Career Center provides quality customer service to employers and job seekers through the delivery of a vast array of workforce solutions. Talent Employment Solutions staff uses its knowledge of Capital Area’s workforce solutions to promote services that help employers meet their workforce needs. The Talent Employment Solutions function serves as an intermediary for employers seeking to recruit employees and job seekers seeking employment.

12. Attach the Memorandum of Understanding (MOU) between the Local Area WDB and partners concerning operation of the NCWorks Career Center system. [WIOA Section 121(b)(A (iii))]  
Name document: Local Area Name NCWorks Career Center MOU.

**Attached document: Capital Area NCWorks Career Center MOU**

**Provided is the PY20 MOU. The MOU for PY21 will be provided after it is completed in August 2021.**

13. Describe the Local Area WDB’s method for providing oversight to include:

- a. the review process and the frequency of review for the NCWorks Career Center system in the Local Area, including processes for ensuring quality customer service; and

**Capital Area Workforce Development (CAWD), as the oversight entity under the Workforce Innovation and Opportunity Act (WIOA) for Wake and Johnston Counties, takes seriously their role of ensuring WIOA funds are spent in an efficient and effective manner as prescribed by the Act. This responsibility includes conducting objective quality assurance reviews and providing technical assistance to all centers and service providers.**

**Capital Area will utilize its enhanced Quality Assurance (QA) Review process for WIOA activities. All reviews will be conducted by the Capital Area Workforce Development Review Team. Members of this team include the One Stop System Director, Adult Program Specialist, Youth Program Specialist, and the Accountant. Centers will have at least one review a year. Additional reviews are contingent on center designation (Tier 1, Tier 2, Specialized or Partner sites) and past performance. The review may be announced or unannounced. Full reviews will include four (4) components: Programmatic, Center Operations, Fiscal, and Equal Opportunity. Partial reviews will only include the Center Operations component. All Centers will be included in the QA process at some level.**

**Tier I Centers & Youth Centers will be monitored with a full announced review at least once per year. Additional reviews will occur as determined necessary by a risk assessment conducted at the end of the previous year. Partial reviews and unannounced visits will take place throughout the year to ensure services are being provided as required by Capital Area.**

**Tier II Centers will be monitored using the Center Operations component only. Two reviews will take place each year, one as an announced visit and one unannounced.**

**At the beginning of the year, a schedule of the announced visits will be sent out to the Centers so they will know in advance. The full QA process will take place over a month. A desk review is conducted during the first two weeks of the review and will include an on-site visit. The exit will take place during the third week and a final report is sent to the Center. If there are items to be addressed, the center is given ten (10) days to do so. A follow-up check is conducted to ensure everything is addressed as requested.**

**The partial QA review will take place over a few weeks. The site visit will be either a half-day or full day depending on the size of the location. A final report is sent to the Center Manager and may include items to be addressed. The Center is given ten (10) days to do so. A follow-up check is conducted to ensure everything is addressed as requested.**

**For each review a Prime is assigned to handle the review process. This staff person from the QA team ensures everything is being done according to the QA guidelines from the beginning to the end of the review process.**

- b. the roles and any resource contributions of the NCWorks Career Center partners. [WIOA Section 121(a)(3)] [WIOA Section 108(b)(6)(D)]

**See attached MOU for the roles of the NCWorks Career Center partners. Resource contributions are provided in the chart below. *(This information is from the PY20 MOU, PY21 MOU will not be available until the end of August 2021.)***



<b>NCWorks Partner</b>	<b>Infrastructure Total Share \$</b>	<b>Funded</b>	<b>In- kind</b>	<b>Payment</b>	<b>In-kind Description</b>	<b>Partner Contact (Name, Organization, Address, email and phone number)</b>
WIOA Title I: Adult, Dislocated Worker, and Youth formula programs;	\$338,286.26	Yes	No	Mthly	N/A	<b>Pat E. Sturdivant</b> Capital Area Workforce Development 2321 Crabtree Blvd, Suite 200 Raleigh, NC 27604 pat.sturdivant@wakegov.com 919.856.6048
WIOA Title I: Job Corps	\$8,672.66	Yes	No	Mthly	N/A	<b>Norman Turner</b> Adams and Associates, Inc. Job Corps Center – Kittrell 1096 U.S. Highway 1 South Kittrell, NC 27544 Turner.Norman@jobcorps.org 252.438.6161
WIOA Title I: YouthBuild	\$86.00	Yes	No	Mthly	N/A	<b>Pat E. Sturdivant</b> <i>(see above listing for contact information)</i>
WIOA Title I: Native American programs	N/A	N/A	N/A	N/A	N/A	N/A
WIOA Title I: National Farmworker Jobs Program (NFJP)	\$1,587.03	Yes	No	One-Time Payment	N/A	<b>Susan Oney</b> Telamon Corporation 5560 Munford Rd.; Ste. 201 Raleigh, NC 27612-2621 soney@telamon.org 919.851.7611
WIOA Title III: Wagner-Peyser Act Employment Service (ES) program: WIOA Title III: Trade Adjustment	\$327,762.69	Yes (\$182,963.65)	Yes (\$144,799.04)	NFA	IT, Telephone, Office Supplies	<b>Elizabeth Crabill</b> NC Department of Commerce 301 North Wilmington Street 4336 Mail Service Center

Assistance (TAA) activities; Jobs for Veterans State Grants (JVSG) programs						Raleigh, NC 27699-4346 elizabeth.crabill@nccommerce.com 919.814.4695
Senior Community Service Employment program (SCSEP)	\$5,580.47	Yes	No	NFA	N/A	<b>Kathryn Lanier</b> NC Department of Health and Human Services Division of Aging and Adult Svs 693 Palmer Drive Raleigh, NC 27603 kathryn.lanier@dhhs.nc.gov 919.855.3400
Unemployment Compensation (UC) programs	\$75,871.00	Yes	No	NFA	N/A	<b>Elizabeth Crabill</b> NC Department of Commerce 301 North Wilmington Street Raleigh, NC 27601-1058 elizabeth.crabill@nccommerce.com 919.814.4600
Reentry Employment Opportunities (REO) programs  (Second Chance Act of 2007) – Capital Area WD grant	\$5,810	Yes	No	Mthly	N/A	<b>Pat E. Sturdivant</b> Capital Area Workforce Development 2321 Crabtree Blvd, Suite 200 Raleigh, NC 27604 pat.sturdivant@wakegov.com 919.856.6048
WIOA Title II: Adult Education and Family Literacy Act (AEFLA) programs	\$591.00	Yes	No	NFA	N/A	<b>Gilda Rubio-Festa</b> NC Community College System 200 West Jones Street Raleigh, North Carolina 27603 rubio-festag@

						nccommunitycolleges.edu 919.807.7132
Carl D. Perkins Career and Technical Education programs	\$426.00	Yes	No	NFA	N/A	<b>Bob Witchger</b> NC Community College System 200 West Jones Street Raleigh, North Carolina 27603 witchgerb@ nccommunitycolleges.edu 919.807.7126
WIOA Title IV: Vocational Rehabilitation (VR) Services program	\$28,886	Yes	No	NFA	N/A	<b>Judy Cajigas</b> NC Department of Health and Human Services Divisions of Vocational Rehabilitation Services, Services for the Blind, and Services for the Deaf and Hard of Hearing 805 Ruggles Drive 2801 Mail Service Center Raleigh, NC 27603 judy.cajigas@dhhs.nc.gov 919.855.3591
WIOA Title IV: Services for the Blind	\$2,404.00	Yes	No	NFA	N/A	
Department of Housing and Urban Development Employment and Training programs	N/A	N/A	N/A	N/A	N/A	<b>N/A</b>
Community Services Block Grant (CSBG) programs	\$5,064.00	Yes	No	NFA	N/A	<b>Kathy Sommese</b> North Carolina Department of Health and Human Services Division of Social Services 820 S. Boylan Avenue Raleigh, NC 27603 Kathy.sommese@dhhs.nc.gov 919.527.6415

Temporary Assistance for Needy Families (TANF) program	\$6,389.00	Yes	No	NFA	N/A	<b>David Locklear</b> North Carolina Department of Health and Human Services NC Division of Social Services 820 S. Boylan Ave, McBryde Bld Raleigh, NC 27603 david.locklear@dhhs.nc.gov 919-527-6330
Community Success Initiative	\$50,000	Yes	No	Mthly	N/A	<b>Dennis Gaddy</b> Community Success Initiative 1830-B Tillery Place Raleigh, NC 27604 Dgaddy1@communitysuccess.org 919.614.2369
Centre for Home Ownership & Economic Development	\$7,135.31	Yes	No	Mthly	N/A	<b>James Stroud</b> Centre for Home Ownership & Economic Development 960 Corporate Drive, Suite 409 Hillsboro, NC 27278 jstroud@choedc.org 919.241.4718
Local Reentry Council	\$5,810	Yes	No	Mthly	N/A	<b>Pat E. Sturdivant</b> <i>(see above listing for contact information)</i>

14. Describe how NCWorks Career Centers are using virtual technology to provide integrated, technology-enabled intake and case management information system for programs carried out under WIOA, and programs carried out by NCWorks Career Center partners. [WIOA Section 108 (b)(21)]

**Capital Area has been proactive in implementing a contact center called Access NCWorks. Access NCWorks is a multi-channel contact center that provides comprehensive career center services to individuals in Wake and Johnston Counties. The original goal of the**

contact center was to complete virtual Wagner-Peyser enrollments and provide services to those individuals who may not be able to come into the center due to disabilities or transportation issues. However, we have found these services have superseded our expectations and customers are now using virtual services for many other different reasons, including career services just for the convenience of it. Just as you may contact a call center when you are ordering something online, you can contact the center for assistance with your job search and do it all by phone or computer via chat or web form. Access NCWorks has been exceptionally beneficial during the COVID-19 pandemic when we had to close our physical offices, we were still able to provide services virtually using technology.

In addition to completing Wagner-Peyser enrollments and providing those services virtually, the NCWorks Career Center has expanded its capabilities to complete WIOA enrollments virtually as well as providing WIOA services. The Division of Workforce Solutions approved virtual enrollments in the NCWorks Career Centers during the COVID-19 environment.

Capital Area provided strict guidance and approved a Standard Operational Procedure (SOP) for its Career Center system surrounding virtual enrollments. The purpose of the guidance is to establish a standard process for enrolling customers virtually into WIOA, which may lead to WIOA funded Work Based Learning services (OJT, Work Experience), Training, and/or Supportive Services. The SOP addresses four critical areas noted as follows which encompasses the end to end process for virtual enrollments and recording services virtually:

1. Preparing a Client for a Virtual WIOA Enrollment
2. Pre-WIOA Enrollment
3. WIOA Enrollment
4. Reference Documents

Capital Area has adopted Google Duo as its video conferencing tool as well as DocuSign. Each customer that is virtually enrolled into WIOA must have their identity verified visually, documents must be uploaded into NCWorks Online per guidance, and staff must record appropriate services.

When career center staff are speaking to customers by phone, at least one of the conversations (prior to signing the application) must be done with video conferencing. Their identity must be verified visually using their image online against a state recognized photo ID (i.e. Driver's License, State or local government issued ID). Confirm by comparing their face with their photo ID. Also, career center staff must confirm the last four digits of their Social Security Number and their Date of Birth. After confirming their identity, enter a case note with the following:

1. A statement that you confirmed their identity visually
2. Online platform (Google Duo) used to confirm their identity
3. Photo ID used to confirm their identity

#### **4. Date and Time identity was confirmed**

**Each time career center staff speak to the customer virtually. they must verify their identity by asking the following questions:**

- 1. What is the last four digits of your Social Security number;**
- 2. What is your date of birth; and,**
- 3. What is your mailing zip code?**

**If the mailing zip code does not match staff will ask for the mailing address used when creating their NCWorks account. Once confirmed staff can obtain the most up to date mailing address and update the NCWorks records accordingly. This process is critical to confirm career center staff are speaking to the correct person for security and confidentiality reasons.**

**In addition, career center staff encourages participants to upload a scanned copy or photograph of PII information directly into NCWorks.gov but should not email or text that scanned copy or photograph to career center employees. However sometimes this poses a challenge for some customers who are not computer savvy or have low technology skills. To combat this challenge the NCWorks Career Center has identified specific staff that can receive documents from customers in person. Center Staff must continue to follow Capital Area's redacting policy for any documents uploaded into NCWorks Online and they must rename documents (per Capital Area's policy) that are uploaded by individuals into NCWorks Online.**

#### **V. Employer Services**

- 1. Please briefly describe the efforts of the Business Services Representatives and/or Employer Services staff in the following areas:**
  - Utilizing regional and local employer data to inform priorities;**
  - Making regional and local employer referrals to Agricultural Services and/or Foreign Labor staff;**
  - Reaching out to education partners and economic developers; and**
  - Including persons with disabilities.**

**CAWD and our NCWorks Career Center Business Services staff utilize a highly collaborative, consultative, and data-driven approach to engage and serve our region's businesses and industries. By leveraging technology, partner relationships, outreach and awareness events, and other traditional methods, we have played a significant role in the promotion and growth of innovative and effective workforce development strategies across our region.**

**As business consultants, our primary role is to engage and listen to our business community and the needs and challenges they face. The real-time business intelligence we gain is critical to ensure continued alignment of our programs, services, and priorities. This**

**includes promoting the use of work-based learning. As mentioned, CAWD's approach to business services is solution-based; therefore, work-based learning is a resource in our business services toolbox.**

**In addition, our use of labor market data to study trends, projections and impact, positions us as trusted advisors and subject matter experts to our business customers and partners in workforce development. CAWD and our NCWorks Career Centers currently use EMSI Labor Market analysis software to inform about local and regional labor market data. Labor market data is compiled for economic development projects to help recruit new businesses. The data brings understanding about the local economy, industry strengths, and provides a workforce overview. Information often includes the number of jobs in certain occupations, applicable wages, job growth and educational completions that influence talent availability.**

**CAWD's labor market subscription service allows us to identify skills needed for various occupations. Career center staff compare this information to the existing skills of customers to identify skill gaps and to justify sending the customer through training.**

**We can also estimate the economic impact of adding jobs to certain industries. For example, if just 30 Youthbuild participants obtain employment in the new home residential building sector, the ripple effect in jobs, earnings, and taxes on production, and imports are substantial for the region. This kind of information is extremely useful for special grant applications.**

**In addition, we have convened industry roundtable sessions and have formed a sector strategies committee comprised of key stakeholders that focuses specifically on the needs of our high-growth industries.**

**CAWD has an Agriculture Services Consultant co-located in our Clayton Career Center. The consultant provides job referrals to the Migrant and Seasonal Farmworker population. In addition, the consultant visits farms and agricultural employer sites to register employers in the NCWorks online system. Agriculture positions are shared with center staff during office huddles. The consultant also provides training for center staff on assisting job seekers with applying for agriculture positions listed in NCWorks. The consultant will also assist MSFW with a complaint to the appropriate agency to assist. We have not worked with Foreign Labor Staff in the past but will look for opportunities to do so as applicable in our area.**

**CAWD has strong partnerships with workforce partners, including community college, economic development and many more. Some examples of how we partner with Economic Development and Community College:**

**Economic Development – Wake County Economic Development is represented on our board. When WCED is replying to proposals for site locations, CAWD provides a workforce support plan to support the proposal. The board’s business engagement director connects with representatives of economic development groups on a regular basis and serves on several committees of economic development organizations. CAWD partnered with Economic Development to sponsor the development of an employer Regional Skills Analysis in 2017 and 2020.**

**Community College – Johnston Community College is represented on the CAWD board. Both Johnston and Wake community colleges are represented on the CAWD partnership collaboratives that meet once per quarter to address regional workforce issues. The CAWD director meets regularly with the president and other leadership at Wake Technical Community College. With both community colleges, CAWD partners to apply for grants to expand workforce capacity in the Capital Area.**

**CAWD’s executive director serves on the Disability:NC advisory board and is currently working with the team to identify training opportunities for career center staff. The NCWorks employer services team collaborates with Vocational Rehabilitation for job clubs, career fairs, information share, and more.**

2. Please describe the efforts the WDB has made to deliver business services on a regional basis.

**CAWD has consistently demonstrated a commitment to regional collaboration to effectively meet the workforce needs of our business community. We recognize the importance of reaching beyond our county borders to help connect our businesses with the talent and skilled workforce they need to be successful.**

**Through these regional and focused efforts, we have increased employer engagement with the public workforce system, unified communications and messaging around our services, and jointly participated in customer meetings, hiring events, and sector initiatives that have helped grow our region’s economy and provide valuable career opportunities for our jobseekers.**

**The Research Triangle region is ranked nationally and internationally as one of the top locations for new and expanding businesses to operate. Our highly skilled and educated workforce, educational institutions, and robust partner network are all key elements to our strong and growing regional economy. As reflected in local labor market data, our labor shed is generated from approximately 15 counties. This region represents multiple workforce boards, community colleges, economic development partners, and other key workforce stakeholders. With county borders and agency territories, it presents great challenges for employers to fully understand, navigate and benefit from the workforce system.**



**Recognizing this challenge, Capital Area Workforce Development has led the way in multiple shared strategies and initiatives that unify regional partners to deliver high quality regional business services.**

**In 2017 and 2020, Capital Area Workforce Development was a core partner in the launch of a Regional Skills Analysis assessing the workforce needs of over 500 businesses within a 15-county region and among 10 industry sectors. The findings from this study have helped to shape regional training and workforce initiatives that serve our businesses and communities.**

**Capital Area Workforce Development and our NCWorks Business Services team have worked alongside our region's partners in sector-focused career fairs, work based learning events, and educational summits. We have regularly facilitated personal introductions of business customers to partner agencies, helping the business successfully leverage the workforce system and minimize confusion and repetition. Quarterly, we gather key business services representatives together to discuss current priorities, market intelligence, and future needs.**

**Due to COVID, CAWD purchased virtual career fair software in 2020. CAWD partnered with the Durham Workforce Development Board and the Kerr Tar Workforce Development Board to sponsor regional virtual career fair series referred to as "Triangle Virtual". In 2020, two events were sponsored – one for universal employers and one healthcare event. In 2021, a regional IT fair was implemented and a planned Gen Z regional fair is scheduled for May 2021.**

3. Please describe business services partnership efforts in the areas of education, economic development and with employers.

**The Capital Area region has been recognized as one of the strongest economies in the nation and a top market for new and existing industry investments. This success is due in large part to the collaboration efforts that exist between our private and public sectors. This collaboration is thriving and evident throughout our partner ecosystem - comprised of economic and workforce development, education, government, chambers of commerce and community partners. This partner network is led and shaped by business and industry and shares a common goal of driving growth and prosperity for our community and citizens.**

**Capital Area Workforce Development recognizes the importance and value of frequent and meaningful engagement with our business community and partner agencies. This ensures we are continually aligning our services and initiatives to the demands of the market and addressing local needs. These opportunities to network, share and learn are vital and include events such as quarterly partner meetings, industry roundtable discussions, 1:1 customer meetings and signature regional events. The strength of these partnerships that have been built and fostered over the years have resulted in our ability to be proactive and innovative in our solutions and service delivery.**

**As a collective partner network, we rely heavily on the use of data to help us make informed and appropriate decisions related to priorities, programs, funding, and initiatives. In order to fully understand opportunities and challenges that exist for our market, we must consider timely and relevant data points such as growth in industries and occupations, educational attainment, skills and credentials of value, and wage trends. This baseline knowledge is critical to our success. A key example of this approach and collaborative engagement is the Regional Workforce Study.**

**In 2017, a Regional Skills Analysis was conducted by RTI in partnership with Capital Area Workforce Development, Wake County Economic Development, and the City of Raleigh. This study surveyed over 500 businesses across 15 counties and 10 industry sectors to uncover projected growth, skills and education requirements and workforce challenges.**

**This study revealed several key findings that were critical for our board and partner network to recognize: 73% of companies surveyed expected to grow in the next 3 years, resulting in between 22,000-36,700 new jobs – not considering new economic development growth that was likely to also be entering our market. Companies confirmed their greatest source of talent is through friends and networks, highlighting the challenges many in our region’s workforce face with barriers to access these industries and occupations. The research also demonstrated the need for degrees and technical education. Companies value employees with a 4-year college degree, but there is variation in education expectations across industries. Some industries place a higher value on education, while others focus on technical training. All industries acknowledged a need for employees who will take initiative and think critically.**

**A second survey was sent out in 2020. The 2020 study revealed several key findings that were critical for our board and partner network to recognize: 57% of companies surveyed expected to grow in the next 3 years, resulting in between 17,000-32,000 new jobs – not considering new economic development growth that was likely to also be entering our market. Companies again confirmed their greatest source of talent is through friends and networks, highlighting the challenges many in our region’s workforce face with barriers to access these industries and occupations. The research also identified emerging non-traditional soft skills: Survey respondents noted other soft skills such as empathy and acceptance of diversity are prioritized at the same level as other soft or technical skills. Similarly, for the survey results from 2017, businesses across all industries still struggle to find employees that have responsibility/ self-discipline, the ability to think critically and to take initiative.**

**By coming together as a regional partner collaborative to conduct this study and engaging business and industry for their expertise, we were able to uncover immediate and pressing workforce needs as well as identify opportunities for future planning and development. Results from the study have been referenced in grant opportunities, curriculum discussions, economic development strategic plans, and sector partnership discussions.**

**Private and public partnerships have been created and strengthened as a result of the data gathering and alignment of services.**

**Regional efforts such as our workforce study have demonstrated the importance and value of the partner network. Without the full support of our business community, economic developers, chambers of commerce, NCWorks Career Centers, community colleges, public school systems, and community partners, we would not be able to obtain these critical insights and reach such a broad and diverse audience.**

**Our region's growth trajectory and tight labor market require that we keep collaboration and partnership a strategic priority. Regularly engaging at a local level with business leaders and community partners helps us stay on top of evolving needs while fostering innovation, diversity and flexibility in our approach.**

## **VI. Performance**

USDOL has the following WIOA Performance Indicators:

- Employment Rate – 2nd Quarter After Exit
- Employment Rate – 4th Quarter After Exit
- Median Earnings – 2nd Quarter After Exit
- Credential Attainment Rate
- Measurable Skill Gains
- Effectiveness in Serving Employers (system-wide measure, not program specific)

1. Examine the Workforce Board's current Adult, Dislocated Worker, and Youth performance on the Federal Primary Indicators of Performance for PY 2020 and prior Program Years. (Reports available via FutureWorks).
  - a. What are some of the factors in the Local Area that impact performance levels (both positively and negatively)? Be sure to consider factors such as the unemployment rate, factory closures/openings, weather events and natural disasters that may have impacted the area, as well as internal operational factors that may impact the Local Area's performance.

**(Note: Provide at least two examples of positive factors and two examples of negative factors that have impacted the performance levels in your Local Area, with an explanation of each.)**

**We are seeing a negative impact on PY20 Federal Performance Indicators due to COVID-19, and we expect this negative impact to continue into next few program years. Capital Area's unemployment is currently 4.7% as of the April 2021 LEAD report. Dislocated Workers are finding employment opportunities however they are declining the positions because the rate of pay is less than they are making through unemployment insurance. With the youth measures, credential attainment continues to**

be challenging to achieve. Since the COVID pandemic started many youth have dropped out of the training, and it has been difficult to keep them engaged.

The following factors have a positive impact on Capital Area's performance:

- Center staff developing strong relationships with employers which keeps the communication open when they are in need of talent.
- Business Services staff making sure the right match is made for both job seeker and employer leads to everyone's success.
- Capital Area's focus and commitment to meeting/exceeding all measures.
- Capital Area's emphasis on quality, relevant skills training in high-demand industries.
- Center staff staying connected with customers throughout their participation. Active participants are more likely to succeed in their goals which in turn leads to positive outcomes.

The following factors have negative impact on Capital Area's performance:

- COVID-19 is the biggest negative impact to performance at this time.
  - North Carolina restrictions, enacted by the Governor, to follow CDC guidelines have impacted many businesses with closures and/or reduced hours and capacity.
  - Certain industries like retail, hospitality, and transportation have seen a tremendous decline in business, therefore employers are having to layoff or furlough their employees.
  - Conducting work experience (WEX) or on-the-job training (OJT) opportunities have been challenging because many businesses have moved to remote operations and do not feel comfortable hiring employees under remote conditions.
- Customers not taking the certification exam after the completion of training. Students are finding employment with high wages after they complete the exam prep course; therefore, they do not see the value to sitting for the exam.
- Customers not providing the certificate documentation for staff to record the credential in NCWorks Online.
- Students not providing the documentation for staff to record Measurable Skill Gains.
- CAWD not having access to the Entered Employment Q2 and Q4 'Roster' in FutureWorks.

- b. Discuss whether or not participants that have been served and/or enrolled as a result of COVID-19 differ in characteristics as compared to participants who have historically been served by the Local Area. If so, how do these differences impact service delivery and performance?

Capital Area is seeing a difference in some population groups due to COVID-19. The chart below shows the populations, and trends over the years of the populations that were most impacted by COVID-19.

<b>Populations</b>	<b>Trend</b>	<b>PY17</b>	<b>PY18</b>	<b>PY19</b>	<b>PY20 (# of mths, estimated count for full year)</b>
Homeless or Runaway	Increasing	98	96	233	178 (6 mths only, est. 356 for full year)
Low Income	Increasing	1,753	1,278	1,185	866 (6 mths only, est. 1,732 for full year)
Justice Involved	No Baseline	N/A	N/A	1,092	428 (6 mths only, est. 856 for full year)
<b>GENDER</b>					
Male	Decreasing	6,051	6,397	5,453	4,071 (9 mths only, est. 5,428 for full year)
Female	Decreasing	7,824	7,674	5,858	3978 (9 mths only, est. 5304 for full year)
<b>AGE</b>					
25-44	Decreasing	6,237	6,273	5,008	3,748 (9 mths only, est. 4,997 for full year)
55-59	Decreasing	1,424	1,371	1,186	737 (9 mths only, est. 983 for full year)
60+	Decreasing	1,331	1,456	1,270	836 (9 mths only, est. 1,115 for full year)
<b>RACE</b>					
African American	Decreasing	6,935	7,023	5,038	3,243 (9 mths only, est. 4,324 for full year)
White	Increasing	5,187	4,374	3,594	2,841 (9 mths only, est. 3,788 for full year)

**Capital Area uses FutureWork data to drill down to special populations to see where we may need to adjust how we are, not only serving, but also reaching our customers. Data is broken down to the center level. Center managers then adjust their procedures to make sure all populations that may need services are reached. Centers with lower outcomes are provided with staff training. For example, Johnston County has lower outcomes with the Hispanic population and has adjusted by ensuring Spanish speaking staff is on-site at all times, reviewing all documentation to make sure it is available in Spanish. Capital Area has also added a bilingual staff to the contact center to ensure Hispanic customers' needs are met. FutureWork reports are very valuable, and we look at all characteristics. We have drilled down by industry to see which may have been hardest hit by COVID. Wages are studied to determine where training options should be steered to.**

- c. Discuss how your Local Area's industries and business sector have been impacted by COVID-19.

**(Note: Include which industries and businesses have been permanently affected, which are recovering or perhaps are expected to recover, and how these industry changes may impact how the Local Area approaches serving its participants.)**

**Within Wake and Johnston Counties, each of CAWD's four target industries – Advanced Manufacturing, Healthcare, Information Technology, and Skilled Trades were affected by the impact of the COVID-19 pandemic. COVID-19 lockdowns and quarantine measures forced offices and businesses worldwide to close and send workers home. While many industries were hugely unprepared for working remotely, those in tech and ecommerce found that they successfully adapted their working methods.**

**At the height of the pandemic, the construction industry was impacted by temporary closures and layoffs. Many projects were put on hold or delayed due to reduced production of building supplies, as well as health and safety-related concerns. Simultaneously, other construction businesses faced limited work opportunities due to specific building projects not being deemed essential and permanently canceled. In contrast, the advanced manufacturing industry was impacted by reductions in product demand and supply chain disruptions, however many in the manufacturing, tech, and ecommerce industries quickly refocused their whole business towards producing, creating, or selling essential equipment that was in high demand and short supply. This included things like personal protective equipment, hand sanitizer, or helping to develop track and trace technology.**

**The IT industry saw the most negligible impact due to the rise in technology use in everyday business, which increased the amount of technical/tech support roles. The IT industry seemed to be able to quickly adapt to the change using a range of online tools and software to improve communication and collaboration. They found ways to optimize their workflows and be just as productive when working remotely as they would be in the office.**

**The healthcare industry was affected by turnover and talent shortages, as workers in roles such as CNA or home health aide roles sought out other employment due to health and safety concerns.**

**The hospitality and travel industries were permanently affected by the COVID-19 pandemic. The national COVID-19 restrictions played a part in the overall travel decline that crippled hotels and rental car companies. Additionally, local small to mid-sized businesses such as restaurants, bars, and retailers were the types of companies that were also permanently impacted but quickly pivoted to meet the COVID-19 restrictions. The ability to adapt and pivot quickly, contributed to the survival of businesses in sectors hit hardest by the pandemic, including the restaurant and hospitality industries. While physical premises have been shut down for many businesses, those that have a good online presence are flourishing such as restaurants offering carry-out menu options. In the meantime, non-essential retail-based companies such as department and clothing stores were hit hard by temporary closures.**

The changes put into place to combat the pandemic impacted many businesses, as they suffered from losses in business and profits. The continued struggles to generate revenue had a domino effect that led many local small to mid-sized companies to restructure or announce furloughs, layoffs, and permanent closures.

As we navigate the business landscape post-pandemic, many industries are showing signs of recovery, while others have the potential to rebound with the proper support. To avoid further losses and remain open, many companies have had to change their existing business models. It's not just how the Business Services's Team is working that needs to be flexible, the businesses that have survived during the pandemic have been able to quickly react and adapt new plans. The pandemic has required businesses of all sizes and across all industries to invest in more technology. The state's heightened workplace safety guidelines have forced many companies to adopt flexible or work-from-home models. Many business owners report increased productivity from staff working from home while leveraging technology and collaboration tools such as DocuSign, Zoom, and Microsoft Teams as workarounds to complete everyday tasks.

As COVID-19 restrictions become more relaxed, the construction industry can recover, as more building projects resume. Retail-based businesses that can successfully shift their traditional in-person models to include or focus exclusively on online sales can also rebound. Additionally, the Life Sciences (including some Manufacturing) and Transportation industries will continue to grow due to the constant need for medicine and vaccination production and deliveries.

## ***DATA***

In February 2020, prior to the pandemic, Capital Area's unemployment rate was 3.1% with 23,394 unemployed individuals. In March 2020, over 43,192 people filed for unemployment pushing the unemployment rate up to over 11%. The Leisure & Hospitality industry took the largest hit with 13,335 (30.9%) initial claims. Education & Health Services, which included schools, colleges, universities, medical offices, hospitals, and treatment facilities, took the second hardest hit with 7,349 (17%) claims. Rounding out the top 3 sectors with the most initial claims was Retail & Transportation with 5,882 (14%) claims.

In April 2020, Retail & Transportation surpassed all the other identified sectors with 10,082 (17.5%) unemployment claims. While unemployment claims continued for hospitality and education, the number of claims declined month over month. The number of claims for Retail is also down, but the sector remains at the top for percentage of all initial claims for unemployment benefits. As of February 2021, 21% of initial claims for UI benefits came from Retail. This translates to 1,041 claims.

## **Hospitality**

**Leisure & Hospitality lost more jobs and revenue than any other industry in North Carolina. Regional employment for the industry in 2019 was approximately 60,000. In the 3<sup>rd</sup> quarter of 2020, it was roughly 47,000. The 3-year growth projection is 3.6% which outpaces the state's projection of 2.7%.**

**The NC Restaurant and Lodging Association (NCRLA) states that recovery is largely dependent on government relief packages which haven't been commensurate with losses. The NCRLA counts workforce development funds in its list of short-term relief needs. CAWD will continue to support this need by offering grants for safety training to businesses looking to reopen. We also support credential attainment for individuals looking to work in the industry.**

## **Education & Health Services**

**Education & Health Services, second hardest hit with 7,349 (17%) initial UI claims. Furloughs were more common than layoffs and in education, non-essential personnel like maintenance staff saw the brunt of unemployment. In healthcare, many non-clinical workers became remote workers. Prior to the pandemic, the sector's 3-year rate of job growth was 12.9% and outpaced the nation's 6.3%. Over the upcoming 3 years, it is expected to grow 8.5% versus the national projection of 6.8%.**

**Currently the sector employs about 80,000 people locally. Like others, the sector has seen a massive move to online service delivery, such as telehealth and online schooling. From a workforce perspective, there will be reprioritization of training and continued growth.**

## **Retail**

**There are still approximately 67,000 people locally employed in the retail industry. Over the next 3 years, Capital Area's retail industry is projected to grow 1.8%, but nationally -.02%. According to Deloitte, retail is undergoing a massive transition with digital disruption that will likely impact the entire industry, not just online sales. Digital will make its way into back-office operations as well as the customer in-store experience. There will be more need for customer service and less for cashiers; more need for problem solving and return resolution; and more need for innovation and technology skills.**

**Capital Area's ability to provide access to SkillsBuild will introduce individuals to many of these skills and help others progress. Trainings such as Customer Engagement: Problem-solving and Process Controls, Working in a Digital World: Essential Skills, and Introduction to Data Analysis are a few of the subjects that allow users to earn badges as proof of the knowledge gained.**



## **Looking Forward**

**No industry went untouched by COVID-19. It's fair to say that those most negatively impacted by COVID-19 will more fully recover eventually, though they will be required to operate differently. An analysis by McKinsey Global Institute estimated that 14 percent of the global workforce will need to be reskilled entirely, and 40 percent will need partial reskilling to continue with their current occupations. For example, technological skills will be essential for all employees. Remote work requires enhanced problem-solving and creativity, and leaders will need advanced communication and interpersonal skills to nurture relationships that used to be accomplished in person. As "new ways" of business become the norm, organizations that fail to focus on upskilling now will be limiting their potential to do so at scale in the future.**

**Few people will return to the workplace they once knew.**

**Data sources:**

**NC Unemployment Claims Dashboard**

**NC LEAD QCEW**

**EMSI: Industry Snapshot**

2. What strategies and methods are in place to maintain or improve performance?

**(Note: Include information about tracking performance, ensuring accountability of positive performance outcomes, and training. Consider including the following information: Who is responsible for tracking performance? Which reports are reviewed? Are FutureWorks reports used? If so, how often? How are staff held accountable? How often is training provided to staff?)**

**Capital Area's Accountability Specialist is responsible for tracking all performance. FutureWorks Roster reports and Dashboard reports are the main reports used. These reports are viewed with every data download, monthly, and quarterly.**

**Capital Area will be utilizing NCWorks Performs (FutureWorks) to track performance throughout the Program Year. In addition, all service providers are required to track performance and submit monthly reports. Capital Area staff will review these reports to ensure they stay on top of performance issues and that we are on track to maintain or improve performance for all goals. Capital Area staff will work closely with service provider staff, providing technical assistance. Technical assistance may include training, one-on-one meetings, webinars, and constant communication with staff as needed. Each program year begins with a Kick-Off training. This training is mandatory and includes a section on performance. An additional detailed performance training is provided for both new and seasoned staff. Special training will be focused on Measurable Skill Gains (MSG) and Credential Attainment to ensure all staff understand the measures, accurately document the measures, and how to track it. Capital Area meets regularly to discuss performance measures.**

**Capital Area's Accountability Specialist will meet with service providers regularly to ensure that all measures are being tracked correctly. This is to ensure that they are on a**

**positive track to successfully meet all measures throughout the year. The Accountability Specialist will be using FutureWorks consistently to monitor all performance indicators and catch any red flags immediately. Corrective action plans will be put into place for any measures that are not being met. Service providers can review their performance pools and look at both positive and negative impacts on all performance indicators. In addition, access to the NCWorks Performs Roster has been given to all key staff for each provider. Performance training is conducted by the Accountability Specialist at Capital Area. All service providers have access to NCWorks Performs online training as well.**

**Capital Area hold all service providers accountable for “real-time” measures. These measures may mimic our Federal Performance Indictors and/or include areas of concern. By tracking these measures throughout the program year Capital Area believes we have better success when participants fall in the exit time frame for Performance Indicators.**

**To ensure service providers put emphasis on federal measures where there maybe performance issues, some federal performance categories are include with service provider “pay for performance” for profit. For providers that do not collect, other punitive strategies are in place such document filed occurrences that can impact contract renewal.**

**Accountability Specialist keeps all Capital Area staff informed of performance outcomes on a regular basis. All CA managers receive quarterly updates on performance for all Capital Area programs.**

3. In the event the Local Area Board is not on track to meet yearly performance indicator goals, please discuss what corrective actions/steps would be undertaken to address this situation.

**(Note: This question is intended to be hypothetical and is seeking what plan the Local Area has in place to address failing performance if it were to occur. Answers should address how the Board monitors performance, communicates with staff, strategies for training and/or addressing potential issues, and follow-up accountability measures.)**

**Capital Area tracks performance monthly through FutureWorks. The system operator and center managers are notified immediately of any issues about performance. Capital Area holds manager meetings quarterly where performance is shared broken out by each center. Center managers can ask for advice and seek strategies from other center managers. If a center(s) is not performing well the Accountability Specialist reviews the Roster reports and shares the pools broken down by centers. All key staff have been given access to Rosters and have been trained on how to use the information to improve outcomes.**

**In the event that Capital Area is not meeting any performance indicator, the Accountability Specialist would immediately address the issue with the service provider. Training would be provided to address the outcomes that are not on track to be met. A corrective action plan is developed for measures that continue to fall short of expectations. This plan would clearly outline the steps and actions to be taken by the service provider, including deadlines. Failure to meet performance is a reason for suspension or probation. CAWD also informs all levels of the service providers management leadership when federal**

**performance measures are not being met to ensure the expected amount of attention is provided.**

4. How is performance information shared throughout the hierarchy of staff? Please detail how the Board addresses performance data in its relationship with its contractor(s) and how case managers are using performance data to drive Local Area performance.

**(Note:** This question should address how frequently [monthly, quarterly, etc.] performance information is shared and by what method/medium [e.g. print-out, electronically, verbally through meetings, etc.], how the performance information shared may differ for the various levels of staff at the Local Area, and specifically for case managers, how performance data is shared with them and how they, in turn, use this information in their roles.)

**Each new program year all center staff attend a Kick-Off training. The Kick-Off training addresses the following in regard to performance:**

- **definition of each measure;**
- **strategies for meeting each measure;**
- **documenting performance in NCWorks;**
- **discussing current issues with any particular measure; and,**
- **status of current performance.**

**Performance information is shared with Capital Area staff, the Operator, Center Managers and key staff at least quarterly (more if needed). Training is provided as requested and as needed. FutureWorks rosters are broken down by provider and distributed quarterly via e-mail. Staff is responsible for contacting their customers, by phone or e-mail, for needed information/documentation to ensure measures are met. Every Capital Area center staff has access to reports and has alerts set up in NCWorks Online. Alerts run on a timeframe based on the Alert i.e. weekly, monthly, or quarterly. This ensures that customers are receiving services needed and do not exit prematurely.**

**Center Managers and key staff track performance internally by utilizing daily reporting tied to overall programmatic goals, giving direction and focus to meeting or exceeding performance measures. Performance is reviewed with their team as soon as it is available. Progress, areas of improvement, and creative ways to meet goals are discussed. Staff then implement steps to correct an area of concern in the performance outcomes. This may be long term or short term, as the focus may change as new performance data is shared. Program Managers/Quality Assurance staff also keep a real-time document to track all performance measures (during the program year and post-exit). Career center staff are held accountable to individual outcomes on a weekly and quarterly basis that are based on performance indicators, contract expectations, and Center goals. Staff also use performance data to follow-up with their customers as needed to collect necessary or corrected documentation to ensure that the documentation in NCWorks online is accurate and reflects the activities of the customer.**

**The Accountability staff shares all performance data with Capital Area staff to ensure everyone stays informed of our progress. Capital Area staff meet on a regular basis to review this performance. Strategies are discussed and decisions are made on action that needs to be taken and when.**

**Performance is also shared with Capital Area Board members. They receive performance updates quarterly in their Operations Report and annually in the Capital Area Annual Report.**

5. **The Measurable Skill Gains (MSG) measure is a real-time indicator denoting participants who are making demonstrable progress on a track toward Credential Attainment. Please describe how the Workforce Board makes use of the information the MSG measure provides as a means of ensuring the Local Area achieves its Credential Attainment indicator goal.**

**(Note: For this question, describe the methods and/or strategies in using the MSG measure as a means of tracking Credential Attainment. Who is responsible for tracking the MSG performance indicator? Are the Roster Reports in FutureWorks utilized? If so, how? Who is this information provided to, and then used by, career advisors, the Board, or other staff?)**

**Capital Area monitors the Measurable Skill Gains (MSG) very closely. This is done in real-time. The FutureWorks Roster will be sent out quarterly to all service providers All key provider staff has access to FutureWorks Roster reports and can run Measurable Skill Gains reports. The data is downloaded in rolling quarters or by program year. This allows staff to see the actual outcome for the current program while also looking ahead to the next program year. Training will be conducted on how to enter MSG in NCWorks Online as well as understanding the measure and what documents a MSG. Capital Area uses an internal set of measures and goals to ensure our success in meeting all measures. If our internal real-time measures are not being met, then we know that our Federal Performance Indicators have a great chance of not being met. One internal measure is MSG. The Accountability Specialist looks at these outcomes monthly. There is and will continue to be regular communication between Capital Area and the service providers throughout the program year, so no surprises are discovered toward the end of the program year. By documenting MSG, staff are in contact with students and can keep abreast of any issues that may arise which could impact credential attainment. At this time staff can see what additional services may be needed for successful completion of the training program, for example, tutoring.**

**Capital Area's Accountability Specialist will utilize NCWorks Performs to look at training occupations as well as training providers completion success rates. This allows Capital Area to ensure we are sending participants to train in high growth occupations as well as looking at the training providers success rate. This data will then be disseminated to our service providers as needed to focus on providing the best possible training for our students.**

**Monthly FutureWorks data downloads are viewed by the Accountability Specialist to track progress on our Performance Indicators. This information is shared internally at staff meetings quarterly. Roster Reports allow providers to look at those participants that are currently a negative in the measure and focus on these students. All staff that have Roster access will be trained thoroughly on how to access and download their data.**

6. Please describe the process for monitoring service providers in the Local Area. Include details such as how it is conducted, who is involved, and how often.

**Attached document: Capital Area Quality Assurance Review Process Guide**

7. Describe the Local Area WDB's vision for serving the WIOA eligible Adults and Dislocated Workers to include high level goals, outreach strategies, service delivery, and expected outcomes.

**The vision of Capital Area is to be the leader in providing innovative solutions to match workforce skills with employer needs. The board's vision will be realized through accomplishing its mission which is: to create a highly skilled workforce system. This system will provide employers with productive, skilled workers, and offer citizens training and employment opportunities that promote job satisfaction and economic stability. The accomplishment of this mission will enable all citizens to contribute to the prosperity of the community.**

**In support of CAWD's visions, the board develops a strategic plan every three years and reviews that plan on an annual basis. Where the board expects the basic WIOA requirements are met through operational strategies, the board also develops strategic goals that drive operational strategies and goals to ensure that the CAWD system is more than a "WIOA program"**

**Capital Area's high-level strategic goals are as follows:**

1. Assist the untapped workforce in gaining the skills, competencies and credentials required for in-demand, family supporting careers.
2. Increase brand awareness with our stakeholders.
3. Align demand sector initiatives with workforce system and economic development needs.

**Once we accomplish the goals our expected outcome to prepare unemployed individuals and incumbent workers for current and future economic needs will be met. Once the board identifies key strategies for these goals, staff and career centers will operationalize in its service delivery plan.**

**CAWD strives to support the universal population with workforce development support and services. This is accomplished through many strategies including, but not limited, working with core partners to refer citizens to each others services, use of social media and other outreach strategies to make job seekers aware of the services available through our**

career centers, presentations at community events information sessions, partner meetings, weekly notifications through Access NCWorks software, word of mouth, etc..

**CAWD has a staff person dedicated to monitoring performance outcomes for federal and performance outcomes measures. In addition, career centers have established outcomes that are communicated and track with all staff.**

## **VII. Equal Opportunity**

1. Describe processes to ensure individuals are not discriminated against based on age, disability, sex, race, color or national origin. [WIOA Section 188]

**Individuals who complete the WIOA Intake process and are enrolled into the WIOA Adult, Dislocated Worker, or Youth program shall be informed of their equal opportunity and nondiscrimination rights and protections under federal law. NCWorks Career Center staff will review a copy of the “Equal Opportunity is the Law” notice with WIOA customers during the Intake process. Center staff will sign the EO Notice form at the bottom where Subrecipient Signature (recipient of WIOA funds) is indicated. WIOA customers will then be asked to sign the form indicating that they have been advised of their rights therein. A signed copy of the EO Notice will be downloaded in the NCWorks Online participant file. If a WIOA participant has a disability such as a visual or hearing impairment or has limited English speaking ability, interpreters or other appropriate accommodations are provided as needed to satisfy this requirement.**

**Additionally, Capital Area offers Equal Opportunity training to all Career Center staff as a refresher annually. Currently, with the EO training now being offer virtually it will be added to the onboarding process for new hires. This is a strategy CAWD is implementing to ensure individuals are not discriminated against and all staff receive training.**

**Equal Opportunity is also a part of Capital Area’s Quality Assurance Review process which includes a review of Equal Opportunity 29 CFR, the Methods of Administration, file reviews and customer and staff interviews. The Quality Assurance reviews occur on an annual basis.**

2. Attach the Local Area’s current Equal Opportunity (EO) Complaint Grievance Procedure to address EO requirements [29 CFR Part 37.71]. Name document: Local Area Name EO Complaint Grievance Procedure.

**Attached Document: Capital Area EO Complaint Grievance Procedure**

3. Describe methods to ensure local Equal Opportunity procedures are updated.

**Capital Area ensures that all local Equal Opportunity procedures are reviewed and updated, on an annual basis. It is the Equal Opportunity Officer’s responsibility to periodically review and monitor the activities, records, and data collected by contracted**

service providers in Johnston and Wake Counties to ensure nondiscrimination and equal opportunity in all activities. This is done during the Quality Assurance reviews that take place throughout the year. She also serves as the Capital Area EO liaison with the North Carolina Division of Workforce Solutions and the Civil Rights Center. Immediately, upon receiving new or pertinent information, she reviews it then disseminates it to the NCWorks Career Center staff.

Furthermore, the One-Stop team, which includes the Equal Opportunity Officer, reviews and analyzes all Capital Area Workforce Development's policies and procedures at least on an annual basis. The team submits recommendations on elements of the policy that may require updating. Afterward, policy changes are implemented and disseminated to the NCWorks Career Center staff.

## **VIII. Adult and Dislocated Worker Services**

1. Provide an analysis of the strengths and weaknesses of existing Adult and Dislocated Worker education and training services. Include how services are provided and the capacity to address the identified education and skill needs of the workforce and the employment needs of employers. Describe plans to address any weaknesses identified. [WIOA Section 108(b)(1)(D)]

In the Capital Area, we are fortunate to have a strong education and training system available to the Adult and Dislocated Workers in our area. We have Wake Technical Community College in Wake County and Johnston Community College in Johnston County as a foundation. Combined, both colleges offer over 400 courses both in the classroom and online. In addition, Capital Area has over 60 training providers that have been approved to offer training in our area. Capital Area relies on input from businesses through roundtable discussions about the education and skill needs of the workforce and employment needs of the employers. Based on data collected and input from area employers, our target industries continue to be the following: Healthcare, Information Technology, Skilled Trades, and Manufacturing. As a result of this data, discussions, and information gathered, we require that 80% of our WIOA training funds are spent in these industries.

One of the weaknesses we have identified previously in our area is the fact that there is only one training source with a physical location through the community college in Johnston County. Another weakness is the availability of accurate training provider performance data in NCWorks Online. This ultimately could have negative impacts on the customer's completion rate. Capital Area has implemented a performance tracking process for its local area to combat this problem. Furthermore, the NCWorks Career Center is working to develop effective strategies to increase the number of training completers who enter training-related employment earning \$15 or more per hour and expanding collaboration with apprenticeship programs to increase access to training to underrepresented populations.

2. Provide the date and process for the competitive procurement of the Adult and Dislocated Worker Programs that ensures an arm's-length relationship between the WDB and service delivery. Identify any service provider contract extensions.

**Note:** While Final Regulations Section 679.410 (b) and (c) provide exceptions to the competitive procurement process, WDBs *must* have an arm's-length relationship to the delivery of services.

**Capital Area solicits proposals for the One-Stop Operator and WIOA Adult/DW service provider and Youth service providers under one RFP.**

**ResCare Workforce Services (now Equus Workforce Solutions) was awarded the One-Stop Operator and WIOA Adult/DW service provider contract in both Wake and Johnston Counties. The competitive RFP process took place from December 2018 to March 2019. The contract award begins on July 1, 2019 and is for one year. Contract extensions are available for up to three additional years based on performance, quality of services, responsiveness of providers, and the ability to meet contract expectations.**

**Beginning July 1, 2017, CAWD began releasing Request for Proposals every four years; however, a solicitation for proposals may be released sooner than the 4-year interval due to circumstances including, but not limited to, termination of a contract due to contractor performance, and additional funds availability.**

**The goal of Capital Area Workforce Development is to ensure fair and lawful award of public funds to qualified eligible service providers. Procurement of a One-Stop Operator and WIOA Adult and Dislocated Worker services, to conduct Workforce Innovation and Opportunity Act activities, is accomplished through a competitive procurement process as follows:**

- 1) **The competitive procurement process starts with the release of the Request for Proposal. To ensure that the notification is viewed by the public as well as local, state, and federal employment and training agencies, the notice is posted in newspapers (at least one minority owned), Capital Area Workforce Development's website, Wake County Government's website, National Association of Workforce Development Boards' website, and emailed electronically to an established list of adult employment and training agencies across the country.**
- 2) **After the notification release, a Pre-Proposal Information Session is then conducted by Capital Area staff and Wake County Procurement Service staff to discuss the RFP and answer any questions. Attendance at the session is recommended, but not required for agencies responding to the proposal. Questions, other than those addressed in the session, must be emailed or faxed to Capital Area before the established due date. The RFP provides clear guidelines on the submission requirements and the proposal deadline date and time. Proposals are not accepted after the deadline.**
- 3) **The Proposal Review Panel consists of Capital Area Board members and Capital Area staff. As part of the proposal review and selection process, the top 3-5 respondents, based on the reviewer's ratings, is required to meet with the Proposal Review Panel to briefly discuss their proposal and answer questions. In selecting an organization for one-stop operator, adult/dislocated worker or youth services, primary consideration is given to the demonstrated effectiveness of the organization in delivering comparable services, overall quality of the proposed plan of services, the likelihood of meeting or exceeding federal Performance**



Indicators, and cost. In addition, consideration is given to: a strong record of integrity, business ethics, and fiscal management and accountability; staff qualifications and technical skills to perform the work; and the ability of the organization to meet service delivery requirements at a reasonable cost.

- 4) After the review process is completed by the Proposal Review Panel, the Panel presents a recommendation to the Board at the scheduled Board meeting for Board approval. The selected respondent receives written notification of the award. The non-awarded respondents will also receive written notification with the instructions for requesting a debriefing or appeal as follows:
  - c. The debriefing must be requested in writing to the Capital Area Workforce Development Executive Director within ten (10) working days of notification of non-award. In a debriefing, the discussion will be limited to a critique of the RFP response, i.e. specific information as to factors where the proposal manifested weaknesses and strengths. Comparisons between proposals or evaluations of the other proposals are not considered.
  - d. The appeal request must be submitted in writing to CAWD Executive Director within five (5) working days following a debriefing. An appeal request must identify an issue or fact concerning a matter of bias, discrimination, conflict of interest, or non-compliance with procedures described in the RFP document. Appeal requests not based on those conditions are not considered. Appeal requests will be rejected as without merit if they address such issues as professional judgment on the quality of a proposal or the CAWD's assessment of Local Area needs, priorities, or requirements. The Capital Area Workforce Development Executive Director will issue a decision within five (5) working days of receipt of a written appeal. The decision will be final.

Funds for One-Stop Operator, WIOA Adult/DW Title I services are provided under a cost reimbursement contract, for the services provided during program delivery, between Capital Area and the WIOA service provider. CAWD now also uses a pay for performance model for all service providers that includes profit in their budget.

3. Attach the Local Area WDB's Adult and Dislocated Worker (DW) service providers chart effective July 1, 2021 using the [Adult/Dislocated Worker Service Provider List](#) provided. Name document: Local Area Name Adult and DW Providers 2021.

**Attached Document: Capital Area Adult and DW Providers 2021**

4. Describe how and when eligible training providers are reviewed at the local level and how customers are informed they have choices in choosing their providers. Define what "significant number of competent providers" means in the Local Area. Include whether the Local Area WDB uses more strict performance measures to evaluate eligible training providers. Attach if a separate policy. Local Area Name ETPL Policy.

**Attached Document: Capital Area ETPL Policy**

5. Describe follow-up services provided to Adults and Dislocated Workers.

*Per Training and Employment Guidance Letter (TEGL) 19-16 and Section 134(C)(2)(A), funds described shall be used to provide career services, which shall be available to individuals who are adults or dislocated workers through the one-stop delivery system and shall, at a minimum, include - ... (xiii) follow-up services, including counseling regarding the workplace, for participants in workforce investment activities authorized under this subtitle who are placed in unsubsidized employment, for not less than 12 months after the first day of the employment, as appropriate.*

**Follow-up services are provided, as appropriate, for participants who are placed in unsubsidized employment, for up to 12 months after the first day of employment. While follow-up services must be made available, not all the adults and dislocated workers who are registered and placed into unsubsidized employment will need or want such services. Follow-up is viewed as an extension of the program during which staff help participants create their own solutions to the challenges they may continue to face as they transition to employment.**

**The type of appropriate follow-up services may vary based on the needs of each individual. Participants who have multiple employment barriers and limited work histories may need significant follow-up services to ensure long-term success in the labor market. Other participants may identify an area of weakness in their skills prior to placement that will affect their ability to progress further in their occupation or to retain their employment.**

**Follow-up services will help support each participant in maintaining employment and will provide a continuous link to the workforce system, including referral networks and partner programs.**

**In the Capital Area, follow-up services may include, but are not limited to:**

- additional career planning and counseling
- counseling regarding the workplace
- contact with the participant's employer, including assistance with work-related problems that may arise
- peer support groups
- career pathway development
- information about additional educational opportunities
- information and referrals to supportive services available in the community
- case management administrative follow-up
- assistance in securing better-paying jobs
- other services

**The frequency of follow-up will align with the needs of the individual. Additional contacts will occur if the participant initiates them or if staff identifies a need for them. A consistent message during each follow-up contact will ensure participants know the**

**NCWorks Career Center services are available to support them, even after follow-up ends.**

## IX. Youth Services

*USDOL provides funds to states who in turn provide local workforce areas resources to deliver a comprehensive array of youth services that focus on assisting out-of-school youth and in-school youth with one or more barriers to employment prepare for post-secondary education and employment opportunities, attain educational and/or skills training credentials, and secure employment with career/promotional opportunities. USDOL and North Carolina's priorities are:*

- *Out-of-School Youth – A minimum of 75 percent of the Youth funds allocated to Local Areas, except for the Local Area expenditures for administration, must be used to provide services to OSY;*
- *Work Experience – Not less than 20 percent of Youth funds allocated to the Local Area, except for the Local Area expenditures for administration, must be used to provide paid and unpaid work experiences; and a*
- *Focus on Partnering – Co-enrollment encouraged where appropriate with Title II and IV.*

1. Provide a description and assessment of the type and availability of youth workforce activities in the Local Area, including activities for youth who are individuals with disabilities. Include identification of successful models of such youth workforce investment activities being used and/or planned. [WIOA Section 108 (b)(9)]

Youth Workforce Activity	For Persons with Disabilities?	Brief Assessment/Model Used	Success Rating
Paid and unpaid Work Experience (WEX)	Yes	Objective Assessment, TABE, YouScience, Skills Gap Analysis (O*Net, MySills My Future)/ Capital Area Model	PY19 – 80.5% completion rate (66 of 82 successfully completed the WEX)
Pre-Apprenticeship	Yes	Objective Assessment, TABE, YouScience/ Capital Area Model	PY20 - 100% completion rate 11 of 11 youth successfully completed the pre-apprenticeship and moved into the apprenticeship. (Capital Area conducted an electrical pre-apprenticeship with non-WIOA funds and this was the outcome of that project.)
On-the-Job Training (OJT)	Yes	Objective Assessment, TABE, YouScience, Skills Gap Analysis (O*Net, MySills My Future)/ Capital Area Model	PY19 - 87.5% (7 of 8 youth successfully completed the OJT)

Paid and unpaid Internships	Yes	Objective Assessment, TABE, YouScience, Skills Gap Analysis (O*Net, MySills My Future)/ Capital Area Model	0/0
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**Young adults with disabilities participate in all the above-mentioned components and activities and will receive the appropriate accommodations based on their needs to participate and succeed in all of those mentioned. Another part of the youth program geared towards those with a disability is the Occupational Course of Study (OCS) program, which is a partnership with the public-school system. As a requirement of OCS, youth must participate in a work experience to obtain credits for graduation. Capital Area NextGen Centers have been working with these in-school youth to meet their requirements so they can graduate on time.**

2. Describe how the Local Area's broad Young Adult (NextGen) Program design is unique to include:
  - a. Providing objective assessments;
  - b. Supportive services needs; and
  - c. Developmental needs of each participant, for the purpose of identifying appropriate services and career pathways for participants. [WIOA Section 129(c)(1)(A)]

**Beginning in July 2021, Capital Area will be piloting a new Apprenticeship Prep model through the Wake County NextGen Center for WIOA youth services. Below is an overview and outline of the project.**

## **CAPITAL AREA APPRENTICESHIP PREP MODEL**

### **Overview**

**CAWD's Apprenticeship Prep program for youth between the ages of 16-24 combine academic and technical classroom instruction with work experience and advancement to an apprenticeship program. Apprenticeship Prep provides the foundation for youth to choose among multiple pathways – to enroll in college, begin full-time employment, or a combination.**

### **CAWD Apprenticeship Prep benefits:**

- **Youth engage in work-based/experiential learning and continue in furthering their education during or after high school and/or college.**
- **Students are connected to career pathways during education, increasing the potential for career success.**
- **Businesses gain access to a talent pipeline of entry-level workers to address skills shortages in the workplace.**

**The program model will feature industries that are in demand in the Wake and Johnston County areas. It will also combine basic skills preparation, occupational skills training, and other activities and support to help participants obtain the skills needed to continue into a**

full apprenticeship program. Through partnerships with businesses, high schools, community colleges, and other partners, CAWD's Apprenticeship Prep program can make a difference in the lives of youth while supporting economic and workforce development.

The pilot will start in Wake County beginning July 1, 2021 as a transition year, with plans to move to full implementation in both Wake and Johnston counties beginning in July 2022. Areas of concentration under consideration for the pilot are Electrical, Healthcare or Information Technology. Plans are to run two cohorts for two industries for the pilot year with 15 students in each cohort for a total of four cohorts with 60 youth for the first year.

**Youth Apprenticeship Prep Pipeline**

**Step 1: Participant Recruitment:**

Recruitment for the program will be targeted based on industry. It will take place via referrals from our partners, such as local high schools, community colleges, community-based organizations, and Social Services organizations. CAWD will also utilize our community partner tool, Care360, for referrals for the program. This stage is the entry point where students are exposed to the program requirements and the industry information.

**Step 2: Program Eligibility**

As a part of the screening process, youth must meet the following eligibility criteria for the NextGen program. An individual must be:

- U.S. Citizen or Registered Alien;
- Be between the ages of 16 - 24 at the time of enrollment;
- Meet Selective Service Registration requirements (If applicable);
- Have at least one of the following barriers:
  - School Dropout
  - An individual who is subject to the juvenile or adult justice system
  - Homeless/Runaway
  - Youth in or aged out of a foster care system
  - Pregnant or Parenting
  - Individual with a Disability
  - Low-income

**Step 3: Path Determination/Enrollment**

There will be two paths as part of the Youth Apprenticeship Prep Model. These paths will determine when a youth is enrolled into the program. They are as follows:

- Path #1: Youth is immediately enrolled into program, if:
  - Youth has HS Diploma or HS Equivalent, or
  - Youth scores at least a *9<sup>th</sup> grade or higher in Reading and 6<sup>th</sup> grade or higher in Math* on the Test of Adult Basic Education (TABE) Test

*Note: Youth will work on HS Diploma/HS Equivalency as a first activity in the program*

- **Path #2: Youth's enrollment is temporarily delayed into program and referred to Wake Technical Community College for the Basic Skills Program, if:**
  - Youth scores below a *9<sup>th</sup> grade in Reading and 6<sup>th</sup> grade in Math* on the TABE Test.
    - NextGen staff will remain in regular contact with the youth to ensure they remain engaged and continue to work on their goals to get into the program
    - To keep them engaged, youth will participate in job readiness activities, i.e. workshops, etc. with the NextGen Program
    - Once a youth scores at least a *9<sup>th</sup> grade or higher on Reading and 6<sup>th</sup> grade or higher on Math* on the TABE Test, they can be enrolled into the program

#### **Step 4: Readiness Training**

- Youth will be engaged in Leadership Development activities geared toward their desired occupation.
- Additional activities will be derived from the 14 WIOA youth program elements such as mentorship, career exploration and leadership training.

#### **Step 5: Pre-apprenticeship**

At the heart of the pilot program experience, this stage involves youth completing a pre-apprenticeship program to explore their interest and fit in a technical field before committing to a full apprenticeship.

- Prior to committing to the pre-apprenticeship, youth will be able to learn more about the industry through pre-enrollment sessions.
- The sessions will be industry specific and,
  - include tools for youth to learn more about the industry
  - include speakers from the industry

The Pre-apprenticeships will be conducted using approved training providers, including community colleges, where youth will earn their industry-recognized credential. Youth will be able to concurrently take courses directly related to the apprenticeship field in addition to their required high school equivalency coursework.

**During the pilot period:**

- The Pre-apprenticeships will be offered in the following target industries: Skill Trades and Healthcare or Information Technology during the pilot
- There will be 2 cohorts per year per occupation
- The Cohort size of each group will be 15
- Stipends/Incentives will be given to youth based on achievements

*Note: after the pilot program, participants may go directly to apprenticeship program post-apprenticeship prep.*

#### **Step 6: Apprenticeship or Employment**

Once pre-apprenticeship is completed, youth will be referred to applicable apprenticeship, further education or employment.

#### **Step 7: Exit/Follow-up**

Once the youth enters an apprenticeship or employment, they will be eligible to exit from the program. After program exit, the youth will remain in contact with staff for at least a year to ensure they continue to be successful.

In addition to the pilot project that is being implemented in Wake County, Capital Area will continue to follow the NextGen Framework for Youth Services in Johnston County and for those individuals in Wake County who are not in the Apprenticeship Prep program as follows:

#### **CAPITAL AREA NEXTGEN FRAMEWORK**

Capital Area NextGen Framework consists of five components. These are Education, Career Pathways, Career Experience, Leadership Development, and Wrap Around Services.

Educational opportunities are readily available to youth and young adults to help them achieve long-term goals, as well as access resources, tools, and services. Occupational skills training, high school equivalency, classes, and tutoring are focused on preparing youth and young adults for high-demand occupations. Youth are assessed through interest and aptitude assessments. Youth activities in education are assessed and monitored by the case manager to ensure they are completing and succeeding in their courses. Additional assistance in high school equivalency classes, OST, or post-secondary activities can be offered through tutoring, on and off-site.

Career pathways versus “jobs” are the focus for youth and young adults employment and training. A clear path from education into the workforce is provided through career pathways that include integrated services, diverse training, career readiness, partnerships, and other unique features. This component offers career exploration, labor market information, soft skills training, job fairs and industry tours. The case manager works with the youth at enrollment and throughout the program, particularly regarding the Individualized Service Strategy (ISS). The ISS details the path each youth needs to take to complete short and long-term goals. A Career Pathway is reflected in this ISS, and it is assessed at least every 90 days to ensure the youth is still on the appropriate path and can be changed, if necessary, to meet their needs.

Career opportunities, entrepreneurship, and work-based learning must be available to each youth and young adults in the program. Local businesses are engaged to provide internships, job shadowing, on-the-job training, and pre-apprenticeships. These workforce activities are closely monitored by a case manager and on-site supervisor to ensure youth are completing all duties in their role, obtaining efficient skills, and complying with all rules and regulations at their worksite. Throughout the course of the youth’s work experience and OJT, case managers will assess the youth’s newly acquired skills, identify additional employment

barriers, and participate in workshops to emphasize resumes, soft skills, and mock interviews to assist them further once the work experience is complete and they are applying for unsubsidized employment.

Leadership development must be a strong aspect of the local Workforce Development Boards youth and youth adult program design. Opportunities for youth and young adults to participate in community service, peer-centered activities, classroom development, mentoring, and soft skills training are available. Other activities include youth leadership weeks, financial literacy, and personal development. Youth who are leaders in the program are evaluated to determine if they can be on the Youth Advisory Committee, which meets monthly to plan special events and hold forums on the program. Youth will attend leadership workshops and community events, volunteer throughout the year on and off-site, and positively represent their youth program.

And lastly, NextGen staff work with state and local community organizations to ensure that wrap around services are available to meet the needs of their youth and young adults in different ways. Partnerships must include: Vocational Rehabilitation, Departments of Social Services, Adult Basic Education, and juvenile justice.

- a. After enrollment, all youth will have an objective assessment completed which identifies service needs, academic levels, goals, interests, supportive service needs, and measures barriers and strengths. It also includes a review of basic and occupational skills, prior work experience, work readiness, and developmental needs. The results of a comprehensive objective assessment assists in the development of an Individual Service Strategy (ISS).
  - b. Supportive Services such as transportation, childcare, clothing, car repair, etc. are provided as needed to youth to help them participate in WIOA youth activities. NextGen staff look for other resources before providing them through WIOA funding. Youth are assessed on a regular basis to determine continuation of the supportive services that are provided or to determine if any additional supportive services are needed.
  - c. Youth are assessed at enrollment to not only determine their career interests but to determine what developmental needs they may have that may be a barrier to them being successful in completing their goals. NextGen staff works closely with community partners to leverage resources such as tutors, mentors, and mental health assistance. Staff will also assess youth skills using YouScience to determine what skills they may have, and which Career Pathway will best fit their abilities.
3. How does the Local Area ensure the Individual Service Strategy (ISS) identifies appropriate services based on the objective assessment and is linked to youth performance indicators, career pathways, and program elements? [WIOA Section 129(c)(1)(B)] How does the provider ensure the ISS is unique to the individual?



**All individuals will have an objective assessment and Individual Service Strategy (ISS) completed to determine abilities, barriers, strengths, needs, and goals. Staff uses this information to better understand the youth and determine what services they will need to successfully complete their education and career goals. It is from this discussion that staff will, in partnership with the youth, develop an ISS for them. The ISS details the path each youth needs to take to complete short-term and long-term goals. Staff will use this ISS to determine every step the youth will take while in the program. It is assessed at least every 90 days to ensure the youth is still on the appropriate path and can be changed, if necessary, to meet their needs.**

**Capital Area staff provide training and technical assistance throughout the year to ensure that staff are well-trained on conducting objective assessments and how to use them to develop the youth's ISS. The Youth Workforce Development Specialist conducts regular desk reviews and quality assurance reviews to monitor the quality and effectiveness of these documents in NCWorks Online. This ensures that the ISS will include activities leading to a career pathway of interest to the youth, and will include other appropriate activities (program elements) that will ensure their success and therefore provide a positive outcome for the youth performance indicators.**

4. Where does the Local Area plan to serve the young adults (NextGen): NCWorks Career Centers Tier 1, Tier 2, Specialized Centers, Service Provider Offices, or Hybrid situations? Explain if it is both NCWorks Career Centers and Provider Offices or some other option.

**The young adults will be served in our Specialized Youth Centers – One NCWorks NextGen Center in Wake County and one NCWorks NextGen Center in Johnston County. Young adults can also take advantage of the workshops, job fairs, and events that are held through the NCWorks Career Centers as well.**

5. Attach the Local Area WDB Youth service provider's chart, effective July 1, 2021, using the [Youth Service Provider List](#) provided. Complete each column to include specifying where Youth Services are provided. Name the document: Local Area Name Youth Providers 2021.

**Attached document: Capital Area Youth Providers 2021**

6. Provide the WDB's approach to meeting the required 75% minimum (NextGen) youth expenditures on out-of-school youth and include special outreach efforts and highlight planned program design. [WIOA Section 129(a)(4)(A)]

**In order to recruit eligible out-of-school youth, Capital Area NextGen Centers will continue to utilize a variety of strategies including, but not limited to, partner referrals, word of mouth, social media, client referrals, community events and outreach, marketing materials within local agencies and places of interest to youth, and canvassing communities that have a high population of disconnected youth.**

**Youth service providers will also continue to leverage relationships with community partners such as the public school system, community colleges, Vocational Rehabilitation, NC Division of Social Services (DSS), behavioral health agencies, NCWorks Career Centers, juvenile probation offices, and Haven House among others to recruit participants for enrollments into the program. Through effective outreach efforts, our service providers have had no difficulty finding out-of-school youth in need of the services of NextGen Centers.**

7. Describe how the Local Area WDB partners, aligns, and leverages, as appropriate with:
  - a. Title II Adult Education and Family Literacy Act program resources and policies;
  - b. Title IV Vocational Rehabilitation program resources and policies;
  - c. Integrates adult education with occupational education and training and workforce preparation, as Boards and the creation of career pathways for youth. [USDOL TEGL 8-15]
- a. **Capital Area youth service providers work with Title II providers to deliver high school equivalency/high school diploma services, tutoring, occupational skills courses, and various trainings throughout the year as needed. Capital Area currently has a contract with Wake Technical Community College (WTCC) Basic Skills to fund an adult basic skills instructor specifically for WIOA NextGen participants. In addition, for program year 2021, Capital Area will partner with WTCC basic skills to pilot a new service delivery model for our youth program which focuses on apprenticeships. CAWD and Wake Tech will have a formal referral process to refer students between programs for the pilot. Implementation is planned for July 2021. There will be a continued strong relationship with Title II in providing these services to the youth and young adult population.**

**NextGen Johnston County and Johnston Community College (JCC) have developed a strong partnership. JCC's WIOA Title II program and NextGen partner to recruit students and to provide basic skills and high school equivalency instruction to participants. Instruction is provided by JCC instructors on site at the NextGen center and students are provided with NextGen staff support and supportive services. NextGen and JCC's Title II program coordinate referral, intake and testing processes and work jointly on recruitment and retention efforts. Both programs have provided information and training to promote a shared understanding of performance indicators, eligibility requirements, TABE testing procedures and reporting.**

**NextGen also partners with other curriculum and continuing education programs and departments at WTCC and JCC. As eligible training providers for CAWD, WTCC and JCC provide valuable training and opportunities for NextGen participants.**

- b. **We work together with Vocational Rehabilitation (VR) to ensure equitable opportunities for all young adults. NextGen and VR staff meet regularly to review**

potential referrals, staff joint cases, decrease barriers to employment for needs such as assistive technologies and to share resources. VR provides case management and employment services for participants enrolled in both NextGen and VR. These services include paid internships, employment placement and employment support. With NextGen and VR meeting regularly, this ensures there is no duplication of services for the youth participants.

Pre-employment transition services (pre-ETS) are provided at all county high schools. These services are provided by a local contractor through a partnership with Vocational Rehabilitation and public schools. Categories of pre-ETS services include job exploration, counseling, work-based learning experiences, post-high school opportunities, workplace readiness training, and instruction in self-advocacy. Students that need additional assistance after high school, or that do not finish high school, are referred for NextGen services as appropriate.

In addition to these services, our VR agencies began to play a more active role in youth conversations with not only our youth service providers but with our Youth Advisory Councils as well.

- c. Capital Area works closely with both WTCC and JCC to provide adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for specific occupations or occupational clusters for the purpose of educational and career advancement. This will be even more apparent with Capital Area's new Youth Apprenticeship Prep model where Youth will be able to concurrently take courses directly related to the apprenticeship field in addition to their required high school equivalency coursework.

- 8. Describe how follow-up services will be provided for (NextGen) youth.

**Note:** All youth participants must receive some form of follow-up for a minimum duration of 12 months.

Relationship building is important in order to keep young adults engaged during enrollment into WIOA and it is even more important that there is an ongoing support system available, even after exit from the program. Methods of follow-up include mail, email, phone calls, texting, and social media. These methods of follow-up will be conducted frequently and consistently to ensure the young adults are on the right track and continue with success after exit. Those who successfully complete the program will be asked to return to share their experiences in the program and mentor the youth who are currently active.

If a youth in follow-up is not reachable by the forms of communication mentioned above, then active efforts will be made to reach family members, friends, employers, and schools. Case managers will maintain monthly contact for the first 90 days and then will reach out quarterly to check in on the status of the youth throughout the rest of the followup year.

**Services offered during follow-up may include:**

- **Assistance in addressing work-related problems that arise;**
- **Supportive services;**
- **Adult mentoring;**
- **Financial literacy education;**
- **Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and,**
- **Activities that help youth prepare for and transition to postsecondary education and training.**

9. Specify if the Local Area WDB plans to offer incentives for (NextGen) youth.

If yes, attach the Youth Incentive Policy to include:

- a) criteria to be used to award incentives;
- b) type(s) of incentive awards to be made available;
- c) whether WIOA funds will be used; and
- d) the Local Area WDB's internal controls to safeguard cash/gift cards.

Name document: Local Area Name Youth Incentive Policy.

**Note:** Federal funds may not be spent on entertainment costs.

**Yes, Capital Area Workforce Development plans to offer incentives for youth.**

**Attached Document: Capital Area Youth Incentive Policy**

10. If the Local Area WDB does not offer incentives for (NextGen) youth, please explain why.

**N/A**

11. Describe the Local Area strategy to ensure youth (NextGen) program activities lead to a High School Diploma or its equivalent or a recognized post-secondary credential and post-secondary education and training opportunities. [WIOA Section 129(c)(1)(C)]

**As part of Capital Area's new Apprenticeship Prep program, Youth will be able to concurrently take courses directly related to the apprenticeship field in addition to their required high school equivalency coursework. Then, upon completion of the Apprenticeship Prep program, youth will be referred to applicable apprenticeship, further education or employment.**

**Also, one of the NextGen Framework's five components is Education. The Education component consists of alternative secondary school services, dropout recovery services, tutoring, postsecondary education and training, and occupational skills training (OST).**

**Youth are assessed upon enrollment in the program to determine appropriate activities for the youth. Case managers monitor the youth closely while they are active in the various program elements that are included in the Education component to ensure they are completing and succeeding in activities. Additional assistance in high school equivalency (HSE) classes, OST or postsecondary education is also offered through tutors, on-site and off-site.**

**Capital Area has also implemented Virtual Reality in the classroom to keep the youth engaged in the HSE lessons. It provides learning applications that augment HSE information helping youth experience firsthand what is being taught instead of just learning it out of a book.**

**Educational field trips is another important strategy our NextGen Centers use to provide alternative learning opportunities for our youth (aside from classroom work). This includes college tours and informational sessions with representatives from local colleges.**

12. Describe the local strategy to prepare the youth (NextGen) for unsubsidized employment, including with small employers, specifically those that include in-demand industry sectors and occupations of the local and/or regional labor markets. [WIOA Section 129(c)(1)(C)(v)]

**Career Experience is another one of Capital Area NextGen Framework's five components. It includes work-based learning activities such as paid and unpaid work experience, on-the-job training, job shadowing, pre-apprenticeships, and internships. These workforce activities are closely monitored by a case manager and the on-site supervisor to ensure youth are completing all their work goals, obtaining relevant skills, and complying with all rules and regulations at their worksite. Throughout the course of these activities, case managers will assess the youth's newly acquired skills and identify additional employment barriers. The youth will participate in workshops to emphasize resumes, soft skills, and mock interviews to assist them further once the workforce activity is complete and they are applying for unsubsidized employment.**

**Prior to being put into a workforce activity, youth will complete, review and update (as needed) their resume with the Youth Advocates, as well as, go through a mock interview. NextGen Career Centers provide on-going job readiness and soft skills workshops. They will also provide hiring and networking events at the center. Through the completion of these workforce activities, staff will encourage the youth to consider employment with small employers, specifically those that are in the Capital Area's in-demand industry sectors, which are Information Technology, Healthcare, Advanced Manufacturing, and Construction / Skilled Trades.**

13. Please complete the [Youth Program Elements chart](#) provided to demonstrate how the Local Area WDB ensures each of the 14 youth program elements is made available to youth participants. Be

certain to complete both columns to demonstrate partnerships and potential use of shared funding. [WIOA Section 129(c)(2)(A)] Name document: Local Area Name Youth Program Elements

**Attached document: Capital Area Youth Program Elements**

14. How does the Local Area ensure that the minimum of 20% of funds is spent on work experience and is the Local Area expending the 20% minimum on work experience to include an estimate of expenditures that will be paid wages to youth? If the Local Area WDB has not been meeting the minimum of 20% of funds, please explain additional measures to be taken this year. [WIOA Section 129(c)(4)]

**Even though WIOA requires that local areas spend a minimum of 20% of youth funds on work experience, Capital Area requires that youth service providers spend 25% of allocations on work-based learning activities. Capital Area strongly believes that work-based learning activities are critical to the success of youth. These activities will include paid and unpaid work experiences, summer work experience, on-the-job training, internships, pre-apprenticeships, and job shadowing.**

**Youth service providers have had a concentrated focus on these areas in past years and will continue to do so with the efforts of the Business Service Specialist at each site, as well as the assistance of the Business Engagement staff at Capital Area. These staff members will work closely together to engage local businesses in the community to build partnerships, create career pathways, and allow further opportunities for these young adults in the programs. Service providers will target a wide range of work-based learning opportunities, with special attention given to high-growth industries in Wake and Johnston counties. Capital Area will also continue to track this expenditure rate on a monthly basis to ensure each provider stays on track.**

**Capital Area has consistently made the 20% requirement under WIOA, however due to the COVID-19 pandemic, employers have been reluctant to offer these opportunities to youth in this environment. We anticipate it will pick back up as the vaccine becomes more available and more businesses return to normal business operations.**

15. Does the Local Area WDB have a standing committee to provide information to assist with planning, operational and other issues relating to the provision of services to youth? [WIOA Section 107(b)(4)(A)(ii)]
- a. If no, describe how oversight to planning, operational, and other issues relating to the provision of services to youth will be provided.

**No, Capital Area does not have a standing committee to provide information to assist with planning, operational and other issues relating to the provision of services to youth. Capital Area staff (Youth Workforce Development Specialist and One-Stop System Director) provides the day-to-day oversight of our youth programs. This staff also provides training and technical assistance while the Accountability Specialist**

monitors performance. Youth providers submit monthly reports established by CAWD staff to track the progress of service delivery.

In 2020, Capital Area created Youth Advisory Councils in Wake and Johnston counties. These community-based councils work together to provide a system of support around youth employment. More specifically, the mission of these councils is to support the creation of an education-to-career system that enables every young person in the Capital Area to:

- 1) graduate from high school;
- 2) engage in work experiences;
- 3) complete a post-secondary credential; and,
- 4) secure living wage work.

b. If yes, please provide a response to the following:

a) Provide the committee's purpose/vision.

N/A

b) Provide the committee's top three goals or objectives for PY 2021.

1. N/A

2. N/A

3. N/A

c) List of members to include members' agency/organization, one of which must be a community-based organization with a demonstrated record of success in serving eligible youth. Provide the Committee's Chair information in the first block (who must be a WDB member.) Name document: Local Area Name Youth Committee Members. [WIOA Section 107(b)(4)(A)(ii)] and,

N/A

c. Complete the following chart for the PY 2021 Youth Committee's planned meeting schedule to include dates, time and location. *[Expand form as needed.]*

Date	Time	Location (include address and room #)
N/A	N/A	N/A

16. Provide the date and process for when the competitive procurement of the Youth Programs was completed, to include any contract extensions.

**Capital Area solicits proposals for the One-Stop Operator, WIOA Adult/DW Service Provider and WIOA Youth Service Providers under one RFP.**

**Competitive procurement of the Capital Area Youth Programs took place from December 2018 to March 2019. The contract award begins on July 1, 2019 and is for one year. Contract extensions are available for up to three additional years based on performance, quality of services, responsiveness of providers, and the ability to meet contract expectations.**

**Capital Area's competitive procurement is as follows:**

**Beginning July 1, 2017, Capital Area Workforce Development (CAWD) began releasing Request for Proposals every four years; however, a solicitation for proposals may be released sooner than the 4-year interval due to circumstances including, but not limited to, termination of a contract due to contractor performance, and additional funds availability.**

**The goal of Capital Area Workforce Development is to ensure fair and lawful award of public funds to qualified eligible service providers. Procurement of Youth Program services, to conduct Workforce Innovation and Opportunity Act activities, is accomplished through a competitive procurement process, as follows:**

- 1) The competitive procurement process starts with the release of the Request for Proposal. To ensure that the notification is viewed by the public as well as local, state, and federal employment and training agencies, the notice is posted in newspapers, on Capital Area Workforce Development's website, Wake County Government's website, National Association of Workforce Development Boards' website, and emailed electronically to an established list of youth employment and training agencies across the country.**
- 2) After the notification release, a Pre-Proposal Information Session is then conducted by Capital Area Staff and Wake County Procurement Service staff to discuss the RFP and answer any questions. Attendance at the session is recommended, but not required for agencies responding to the proposal. Questions, other than those addressed in the session, must be emailed or faxed to Capital Area before the established due date. These questions are answered by Capital Area staff and are added as an Addendum to the RFP. The RFP provides clear guidelines on the submission requirements and the proposal deadline date and time. Proposals are not accepted after the deadline. Respondents are required to submit a non-binding intention to bid as part of the response process.**
- 3) The Proposal Review Panel consists of Capital Area Board Members, and Capital Area staff. As part of the proposal review and selection process, the top 3-5 respondents, based on the reviewer's ratings, is required to meet with the Proposal Review Panel to briefly discuss their proposal and answer questions. In selecting an organization for youth services, primary consideration is given to the demonstrated effectiveness of the organization in delivering comparable serves, overall quality of the proposed plan of**



services, the likelihood of meeting or exceeding federal Performance Indicators, and cost. In addition, consideration is given to: a strong record of integrity, business ethics, and fiscal management and accountability; the staff qualification and technical skills to perform the work; and the ability of the organization to meet service delivery requirements at a reasonable cost.

- 4) After the review process is completed by the Proposal Review Panel, the Panel presents a recommendation to the Board at the scheduled Board meeting for approval. The selected respondent will receive written notification of the award. The non-awarded respondents will also receive written notification with the instructions for requesting a debriefing or appeal, as follows:
  - a) The debriefing must be requested in writing to the Capital Area Workforce Development Executive Director within ten (10) working days of notification of non-award. In a debriefing, the discussion will be limited to a critique of the RFP response, i.e. specific information as to factors where the proposal manifested weaknesses and strengths. Comparisons between proposals or evaluations of the other proposals are not considered.
  - b) The appeal request must be submitted in writing to CAWD Executive Director within five (5) working days following a debriefing. An appeal request must identify an issue or fact concerning a matter of bias, discrimination, conflict of interest, or non-compliance with procedures described in the RFP document. Appeal requests not based on those conditions are not considered. Appeals requests will be rejected as without merit if they address such issues as professional judgment on the quality of a proposal or CAWD's assessment of Local Area needs, priorities, or requirements. The Capital Area Workforce Development Executive Director will issue a decision within five (5) working days of receipt of a written appeal. The decision will be final.

Funds for WIOA Title I Youth services are provided under a cost reimbursement contract between Capital Area and the WIOA Youth service provider(s). Beginning in PY17, Capital Area implemented a pay for performance for Youth service providers that include profit in their budget. This model will continue in PY19 with all for-profit contracts.

## X. Local Area Innovations

1. List additional funding received by the Local Area WDB to include special grants (Enhancement, Finish Line, Innovation), National Dislocated Worker Grants (disaster), YouthBuild, Foundations, NCWorks Commission, other outside funding and others to include a brief description of the source and the amount.

Grant Name/Kind	Description	Beginning and End date	Source and Amount
Finish Line Grant	To provide emergency funds to students at Wake Technical Community College and Johnston Community College for financial emergencies that may prevent their education completion.	8/17/2018-06/30/2021	NC Division of Workforce Solutions \$200,975
YouthBuild	To provide education and construction training to opportunity youth ages 16-24 in target Raleigh communities. Youth are connected to further career and educational opportunities.	9/01/2017-08/30/2021	U.S. Department of Labor, Education and Training Administration \$1,080,000
Roads to Reentry	To provide case management, supportive services, mentorship, education, job training, apprenticeships, and other workforce activities that lead to employment for individuals exiting and recently exited local detention facilities. (Wake and Johnston Counties)	7/1/2019 – 09/30/2022	U.S. Department of Labor, Education and Training Administration \$1,500,000
Intermediary Agency for the Wake Local Reentry Council	To serve as the operator of the Wake Local Reentry Council. Provide intake and referrals to recently released individuals. Coordinate and recruit partners that provide support to returning citizens. Strengthen the network of support	12/20/2020 – 12/19/2021  (can be renewed for up to three years,	N.C. Department of Public Safety \$150,000 annually

	for returning citizens in Wake County.	currently in 2 <sup>nd</sup> year)	
National Dislocated Worker Grant (NDWG)	To provide emergency education, training, and support services to workers dislocated due to the economic downturn as a result of the COVID-19 pandemic.	07/01/2020 – 6/30/2022	U.S. Department of Labor and NC Division of Workforce Solutions \$693,160
House Wake!	To provide emergency support, in particular housing, to returning citizens impacted by the pandemic.	7/1/2020 – 12/31/2020	CARES Act through Wake County Government, Housing Affordability & Community Revitalization \$100,900
Wake Partners	To support projects from Wake County non-profits to serve clients impacted by the COVID-19 pandemic. Projects were submitted through RFP process.	8/01/2020-12/31/2020	CARES Act through Wake County Government \$635,097
Wake County Emergency Youth Employment COVID-19 Program	To provide pre-apprenticeship training in IT and Electrical to young adults impacted by COVID-19 and provide incumbent worker training funds to help employers safely reopen.	8/01/2020-12/31/2020	CARES Act through Wake County Government \$407,009
Capital Area Workforce Development COVID-19 Programs	Combined CARES Act funded programs from 2020 into one program to provide housing assistance to returning citizens, continued funding for non-profit COVID-related programs, and continued training for young adults in IT.	01/1/2021 – 3/31/2021	CARES Act through Wake County Government \$941,762

2. Describe one of the Local Area WDB's best adult/dislocated worker program practice.

**Capital Area Workforce Development has partnered with IBM to launch an exciting new digital-based platform by the name of SkillsBuild! SkillsBuild is a platform-enabled program that connects adult and dislocated worker learners with employable skills and experience. Its learners participate in personal assessments, best-in-class online education, coaching, and project-based learning to open opportunities in careers such as development, customer engagement, and more.**

**SkillsBuild full access is comprised of approximately \$300k worth of learning materials offered at no cost out of pocket to learners and will provide them with access to over 10,000 learning activities. Learners also can obtain digital badges issued by IBM SkillsBuild through Acclaim that can be posted to your professional social media profiles, such as LinkedIn. Their learning can get recognized and offer tangible evidence to future employers. Some examples of badges that can be obtained through the SkillsBuild platform include, but are not limited to:**

- Cybersecurity Fundamentals**
- Job Application Essentials**
- Introduction to Web Development**
- Working in a Digital World: Professional Skills**

3. Describe one of the Local Area WDB's best youth program practice.

**Due to the coronavirus pandemic, service delivery methods for the NextGen Program had to shift to largely a virtual format. One of the challenges quickly identified was the lack of technology access for the youth participants. One of the strategies used to address the lack of technology access during the pandemic was purchasing technology equipment such as laptops/tablets and hotspots. Staff were able to purchase eight (8) tablets, thirteen (13) Chromebooks, four (4) Hot Spots and twelve (12) Kindles. With these devices, the youth participants were able to:**

- Continue to work on their GED studies**
- Begin/Continue their online courses/training**
- Participant in virtual workshops and other job readiness activities**

**The youth participants would check out the devices for use at home. In addition, the technology was available for use in the NextGen Centers as well.**

4. Describe one of the Local Area WDB's regional strategy that has yielded positive results.

**CAWD has been a part of a regional effort to understand the talent needs of employers and share that information throughout the region. CAWD and Wake Economic Development led an effort that included the City of Raleigh, Johnston Economic Development, Durham Chamber of Commerce, Kerr-Tar and Durham Workforce Development Boards. The**

survey was developed and delivered with RTI International providing professional and technical support. The first Regional Skills Analysis was carried out in 2017 with a plan to update it every 3 years and share the tool with other regions in North Carolina. In 2020 the regional team came back together to update the survey and reach more employers. Other regions of the state are also using the tool, including the Wilmington and Asheville regions. Despite rolling out the 2020 survey at the beginning of the pandemic, there was an increase in employer participation. While Wake County employers participated in high numbers in both survey years, Johnston and Durham Counties saw a big jump in participation between 2017 and 2020 surveys. Overall, the survey included 15 counties and over 700 responses.

The Regional Skills Analysis allows the region to better understand employer talent needs. It looked at the 10 biggest industries in the area and asks what positions are most in-demand, what are their hiring projection, and what credentials and soft skills are needed. The results of the survey were published in a downloadable format. RTI also presented the results at a series of meetings including for the CAWD Board and chamber and economic development events. This analysis was used to support several grant applications including regional proposals.

5. Describe one of the Local Area WDB's Incumbent Worker or other business services best strategy.

CAWD has a strong partnership with our local government and economic development agencies. In considering our region's economic and workforce development needs, it's critical that we seek ways to align efforts and fully leverage available resources. In the development of the CAWD strategic plan, CAWD made the commitment to connect our strategic priorities to that of our county commissioners, economic development partners, and local Governments.

Specifically, there were opportunities to look at how we support entrepreneurs and small businesses, considering in particular those owned by minorities or individuals with disabilities and businesses located in vulnerable communities. CAWD is uniquely positioned to provide these businesses with access to critical resources, education and funding that help them grow and succeed in our market. Often these businesses lack awareness of available resources and have limited staff or capacity to dedicate to workforce needs. By connecting with our board and NCWorks Career Centers, we become a critical partner and ally to the business community.

Utilizing our existing programs and funding streams, including on-the-job training and incumbent worker grants we helped these business owners find quality talent and minimize the financial burden and risk of hiring and training. We expanded the number of educational workshops offered at our career centers to support entrepreneurs and we partnered with other agencies in outreach and awareness of resources available.

**In program year 2021, CAWD plans to put more emphasis on apprenticeship as a work-based learning strategy. CAWD's business engagement director's work plan includes a goal to promote apprenticeship with area employers and increase the number of businesses that establish apprenticeship programs. CAWD will also continue to seek outside funding to support more work-based learning resources.**

**CAWD has also decided to put more focus on Entrepreneurship and plans to develop an end-to-end process that identifies resources and training to support job seekers interested in starting their business.**

## XI. Program Year 2021 Local Area WDB Plan Required Policy Attachments

- The following policies are *required* to be attached as separate documents in WISE as part of the PY2021 Plan. The Plan is not complete without these documents. Name each document: Local Area Name, Policy Name.
  - In the first column, state if it is attached or why it is missing and when it can be expected. If two of the policies have been combined, please make a notation.
  - In the second column mark “Yes” **only** if the policy has been changed/revised since PY2020 and requires a special review for PY 2021 and has not been previously submitted to the Division.
  - Do not add an empty document in WISE as a “placeholder”.

Required Local Area Policies and DWS Reference Policy	Attached (Yes/No). If no, why?	Revised for PY2021 (Yes/No) and needs review
1. Adult/Dislocated Worker Work Experience Policy (PS 10-2017)	Yes	No
2. Competitive Procurement Policy (PS 19-2017, Change 2)	Yes	No
3. Conflict of Interest Policy (PS 18-2017)	Yes	No
4. Nondiscrimination/Equal Opportunity Standards and Complaint Procedures (PS 07-2018)	Yes	No
5. Financial Management Policy for Workforce Innovation and Opportunity Act Title I (PS 20-2017, Change 1)	Yes	Yes
6. Individualized Training Account Policy	Yes	Yes
7. On-the-Job Training Policy (PS 04-2015, Change 1)	Yes	No
8. Oversight Monitoring Policy, Tool and Schedule	Yes	Yes
9. Priority of Service Policy (PS 03-2017)	Yes	No
10. Youth Work Experience Policy (PS 10-2017)	Yes	No
11. Supportive Services Policy (PS 10-2020)	Yes	No
12. Sampling Policy/Self-Attestation Procedures & Monitoring Schedule	Yes	No

2. Designate whether the following local *Optional Policy* is included and used at the Local Area WDB and is included in the Plan or write “N/A” implying “Not Applicable”, the WDB does not have this policy and; therefore, does not use these services.
  - In the second column mark “Yes” *only* if the policy has been changed/revised since PY 2020 and requires a special review for PY 2021 and has not been previously submitted to the Division.
  - Do not add an empty document in WISE as a “placeholder”.

If “Yes”, load the policy as a separate document. Name documents: *Local Area Name, Policy Name*. [Example: IWT Policy – Yes. Attached as *Board Name IWT Policy*.]

Optional Local Area Policies	Yes- the Board has a policy or N/A (Not Applicable)	Revised for PY 2021 (Add Yes or N/A for this column)
1. Local Area Incumbent Worker Training Policy (PS 13-2020, Change 1)	Yes	N/A
2. Local Area Needs-Related Policy	N/A	N/A
3. Local Area Transitional Jobs Policy	N/A	N/A
4. Local Area Youth Incentive Policy	Yes	N/A

3. Individual Training Accounts (ITAs) are required [Regulations Section 680.300] to pay the cost of training provided with Adult and Dislocated Worker funds and limitations on duration and amount may be included [Regulations Section 680.320]. Please provide the following ITA elements in summary:

Individual Training Accounts (ITA) Summary	
Dollar Amounts	\$3,500 for tuition only (does not include books, etc.)
Time Limits	Generally, up to 2 years. Exceptions are available
Degree or Certificates allowed (Associate’s, Bachelor’s, other)	<ul style="list-style-type: none"> <li>• Associate degree</li> <li>• Completion of a Bachelor degree (within the time limit cited above)</li> <li>• Occupational licensure</li> <li>• Occupational certificate, including Registered Apprenticeship and Career and Technical Educational certificates</li> <li>• Occupational certification</li> </ul>



	<ul style="list-style-type: none"> <li>Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment</li> </ul>
Procedures for determining case-by-case exceptions for training that may be allowed	<p>Exceptions to the length of training and/or to cost limitations must be approved in writing by Capital Area staff. An including the following information must be E-mailed to Jessica McLeod at <a href="mailto:jessica.locklearmcleod@wakegov.com">jessica.locklearmcleod@wakegov.com</a>.</p> <ul style="list-style-type: none"> <li>a. Name of participant</li> <li>b. NCWorks Online User ID</li> <li>c. Enrollment date</li> <li>d. Date of last service</li> <li>e. Type of exception being requested</li> <li>f. Justification for the exception</li> </ul> <p>Staff will respond within five business days to the request.</p>

<b>Individual Training Accounts (ITA) Summary</b>	
Period for which ITAs are issued (semester, school year, short term, etc.)	Capital Area ITAs/vouchers will be issued on a term basis or for the duration of a specific course of study for short term training. Students will be reassessed on a term basis to determine need for ongoing scholarship funds.
Supportive Services covered by ITA (provide examples such as uniforms, tools, physical exams, etc.)	Books, uniforms, certifications, exams, supplies, student activity fees, campus access fees, criminal background checks, physicals, and/or shots
Other	At least eighty percent (80%) of training dollars spent must lead to an occupation in an in-demand industry as defined by Capital Area Workforce Development Board with an emphasis on the high growth, in-demand, hard-to-fill occupations, and no more than twenty percent (20%) of training dollars may be for other occupations.

4. Please specify the supportive services provided by the Local Area WDB Supportive Services Policy. List specific items under Supplies, Emergency, and Other, as identified in the local policy.  
[Expand form as needed.]

### Adult Supportive Services

<b>Transportation</b>	<b>Childcare</b>	<b>Supplies</b> (include examples)	<b>Emergency</b> (include examples)	<b>Other</b> (include examples)
<p>Ongoing transportation-related expenses:</p> <ul style="list-style-type: none"> <li>• Public/Private Bus Tickets</li> <li>• Carpool/Van Fees</li> <li>• Taxi/Uber/Lyft Fares (limited basis only, not for daily transport)</li> <li>• Parking Fees</li> <li>• Mileage Reimbursement <ul style="list-style-type: none"> <li>○ to a WIOA participant, or;</li> </ul> </li> </ul> <p>to an individual transporting a WIOA participant</p>	<p>Only allowed through special approval</p>	<ul style="list-style-type: none"> <li>• Clothing and other items (tools, etc.) required for an interview, employment and/or training</li> <li>• Reasonable accommodations for Persons with Disabilities (special services, supplies, assistive technology, etc.)</li> <li>• Records required for employment (birth certificate, background check, etc.)</li> </ul> <p>Other employment-related needs</p>	<ul style="list-style-type: none"> <li>• Only allowed through special approval</li> <li>• Finish Line Grant supportive services are allowed up to \$1000.</li> </ul>	<p>Supportive service payments may be used for late fees or reconnect fees associated with delinquent client utility bills</p>

### Youth Supportive Services

<b>Transportation</b>	<b>Childcare</b>	<b>Supplies</b> (include examples)	<b>Emergency</b> (include examples)	<b>Other</b> (include examples)
<p>Allowed One-time transportation-related expenses:</p> <ul style="list-style-type: none"> <li>• North Carolina Vehicle Registration Fee</li> <li>• Vehicle Inspection Fee</li> </ul>	<p>Child Care costs: \$50 per child per day or the actual cost per day if less than \$50 per day.</p>	<ul style="list-style-type: none"> <li>• Clothing needed for an interview</li> <li>• Clothing and other items (tools, etc.) required for employment and/or training</li> <li>• Reasonable accommodations for persons with disabilities</li> </ul>	<ul style="list-style-type: none"> <li>• Emergency Costs: Maximum of \$750 per enrollment year per WIOA participant and not to exceed \$2,250 over the course of enrollment in WIOA</li> </ul>	<p>Supportive service payments may be used for late fees or reconnect fees associated with delinquent client utility bills</p>

<ul style="list-style-type: none"> <li>• Vehicle License Plate</li> <li>• North Carolina Driver's License</li> </ul>		(special services, supplies, assistive technology, etc.) <ul style="list-style-type: none"> <li>• Records required for employment (birth certificate, background check, etc.)</li> <li>• Other employment-related needs</li> </ul>	<ul style="list-style-type: none"> <li>• Finish Line Grant supportive services are allowed up to \$1000.</li> </ul>	
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**Note:** The Local Area WDB must adequately safeguard all forms of supportive services payments (i.e., gas cards, cash, gift cards, etc.) and assure that they are used solely for authorized purposes. The Supportive Services Policy must include the Local Area WDB's internal controls to safeguard supportive services. The internal controls must address issuance, storage, and reconciliation of supportive services throughout the area.

### Attachment Checklist from Plan Instructions

Please confirm all attachments are loaded in WISE. If not, provide an expected date of arrival for required documents.

- ☒ Local Area Signed copy of Consortium Agreement (*if applicable*)
- ☒ Local Area Administrative Entity Organizational Chart
- ☒ Local Area WDB List ([\*form provided\*](#))
- ☒ Local Area WDB By-laws
- ☒ Local Area WDB By-laws Required Elements Crosswalk ([\*form provided\*](#))
- ☒ Local Area WDB Organizational Chart
- ☒ Local Area Administrative Entity Certification Regarding Debarment \* ([\*form provided\*](#))
- ☒ Local Area Workforce Development Area Signatory Form\* ([\*form provided\*](#))
- ☒ Local Area WDB NCWorks Career Center System ([\*form provided\*](#))
- ☒ Local Area Adult and Dislocated Worker Services Providers ([\*form provided\*](#))
- ☒ Local Area Eligible Training Provider Policy
- ☒ Local Area 14 Youth Program Elements Chart ([\*form provided\*](#))
- ☐ Local Area WDB Youth Committee Meeting Schedule (*optional*) N/A
- ☐ Local Area WDB Youth Committee Members (*optional*) N/A
- ☒ Local Area WDB Youth Services Providers ([\*form provided\*](#))
- ☒ Local Area WDB Youth Incentive Policy (*optional*)
- ☒ Local Area Adult/Dislocated Worker Work Experience Policy (PS 10-2017)
- ☒ Competitive Procurement Policy (PS 19-2017, Change 2)
- ☒ Conflict of Interest Policy (PS 18-2017)
- ☒ Nondiscrimination/Equal Opportunity Standards and Complaint Procedures (PS 07-2018)
- ☒ Financial Management Policy for Workforce Innovation and Opportunity Act Title I (PS 20-2017, Change 1)
- ☒ Local Area Individualized Training Account Policy
- ☒ On-the-Job Training Policy (PS 04-2015, Change 1)

- ☒ Local Area Oversight Monitoring Policy, Tool, and Schedule
- ☒ Priority of Service Policy (PS 03-2017)
- ☒ Youth Work Experience Policy (PS 10-2017)
- ☒ Local Area Supportive Services Policy
- ☒ Local Area Sampling Policy/Self-Attestation Procedures and Monitoring Schedule
- ☒ Local Area Incumbent Worker Training Policy (PS 13-2020, Change 1) (optional)
- ☐ Local Area Needs-Related Policy (*optional*) *N/A*
- ☐ Local Area Transitional Jobs Policy (*optional*) *N/A*
- ☒ Local Area Youth Incentive Policy (*optional*)

\* Mail signed and unfolded *originals* to assigned Division Planner at N.C. Division of Workforce Solutions, 4316 Mail Services Center, Raleigh, NC 27699-4316. DocuSign® (or similar) signature pages may be uploaded in WISE.

# CAPITAL AREA WORKFORCE DEVELOPMENT CONSORTIUM AGREEMENT

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## ARTICLE I. TITLE AND PURPOSE

The contiguous units of local government listed below agree to establish a consortium to act jointly as a local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014. This consortium shall be known as the Capital Area Workforce Development Consortium.

## ARTICLE II. MEMBERSHIP

The Consortium shall be composed of the following independent and contiguous units of general purpose local government:

County of Wake  
County of Johnston

## ARTICLE III. CERTIFICATION OF AUTHORITY

### 1. AUTHORITY UNDER STATE AND LOCAL LAW

The member units of government certify that they possess full legal authority, as provided by state and local law, to enter into this agreement and to fulfill the legal and financial requirements of operating as a local Workforce Development Area under the Workforce Innovation and Opportunity Act for the entire geographic area covered by this agreement.

### 2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

A copy of each duly executed resolution giving the respective counties specific authority to enter into this consortium agreement will be attached to this document and are incorporated herein by reference (optional).

### 3. DESIGNATION OF CHIEF ELECTED OFFICIALS FROM EACH MEMBER UNIT OF GOVERNMENT

Each member unit of government designates as chief elected official for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Workforce Development Board, the administrative entity and the other member units may rely, the duly elected Chairman of each respective County Board of Commissioners. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for Workforce Innovation and Opportunity Act purposes.

### 4. DESIGNATION OF CHIEF ELECTED OFFICIAL FOR LOCAL WORKFORCE DEVELOPMENT AREA

The member units provide that the Chairman of the Wake County Board of Commissioners shall be authorized to exercise the functions of the local area chief

# CAPITAL AREA WORKFORCE DEVELOPMENT CONSORTIUM AGREEMENT

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elected official which are required under the Workforce Innovation and Opportunity Act.

## ARTICLE IV. DURATION

This agreement will become effective on July 1, 2015 or the date of the last chief elected official's signature (whichever is the later date) and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by a member unit of government as provided for in Article XI.

## ARTICLE V. ASSURANCES AND CERTIFICATIONS

The member units will comply with the requirements of the Workforce Innovation and Opportunity Act, and regulations promulgated thereunder, all other applicable federal regulations, the statutes of the State of North Carolina, and, written directives and instructions relevant to local workforce development area operation from the Governor of North Carolina or his/her designee.

## ARTICLE VI. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor.
2. The units of local government acknowledge that they are jointly and severally accountable for liabilities arising out of activities under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any disallowed costs by the administrative entity of the local workforce development area, or any of its sub-recipients or contractors, or the Workforce Development Board.
3. Any entity or joint agency created or designated by this local workforce development area, including the Workforce Development Board, and Administrative Entity, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act.

## ARTICLE VII. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

The member units of government agree that the Workforce Development Board shall be established in accordance with Section 107 of the Workforce Innovation and Opportunity Act and applicable State of North Carolina laws including G.S. 143B-438.11.

The Chief Elected Official, as noted in Article III. 4., shall appoint members of the Workforce Development Board from among persons nominated in accordance with the Workforce Innovation and Opportunity Act.

# CAPITAL AREA WORKFORCE DEVELOPMENT CONSORTIUM AGREEMENT

## ARTICLE VIII. APPOINTMENT OF PERSONNEL

Appointment of personnel shall follow the Wake County Government hiring and recruitment process for regular full time staff.

## ARTICLE IX. REAL PROPERTY, EQUIPMENT AND SUPPLIES

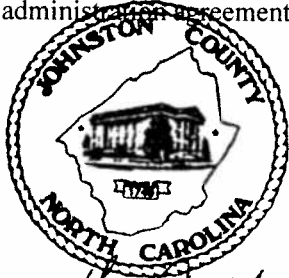
The Capital Area Workforce Development Consortium will follow all Workforce Innovation and Opportunity Act requirements governing the title, use and disposition of real property, equipment and supplies purchased with federal funds,

## ARTICLE X. AMENDMENTS

The agreement may be amended at any time upon the consent of all of the parties as evidenced by resolution of the governing bodies of each member government and as approved by the State.

## ARTICLE XI. TERMINATION

The parties to this agreement may request termination at any time upon six months prior written notice, such termination to be effective when the Governor considers local Workforce Development Area re-designations or at the end of the then current grant administration agreement program year.



Dana S. Cuddington  
ATTEST

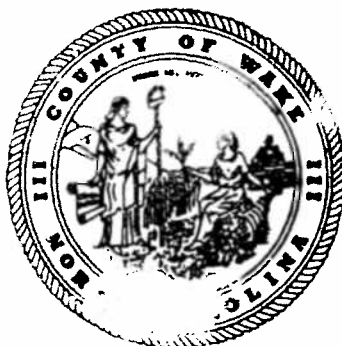
Tony Braswell 3-18-15  
(Signature) Date

Tony Braswell  
Chairman,  
Johnston County Board of Commissioners

James P. West 4-15-15  
(Signature) Date

James West  
Chairman,  
Wake County Board of Commissioners

Denise Hogan  
ATTEST

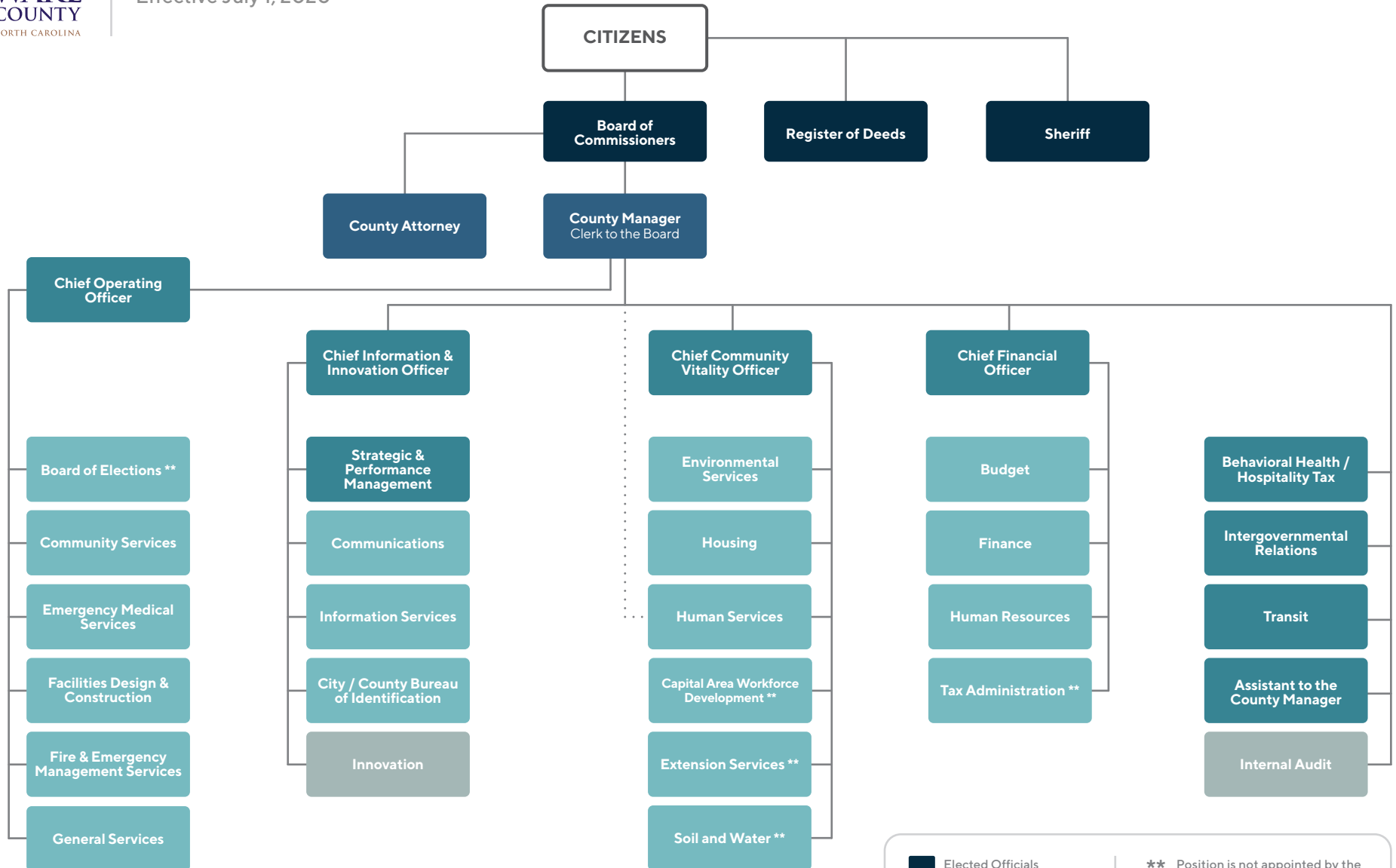






# Organizational Chart

Effective July 1, 2020



- Elected Officials
- Appointed Positions
- County Manager's Office
- Department
- Function

- \*\* Position is not appointed by the County Manager. The respective CMO member serves as a liaison to the department.
- Direct Reportship
- ... Indirect Reportship

# **CAPITAL AREA WORKFORCE DEVELOPMENT BOARD BYLAWS**

## **ARTICLE I Name and Purpose**

### **Section 1. NAME**

The name of this organization shall be the Capital Area Workforce Development Board (hereinafter referred to as the "Board").

### **Section 2. PURPOSE AND RESPONSIBILITIES**

The purpose and responsibilities of the Board shall be to:

- A. Develop and submit local plan to the Governor, a comprehensive 4-year local plan, in partnership with the chief elected official;
- B. Perform workforce research and regional market analysis;
- C. Convene local workforce development system stakeholders to assist in the development of the local plan and identify non-Federal expertise and resources to leverage support for workforce development activities;
- D. Lead efforts to engage with a diverse range of employers and with entities in the region involved;
- E. Lead efforts with representatives of secondary and postsecondary education programs in the local area to develop and implement career pathways within the local area by aligning the employment, training, education, and supportive services that are needed by adults and youth, particularly individuals with barriers;
- F. Lead efforts in the local area to identify proven and promising strategies and initiatives for meeting the needs of employers, and workers and jobseekers in the local workforce system, and to identify and disseminate information on promising practices carried out in other local areas;
- G. Develop strategies for using technology to maximize the accessibility and effectiveness of the local workforce development system for employers, workers, and jobseekers;
- H. Conduct program oversight;
- I. Negotiate and reach agreement on local performance accountability measures;

- J. Designate or certify one-stop operators and may terminate for cause the eligibility of such operators;
- K. Coordinate activities with education and training providers in the local area;
- L. Develop a budget for the activities of the local board in the local area, consistent with the local plan and the duties of the local board, subject to the approval of the chief elected official;
- M. Access annually the physical and programmatic accessibility the provisions of the Americans with Disabilities Act of 1990 of all one-stop centers in the local area.

## ARTICLE II

### Members

#### Section 1. APPOINTMENT

Members of this organization shall be appointed by the following procedure: The Chief Elected Official (Chairman of the Wake County Board of Commissioners, hereinafter referred to as the CEO) shall appoint members based on nominations from the following: local business organizations; local education agencies; vocational education institutions, community-based organizations, and higher educational institutions; and private and proprietary schools; state or local labor organizations and other interested organizations. The number of private sector nominees shall be at least 51 percent of the number of individuals to be appointed and are appointed from amongst individuals nominated by local business organizations and business trade associations. The nominated candidate or company must be a member of the nominating organization.

#### Section 2. COMPOSITION

This board shall be composed of a majority of members who are representatives of businesses in the local area.

This Board shall also include representatives, not to constitute less than 20 percent, of labor organizations, a representative from a joint labor-management apprenticeship program or apprenticeship program in the area, and may include representatives of community-based organizations demonstrating experience addressing employment barriers for adults, veterans, and individuals with disabilities and employment, training, and the education needs of eligible youth. This board shall include a representative of eligible providers administering adult education and literacy activities, a representative of institutions of higher



education, a representative of economic and community development, a representative from the State employment service office under that Wagner-Peyser Act, a representative of the programs carried out under title I of the Rehabilitation Act of 1973 and may include representatives of community-based organizations, local educational agencies, representatives of agencies administering housing, transportation and public assistance, and philanthropic organizations serving the local area.

This board may include such other individuals or representatives of entities as the chief elected official determine appropriate.

### Section 3. TENURE

All appointments will be for a two-year term to expire on June 30th of each respective term. However, the first year of the 2015 WIOA program year, board members with one year remaining of WIOA appointment will serve a term of one year. No member shall serve more than three (3) consecutive terms (6 years) or a total of five (5) terms (10 years) in any one appointed position. An individual whose initial appointment is to fill an unexpired term or an initial staggered term of less than two years, shall be eligible to serve the number of full-length terms other members are eligible to serve, unless, prior to the time for reappointment that individual has already served six consecutive years. Members may be re-appointed at the pleasure of the CEO.

### Section 4. TERMINATION FOR CAUSE

By simple majority vote of the membership or by action of the Chief Elected Official, a member may be removed for cause from the Board. Cause would be for such actions as malfeasance, misfeasance, misconduct, or any action which would be deemed not in the best interest of the Board.

### Section 5. RESIGNATION

Letters of resignation must be submitted to the Capital Area Workforce Development Board Chair. Three consecutive absences without justification will be considered defacto resignation. Justification must be submitted in writing. The Board Chair has the authority to accept or deny justification.

### Section 6. VACANCIES

Upon vacancy of any position on this Board, the procedure in Article II, Section 1, will be followed to provide replacement representation to complete the remainder of that term of appointment. Vacancies will be communicated to the Chief Elected official through the Wake County Clerk's office as well as a notice to the Johnston County Clerk's office. All vacancies are listed on Wake County Government "Citizen Advisory Boards and Commissions" page.

### ARTICLE III Meetings

#### Section 1. REGULAR MEETINGS

The Board shall meet at such time and place as determined by the Chairperson. The Board will meet no less than four times per year. Normal Quarterly Board meetings are face to face; however, board members may access meetings via conference call, video communications and other alternative methods. The board Chair or Committee Chair may call additional meetings to be held via conference call, video communications or other alternative media sources as deemed necessary. Five working days' notice shall be delivered to each member stating a reasonable time, date and place of the meeting and the meeting's purpose. All board meetings will be held in accessible facilities with accessible materials available upon prior request.

#### Section 2. SPECIAL MEETINGS

The Chairman of the Board and Committee Chairmen may, when deemed necessary, call a special meeting of the Board via conference call, video communications, or alternative media sources for transacting any business designated in the call.

#### Section 3. QUORUM

At all meetings (regular or special) of the Board, 51% of the Board membership constitutes a quorum for transacting business.

#### Section 4. CONDUCT OF MEETINGS

All meetings of this Board shall be conducted in accordance with the latest edition of Robert's Rules of Order.

#### Section 5. OPEN MEETINGS

All full board meetings shall be open to the public.

#### Section 6. PROXY REPRESENTATION AND VOTING

A member may designate a representative to attend in his/her absence. The representative may participate in discussions but may not make or second motions or vote. A member providing written voting instructions to the Chairman may have his/her representative cast a vote in accordance with the instructions on the specific item(s).

Section 7.      **CONFLICT OF INTEREST AND VOTING**

CAWD Board members shall not cast a vote, or take interest in, any decision-making capacity on the provision of services by such Individual (or any organization which that Individual directly represents), nor on any issue which would provide any direct monetary benefit to that Individual.

No CAWD Board member shall participate in a governmental decision including voting on a matter (including recommendations, appointments, obligating, or committing the CAWD to a course of action) when such action influences a decision or exercises judgment in making a decision. Any CAWD Board member with a potential or actual conflict of interest shall comply with requirements for public disclosure and recusal.

Each Board member shall annually confirm a statement that affirms such person:

1. has received a copy of the CAWD's Conflict of Interest Policy;
  2. has read and understands the policy; and,
  3. has agreed to comply with the policy.
- 

**ARTICLE IV  
ORGANIZATION**

Section 1.      **OFFICERS**

The officers of this Board shall be a chairman, a vice-chairman, and a secretary.

Section 2.      **ELECTION OF OFFICERS**

Officers of this Board shall be elected in June for two-year terms. The Chairman and Vice-Chairman will be elected from among the members who are representatives of the private sector. The secretary will be elected from among all members.

Section 3.      **CHAIRMAN**

The Chairman shall preside at Board meetings, designate standing and ad hoc committees deemed appropriate and appoint their chairmen and members.

Section 4.      **VICE-CHAIRMAN**

The Vice-Chairman shall assume all duties and responsibilities of the Chairman in his/her absence from meetings. In the event that the office of Chairman is vacated



before the end of the term, the Vice-Chairman shall assume the office in an acting capacity until such time as the Board elects a new Chairman.

Section 5. SECRETARY

The Secretary shall be responsible for proper notification of meetings and review and submission to the Board of the minutes and shall carry out any other duties deemed appropriate by the Chairman. Local Area staff will serve as support personnel in performing these tasks.

Section 6. EXECUTIVE COMMITTEE

The Executive Committee shall consist of the Chairman, Vice Chairman, Secretary (from a sector other than private), previous Chair or Vice Chair. As determined by the chairman of the board, chairs of board committees will attend Executive Committee meetings. Responsibilities of the Executive Committee are as follows: make standing committee assignments and coordination among committees, prepare recommendations to Board on state and national issues, act as needed between regularly scheduled Board meetings, and develop immediate and long-range goals for Board concurrence. If the executive committee acts on items between board meetings, the full board will be alerted at the next full board meeting.

Section 7. STANDING COMMITTEES

Committees are created and appointed by the Executive Committee. The only standing committee is the Executive Committee of the board. All other committees are established annually based on the board's strategic plan and/or annual retreat. The Chair shall appoint committee Chairpersons and committee members as needed or as required by the Act. Committees shall consist of board members and community partners responsible for the implementation of Workforce Development Board priorities and strategies. Committees shall be chaired by Capital Area Workforce Development Board members. Local Area staff will serve as support personnel to the standing committees.

Section 8. VACANCY

If an office becomes vacant, the Board shall elect a successor at its next meeting.

ARTICLE V  
**Amendments**

Section 1. AMENDMENT PROCEDURE

Board Bylaws can be amended at any regular Board meeting provided the

proposed amendment(s) has been submitted in writing to the Board members at least two weeks prior to the meeting.

Section 2. VOTE NEEDED

The Bylaws shall be amended upon affirmative vote by a simple majority of the Board.

ARTICLE VI  
**Severability**

In the event that any of the rules, regulations, restrictions, covenants, or conditions of these Bylaws are held to be partially or wholly invalid or unenforceable for any reason, such holding shall not affect, alter, modify, or impair in any manner any of the other terms, provisions, rules, regulations, restrictions, covenants, or conditions contained herein.

Adopted 6/25/15 by Capital Area Workforce Development Board

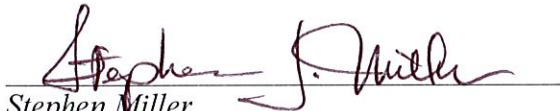
Amended this 27th day of June, 2019.

Signed:



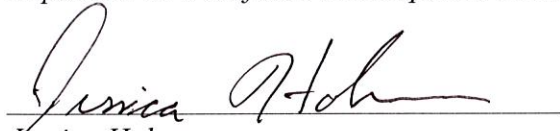
*Pat E. Sturdivant*  
*Executive Director,*  
*Capital Area Workforce Development Board*

8/15/19  
Date



*Stephen Miller*  
*Chair,*  
*Capital Area Workforce Development Board*

11 JUL 2019  
Date



*Jessica Holmes*  
*Chair,*  
*Wake County Commissioners*

7/23/19  
Date



### ***Local Area WDB By-Laws Required Elements – Crosswalk***

<b>NOTE: Elements 1-7 are the Required Elements Designated at WIOA Final Rule 679.310(g).</b>	<b>The Article/Section Where the Required Elements are Located Within the Current By-Laws.</b>
1. The nomination process used by the CEO(s) to elect the local Board chair and members.	Article II/Section 1
2. The term limitations and how the term appointments will be staggered to ensure only a portion of memberships expire in a given year.	Article II/Section 3
3. The process to notify the CEO(s) of a Board member vacancy to ensure a prompt nominee within ninety (90) days of the vacancy.	Article II/Section 6
4. The proxy and alternative designee process that will be used when a Board member is unable to attend a meeting and assigns a designee as per the requirements of 20 CFR 679.110(d)(4).	Article III/Section 6
5. The use of technology such as phone and web-based meetings, that will be used to promote Board member participation (20 CFR 679.110(d)(5)).	Article III/Section 1
6. The process to ensure Board members actively participate in convening the workforce development system's stakeholders, brokering relationship with a diverse range of employers, and leveraging support for workforce development activities.	Article I/Section 2/ #C, and #D
7. A description of any other conditions governing appointment or membership on the Board as deemed appropriate by the CEO(s); (20 CFR 679.310(g)(1-7)). Note: Answer may be N/A.	Article I/Section 1 & 2

### ***Workforce Development Board By-Laws Required Elements – Crosswalk***

<b>NOTE: Elements 1-7 are the Required Elements Designated at WIOA Final Rule 679.310(g).</b>	<b>The Article/Section Where the Required Elements are Located Within the Current By-Laws.</b>
8. The adopted generally accepted parliamentary procedure, such as Robert’s Rules of Order, chosen by the Board.	Article III/Section 4
9. Whether an appointee filling a vacancy will serve the remainder of the unexpired term or be appointed for a new full term.	Article II/Section 3
10. The Board’s policy assuring attendance and participation of its members.	Article II/Section 5
11. Quorum requirements to be not less than 51% constituting 51% of the total Board positions.	Article III/Section 3
12. Any standing committees the Board has established shall be included in the by-laws.	Article IV/Section 7
13. The Board’s conflict of interest policy, which may not be any less stringent than the requirements of the Division’s Policy, shall be referenced in the by-laws.	Article III/Section 7
14. The process the Board will take when expedient action is warranted between Board meetings, such as calling a special meeting or allowing the Executive Committee to act on behalf of the Board.	Article III/Section 2
15. Board meetings will be held in accessible facilities with accessible materials available upon prior request.	Article III/Section 1
16. The Board will meet no less than four times per program year.	Article III/Section 1

## **Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 2 CFR 180, Participant's Responsibilities.

**(Before completing this certification, read the instructions on the following page which are an integral part of the certification.)**

- 1) The prospective primary participant certifies, to the best of its knowledge and belief, that it and its principals:
  - a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency;
  - b) have not within a three-year period preceding this certification been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
  - c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d) have not within a three-year period preceding this certification had one or more public transactions (federal, state or local) terminated for cause or default.
- 2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Matthew M. Calabria Chair, Wake County Board of Commissioners

Printed Name and Title of Authorized Administrative Entity Signatory Official

DocuSigned by:  
  
7265498593A1443...  
Signature

4/29/2021

Date

### **Instructions for Certification**

1. By signing and submitting the certification signature page with this proposal, the prospective primary participant is providing the certification set out above.
2. The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out above. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participants, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, Subpart 9.4, debarred, suspended, declared ineligible or voluntarily excluded from participation in this covered transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "A Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR Part 9, Subpart 9.4, debarred, suspended, ineligible or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-Procurement programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, Subpart 9.4, suspended, debarred, ineligible or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

# Workforce Innovation and Opportunity Act of 2014

## Program Year 2021 Local Plan Signatory Page for

### **Capital Area Workforce Development Board**

We affirm that the Local Area Workforce Development Board (WDB) and the Chief Elected Official(s) of the Local Area, in partnership, have developed and now submit this update to the Comprehensive, Strategic Regional and Local Area Plan in compliance with the provisions of the Workforce Innovation and Opportunity Act of 2014 and instructions issued by the Governor under authority of the Act.

May 7, 2021  
Submission Date

WDB Chair

Chief Elected Official

Brian Holland

Matt Calabria

Typed or Printed Name

Typed or Printed Name

Capital Area WDB Chair

Wake County Board of Commissioners Chair

Typed or Printed Title

Typed or Printed Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

# Capital Area Workforce Development NCWorks Career Center System

(Effective July 1, 2021)

A. One-Stop Location(s) (Address, Phone number and Hours)	*B. Tier 1 or Tier 2 Specialized or Affiliate	C. On-site Partners	**D. Career Center Operator and Method of Selection	E . Provider(s) of WIOA Career Services and Method of Selection	F. Functional Manager (manages the day-to- day operations)	G. Provider(s) and Type of On-site Youth Services	H. Additional Partners
1830-B Tillery Place Raleigh, NC 27604 Hours: M-W 8:30 – 5:00; Th 8:30 – 8:00; F 8:30 – 2:00	Tier 1	-Adult /DW WIOA -Wagner-Peyser -Veterans Services (DVOP & LVR) -Job Corps -Centre for Homeownership -Community Success Initiative -NCBA	EQQUS Competitive Process	EQQUS Competitive Procurement	Chip Wood, DWS	N/A Youth Services provided through referral process	-Wake Technical Community College, -Vocational Rehabilitation, - Wake County Human Services (WCHS), -National Farmworkers and Native American Programs, - Wagner-Peyser, -Trade Act, -Literacy Council, -Motheread, -National Guard, -EDSI Inc.
8998 US Hwy 70 West Suite 101 Clayton, NC 27520 Hours: M, T & Th 8:30 – 5:00 W 8:30 – 7 F 8:30 – 2	Tier 1	-Adult /DW WIOA -Wagner-Peyser -Veterans Services (DVOP) -Job Corps -Title V-NCBA -Consumer Credit Counseling	EQQUS Competitive Process	EQQUS Competitive Procurement	Genita Spencer, EQQUS	N/A Youth Services provided through referral process	-Department of Social Services, -JCI, -Johnston Community College -National Farmworkers and Native American Programs,

A. One-Stop Location(s) (Address, Phone number and Hours)	*B. Tier 1 or Tier 2 Specialized or Affiliate	C. On-site Partners	**D. Career Center Operator and Method of Selection	E. Provider(s) of WIOA Career Services and Method of Selection	F. Functional Manager (manages the day-to- day operations)	G. Provider(s) and Type of On-site Youth Services	H. Additional Partners
							<ul style="list-style-type: none"> <li>- Wagner-Peyser,</li> <li>-Trade Act,</li> <li>-Literacy Council,</li> <li>-Motheread,</li> <li>-National Guard,</li> <li>-Vocational Rehabilitation,</li> <li>-Eckerd,</li> <li>-NCBA,</li> <li>-Johnston County Schools,</li> </ul>
220 Swinburne Street, Raleigh, NC 27610 Hours: M 9:00 – 4:15; T 9:00 – 8:00; W-Th 9:00 – 4:15 F 9:00 – 2	Tier 2	<ul style="list-style-type: none"> <li>-Adult /DW WIOA</li> <li>-Wagner-Peyser</li> <li>- WC Human Services (Homeless Services, WorkFirst)</li> <li>- Wake Tech CC</li> <li>- Services for the Blind</li> <li>- Title V-NCBA</li> <li>-Dress for Success</li> <li>-JobCorps</li> </ul>	EQQUS Competitive Process	EQQUS Competitive Procurement	Tony Zarcone, Wake County Human Services	N/A Youth Services provided through referral process	<ul style="list-style-type: none"> <li>-DSS Economic Services (F&amp;N, Medicaid, Energy, Child Subsidy)</li> <li>-Wake County Human Services (Children Youth &amp; Family, Family Support Services, Family Community Network)</li> <li>-Vocational Rehabilitation,</li> <li>-Triangle Literacy Council,</li> <li>-Job Corps,</li> <li>-Centre for Homeownership,</li> <li>-Step Up Ministry,</li> </ul>

<b>A. One-Stop Location(s) (Address, Phone number and Hours)</b>	<b>*B. Tier 1 or Tier 2 Specialized or Affiliate</b>	<b>C. On-site Partners</b>	<b>**D. Career Center Operator and Method of Selection</b>	<b>E. Provider(s) of WIOA Career Services and Method of Selection</b>	<b>F. Functional Manager (manages the day-to- day operations)</b>	<b>G. Provider(s) and Type of On-site Youth Services</b>	<b>H. Additional Partners</b>
							-Community Success Initiative
130 N. Judd Parkway NE, Fuquay-Varina, NC 27526 Hours: M-F 8:30 – 5:00	Tier 2	-Adult /DW WIOA -Wagner-Peyser -WorkFirst	EQQUS Competitive Process	EQQUS Competitive Procurement	Richard Haynor, Wake County Human Services	N/A Youth Services provided through referral process	-Wake Tech CC, -Veterans, (WCHS) -VR, -Job Corps, -Centre for Homeownership, -Community Success Initiative
350 E. Holding Avenue, Wake Forest, NC 27587 Hours: T, Th 8:30 – 5:15; F 8:30 – 12:30	Tier 2	-Adult /DW WIOA -Wagner-Peyser -WorkFirst -Title V-NCBA	EQQUS Competitive Process	EQQUS Competitive Procurement	Ross Yeager, Wake County Human Services	N/A Youth Services provided through referral process	-Wake Tech CC, -Veterans, (WCHS) -VR, -Job Corps, -Centre for Homeownership, -Community Success Initiative
1002 Dogwood Drive Zebulon, NC 27597 Hours: M, W, F 8:30 – 5:15	Tier 2	-Adult /DW WIOA -Wagner-Peyser -WorkFirst	EQQUS Competitive Process	EQQUS Competitive Procurement	Darryl Blevins, Wake County Human Services	N/A Youth Services provided through referral process	-Wake Tech CC, -Veterans, (WCHS) -VR, -Job Corps, -Centre for Homeownership, -Community Success Initiative

\*Type of Center Designation:

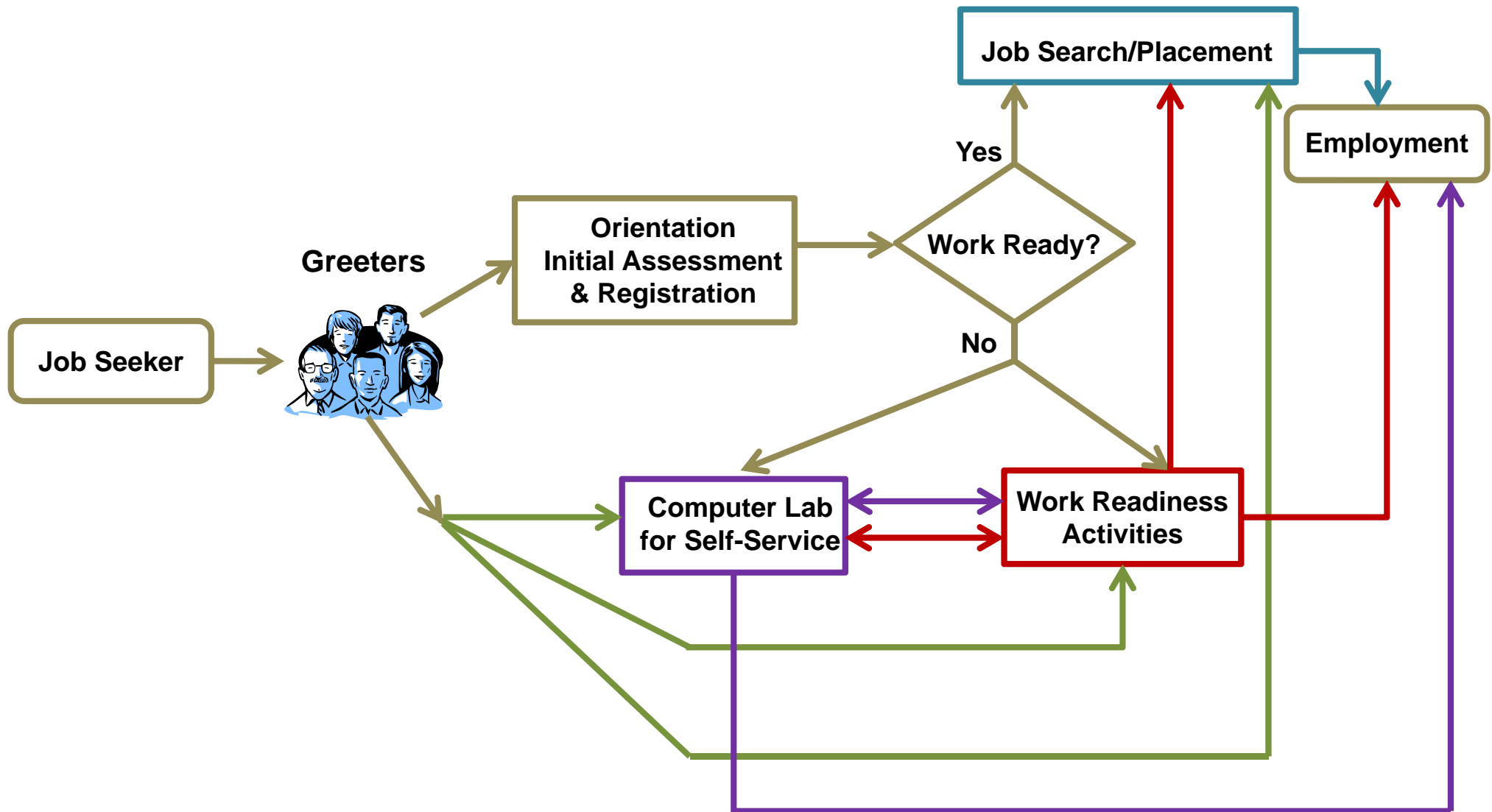
- Tier 1
- Tier 2
- Specialized
- Affiliates – At locations where A, DW and WP services are provided

\*\*Method of Selection:

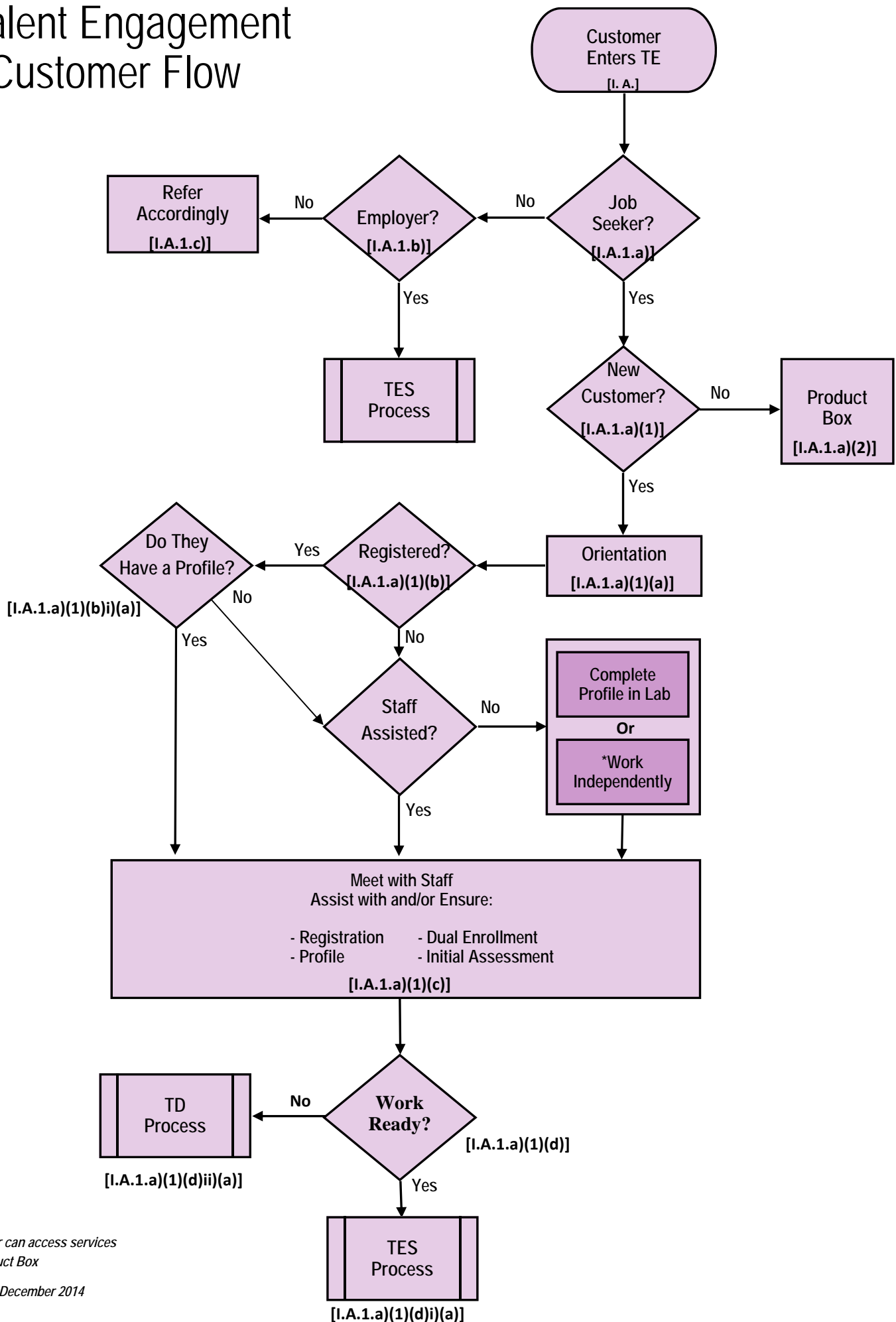
- Competitive Procurement
- Sole Source
- Contract Extended



# NCWORKS CAREER CENTER HIGH LEVEL CUSTOMER FLOW



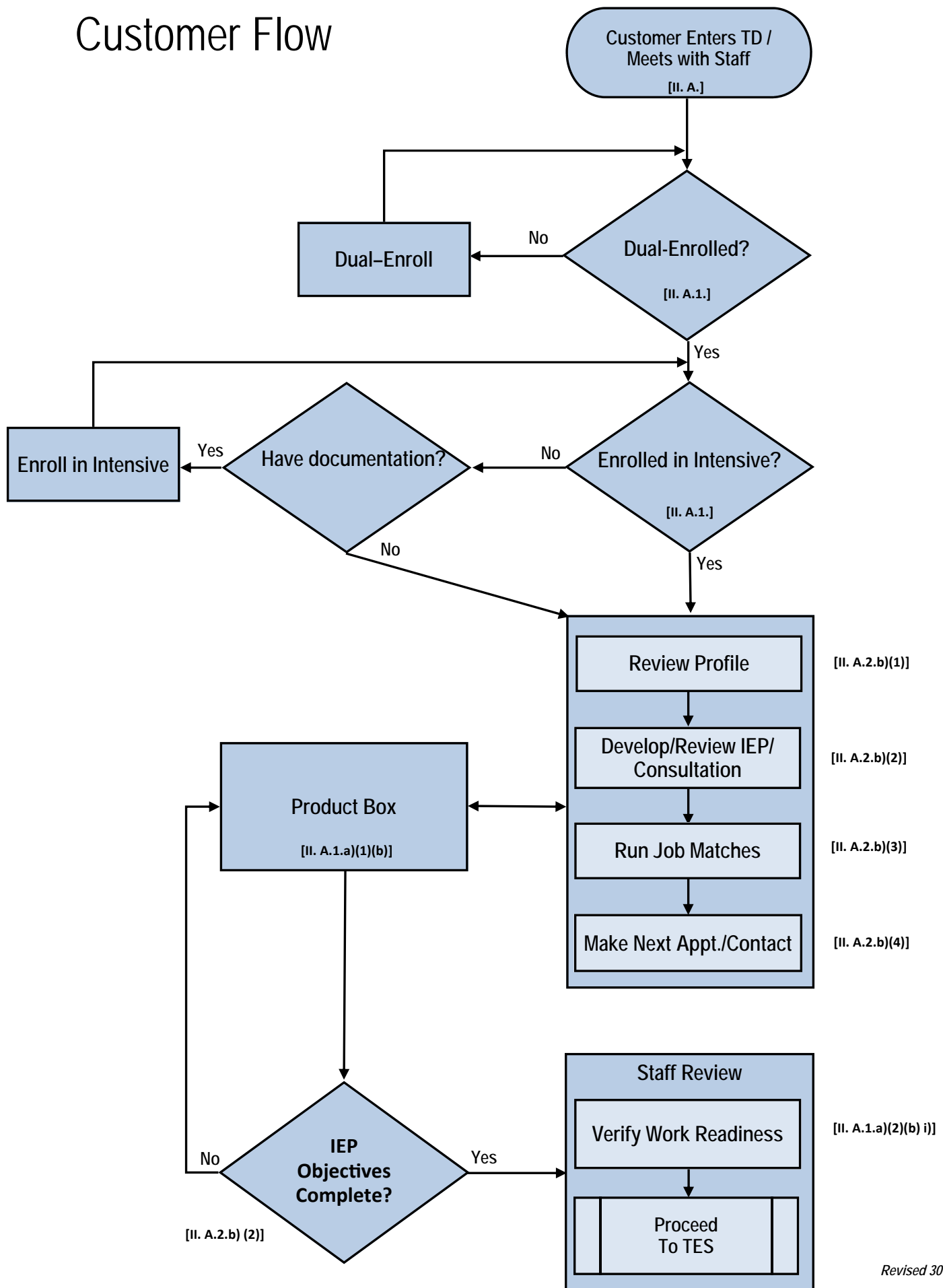
# I. Talent Engagement Customer Flow



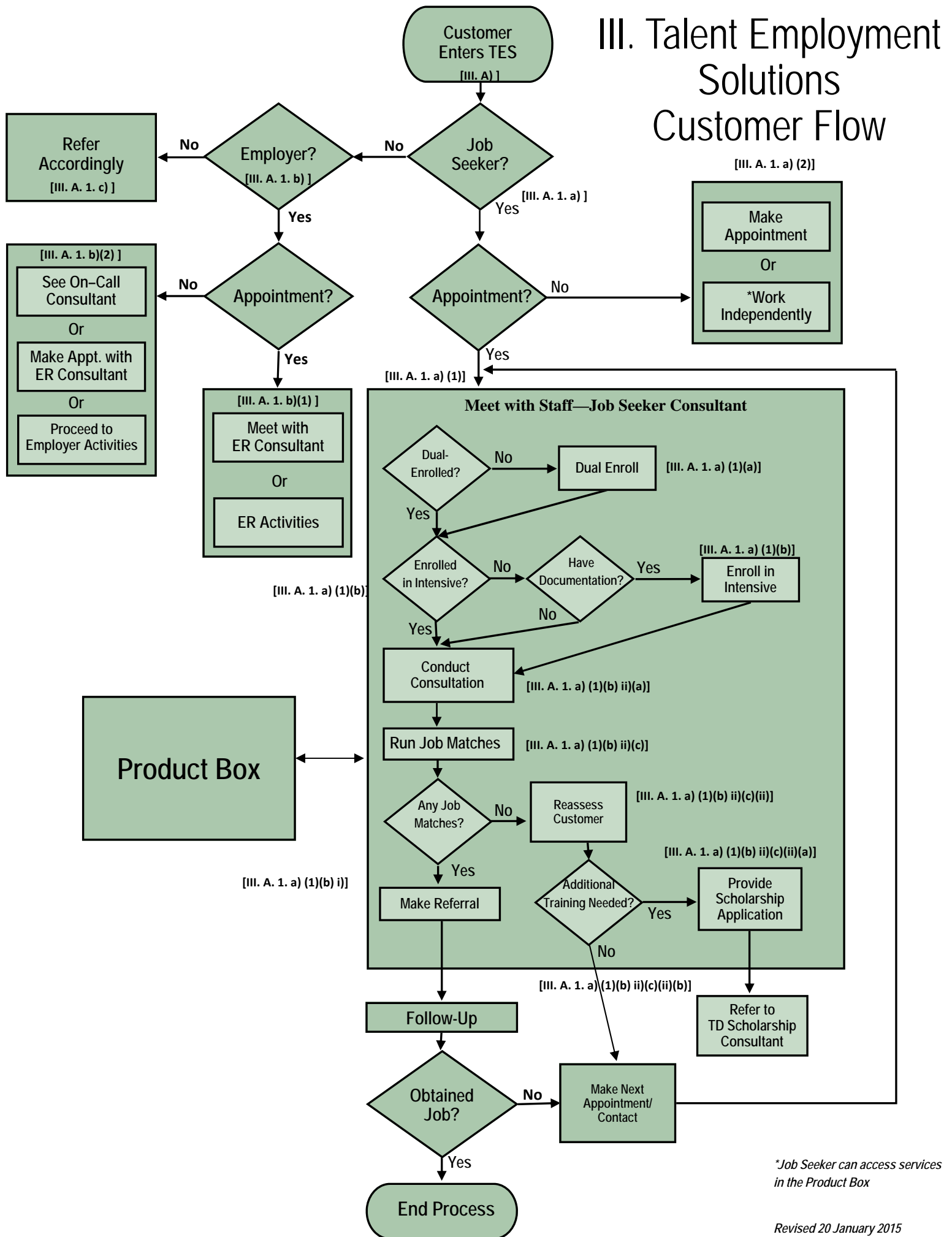
*\*Job Seeker can access services in the Product Box*


*Revised 30 December 2014*

## II. Talent Development Customer Flow



# III. Talent Employment Solutions Customer Flow



	<b>PY19-02</b>
	<b>NCWorks Center Staff and NextGen Staff</b>
	<b>June 14, 2019</b>
	<b>Equal Opportunity Policy</b>

- Purpose:** To rescind policy #PY18-04 and transmit a new Equal Opportunity (EO) policy for NCWorks Career Centers and NextGen Centers.
- Background:** In compliance with the Workforce Innovation and Opportunity Act (WIOA) and the WIOA Final Regulations, Capital Area Workforce Development is committed to equal opportunity and nondiscrimination policies and practices in all WIOA-funded services and activities in Johnston and Wake Counties. The attached policy addresses our equal opportunity (EO) procedures as well as on-going responsibilities related to EO for WIOA Capital Area NCWorks Career and NextGen Centers.
- Changes:** Please note the following change to the policy:
- Changed the contact information for the Division of Workforce Solutions to titles instead of names on the Discrimination Complaint Form
- Action:** Staff should make the complaint form available to customers who request it. This policy rescinds and replaces the Equal Opportunity Requirements policy PY18-04 sent out on June 15, 2018. Please share with staff as appropriate.
- Effective Date:** July 1, 2019
- Expiration:** In effect until rescinded
- Contact:** Jessica Locklear McLeod  
Jessica.locklearmcLeod@wakegov.com  
919.856.7005
- Attachment:** Capital Area Equal Opportunity Policy  
Capital Area Equal Opportunity Policy Statement and Complaint Procedures  
Discrimination Complaint Form  
Equal Opportunity Customer Signature Page – English version  
Equal Opportunity Customer Signature Page – Spanish version

## **CAPITAL AREA EQUAL OPPORTUNITY POLICY**

### **Capital Area Equal Opportunity Officer**

Jessica Locklear McLeod has been appointed as the Capital Area Equal Opportunity Officer. Revised EO forms and posters with the contact information for the new EO Officer have already been distributed to Capital Area NCWorks Career Centers and Capital Area NCWorks NextGen Centers.

### ***Equal Opportunity is the Law Participant Notice***

Individuals who complete the WIOA Intake process and are enrolled into the WIOA Adult, Dislocated Worker or Youth program shall be informed of their equal opportunity and nondiscrimination rights and protections under federal law. NCWorks and NextGen Center staff will review a copy of the “*Equal Opportunity is the Law*” notice (form attached) with WIOA customers during the Intake process. Center staff will sign the EO Notice form at the bottom where *Subrecipient Signature* (recipient of WIOA funds) is indicated. WIOA customers will then be asked to sign the form indicating that they have been advised of their rights therein. A signed copy of the EO Notice will be downloaded in the NCWorks Online participant file. In the event that a WIOA participant has a disability such as a visual or hearing impairment, or has limited English speaking ability, interpreters or other appropriate accommodations must be provided as needed to satisfy this requirement.

### **Capital Area Equal Opportunity/Nondiscrimination Complaint Procedures**

Individuals who apply for Capital Area WIOA Adult, Dislocated Worker or Youth programs and participants who are enrolled into the above programs shall be informed of the Capital Area Nondiscrimination and Equal Opportunity Complaint Procedures. WIOA Adult and Youth Case Managers will provide a copy of the “*Capital Area Equal Opportunity Policy and Complaint Procedures*” form to all WIOA participants during the application and Intake process. In addition, WIOA applicants and any other customers who request this information and/or who indicate that he/she wants to file a discrimination complaint shall be given a copy of the “*Capital Area Equal Opportunity Policy and Complaint Procedures*.”

### **Continuing Notice of Equal Opportunity Rights and Protections**

In order to provide initial and continuing notice of equal opportunity rights, Capital Area NCWorks Career Centers and Capital Area NCWorks NextGen Centers shall implement and maintain the following procedures to promote equal opportunity and nondiscrimination.

- Post the “*Equal Opportunity is the Law*” notice/poster, prominently and in reasonable numbers, in office areas, customer waiting areas, and/or training rooms where customers are served.
- Publications, brochures, flyers, recruitment materials, orientation materials, and other printed materials routinely distributed or made available to the public shall include the following language: “Equal Opportunity Employer/Program” and “Auxiliary aids and services are available upon request to individuals with disabilities.” This includes hard copy and electronic communications.
- Where a telephone number is included on the above materials, a TDD/TTY number or the *Relay North Carolina* service numbers (voice and TTY) shall be included on the materials. For information on *Relay North Carolina* free services, go to: [www.relaync.com/](http://www.relaync.com/)

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

- Orientations sessions and orientation materials for new Capital Area NCWorks Career Center and Capital Area NCWorks NextGen Center customers shall include equal opportunity and nondiscrimination rights under WIOA.
- Where a language other than English represents 5% or more of the Capital Area NCWorks Career Centers and Capital Area NCWorks NextGen Center customers or applicants, information provided for English-speaking customers (such as how to apply for a program or service) must also be provided in the appropriate language other than English.

### **Equal Opportunity/Nondiscrimination Language for Written Agreements**

All contracts, subcontracts, and other written agreements related to WIOA-funded services or activities, including, but not limited to, work experience, OJT, and MOUs, shall include a clause or statement of assurance that all parties to the agreement will comply with federal equal opportunity standards. See sample statement of assurance below:

*As a condition to the award of financial assistance from the Department of Labor under Title I of WIOA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the Workforce Innovation and Opportunity Act (WIOA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIOA Title I-financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis of race, color and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.*

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

**CAPITAL AREA  
EQUAL OPPORTUNITY  
POLICY STATEMENT AND COMPLAINT PROCEDURES**

**Policy Statement**

No person shall be excluded from participation in, denied aid, benefits, services or training, or subjected to discrimination under any program or activity funded in whole or in part by Title I of the Workforce Innovation and Opportunity Act (WIOA). It is against the law for this recipient of Federal financial assistance to discriminate against any individual in the United States, on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, or, against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I–financially assisted program or activity.

**Discrimination Complaint Procedures**

Any person (applicant/registrant, participant, employment applicant or employee) or eligible service provider who believes that he/she has been subjected to discrimination under a WIOA-funded program or activity may file a written complaint.

A complaint filed based on the above grounds must be filed within 180 days of the alleged discrimination, unless an extension is granted for “good cause” by the Director of the Civil Rights Center.

Information concerning all complaints will be kept confidential.

Any person who believes that he/she has been or is being subjected to discrimination is advised to follow the grievance procedures of the service provider (contractor, program operator, training provider or employer). Issues may be resolved informally provided that all parties are satisfied with the outcome.

If an individual chooses to file a written complaint to the Capital Area Equal Opportunity (EO) Officer, the following procedures apply:

1. Complaints must be filed in writing, using attached complaint form, signed by the complainant or authorized representative and include the following information:
  - a. The full name, address and telephone number of the complainant;
  - b. The name and address of the party against whom the complaint is made;
  - c. A clear, concise statement of the act/acts considered to be discriminatory;
  - d. Other information that may help to explain and resolve the complaint.

2. Complaints should be submitted in writing to:

**Jessica Locklear McLeod  
Capital Area Equal Opportunity Officer  
Capital Area Workforce Development Board  
PO Box 550 Raleigh, NC 27602**

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*



3. The Equal Opportunity Officer will review the complaint and send written notice to the complainant acknowledging receipt of the complaint and stating that the complainant has the right to be represented by an attorney or other individual of his/her choice in the complaint process.
4. The complainant will be notified in writing as to whether Capital Area accepts or rejects the issue or issues raised for investigation. Where rejected, the reasons for rejection will be given.
5. The EO Officer will conduct a fact-finding review of the circumstances underlying the complaint, and will issue a written determination to the complainant within ten (10) days. If the determination is not made within ten days, or if the EO Officer's determination is unsatisfactory to the complainant, the complainant may submit a written appeal within five (5) days to the Capital Area EO Officer at the address above. The appeal must include an explanation of the issue(s) or area(s) of dissatisfaction.
6. Upon receipt of a written appeal, the Capital Area EO Officer may conduct additional investigation and/or attempt to resolve the complaint through alternative dispute resolution, including but not limited to, professional mediation services. If the complainant is unwilling to accept alternative dispute resolution, the Capital Area EO Officer will schedule a hearing before the Capital Area Workforce Development Director to be held within fifteen (15) days of receipt of the complainant's appeal. A written decision from the hearing will be issued within five (5) days.
7. In either process described above, a written Notice of Final Action will be issued to the complainant within forty (40) days of the date on which the complaint was filed. A Notice of Final Action shall contain a statement of the Local Area decision and the rationale behind the decision, or a description of the final resolution of the issue(s) by the parties involved.
8. If a complainant does not receive a notice of final action from the Capital Area within the prescribed timeframe (40 days), or if he/she is dissatisfied with the final action, the complainant has the right to request a review within ten (10) days by the North Carolina Division of Workforce Solutions. Requests for state level review should be sent to: **Equal Opportunity Officer, NC Division of Workforce Solutions, 4316 Mail Service Center, Raleigh, NC 27699-4316.**
9. Should the determination made at the State level be unsatisfactory to the complainant, or if a decision is not issued within sixty (60) days of the date the complaint was filed, the complainant may file a complaint with the United States Department of Labor Civil Rights Center. Such requests must be made within thirty (30) days of the State's decision or ninety (90) days from the date the complaint was filed at the local level, whichever is earlier.
10. Complaints filed with the Civil Rights Center should be sent to: **Director, Civil Rights Center, U.S. Department of Labor, 200 Constitution Avenue NW, Room N-4123, Washington, DC 20210.**
11. All records concerning a complaint alleging discrimination and actions taken on the complaint will be maintained for a period of not less than three (3) years from the date of resolution of the complaint.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*



## **Capital Area Workforce Development Board Discrimination Complaint Form**

It is against the law for Capital Area Workforce Development Board or its subrecipients, as a recipient of financial assistance under Title I of the Workforce Innovation and Opportunity Act (WIOA) of 2014, to discriminate on the bases of race, color, religion, sex, national origin, age, disability, political affiliation or belief. It is also against the law for Capital Area or its sub-recipients to discriminate against any beneficiary of federally financially assisted programs on the basis of the beneficiary's citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any WIOA Title I financially assisted program or activity.

If you think that you have, or someone else has, been subjected to discrimination by Capital Area Workforce Development Board or its sub-recipients on one of the bases listed above, you may file a complaint within 180 days from the date of the alleged violation with the sub-recipient organization, Capital Area Workforce Development Board, the North Carolina Division of Workforce Solutions, or the US Department of Labor's Civil Rights Center (CRC). To file a complaint, you may use this Complaint Information Form, or send the information listed on this form, in writing to one of the following:

Capital Area Workforce Development Board - Pat Sturdivant  
2321 Crabtree Blvd., Suite 200  
Raleigh, N.C. 27604  
**Attention: Jessica Locklear McLeod**

NC Division of Workforce Solutions - Assistant Secretary, 313 Chapanoke Road, Suite 120  
4316 Mail Service Center  
Raleigh, N.C. 27699-4316  
**Attention: Equal Opportunity Officer**

U.S. Department of Labor's CRC - Director, Civil Rights Center  
US Department of Labor, 200 Constitution Ave.  
NW, Room N-4123, Washington, DC 20210.

You may obtain a CRC complaint form electronically through CRC's website at:

<https://www.dol.gov/sites/dolgov/files/OASAM/legacy/files/DL1-2014a-English.pdf>

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

**Complainant Information:**

**Name:** \_\_\_\_\_

**Mailing Address:** \_\_\_\_\_  
\_\_\_\_\_

**Home Phone Number:** \_\_\_\_\_

**Work Phone Number:** \_\_\_\_\_

**E-mail Address:** \_\_\_\_\_

Please provide the name and address of the person or organization that you believe discriminated against you or someone else. If you believe that someone else was discriminated against, identify that person or group of people to the best of your ability.

**Name and/or Organization:** \_\_\_\_\_

**Mailing Address:** \_\_\_\_\_  
\_\_\_\_\_

Explain as briefly and clearly as possible what happened and why you believe discrimination took place. Please give the name and contact information for any person who witnessed the events you described above. Also attach any written material that relates to the events you are describing:

Please check the box or boxes that you think best represents the reason why you believe you were, or someone else was, discriminated against. If you are filing a complaint because you believe someone else was discriminated against, and you do not have the exact information about that other person or group (such as their exact date of birth, race, national origin, or type of disability), then provide the best information that you can.

Race: Specify \_\_\_\_\_

Color: Specify \_\_\_\_\_

Religion: Specify \_\_\_\_\_

National Origin: Specify \_\_\_\_\_

Sex: Specify \_\_\_\_\_ Male \_\_\_\_\_ Female

Other: Specify \_\_\_\_\_

Age: Specify Date of Birth \_\_\_\_\_

Disability: Specify \_\_\_\_\_

Political Affiliation: Specify \_\_\_\_\_

Reprisal/Retaliation: Specify \_\_\_\_\_

Please explain the remedy that you are seeking:

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

*Equal Opportunity Employer/Program.  
Auxiliary aids and services are available upon request to individuals with disabilities.*

# EQUAL OPPORTUNITY IS THE LAW

It is against the law for this recipient of Federal financial assistance to discriminate on the following bases: against any individual in the United States, on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, or, against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I-financially assisted program or activity.

The recipient must not discriminate in any of the following areas: deciding who will be admitted, or have access, to any WIOA Title I-financially assisted program or activity; providing opportunities in, or treating any person with regard to, such a program or activity; or making employment decisions in the administration of, or in connection with, such a program or activity.

Recipients of federal financial assistance must take reasonable steps to ensure that communications with individuals with disabilities are as effective as communications with others. This means that, upon request and at no cost to the individual, recipients are required to provide appropriate auxiliary aids and services to qualified individuals with disabilities.

## WHAT TO DO IF YOU BELIEVE YOU HAVE EXPERIENCED DISCRIMINATION

If you think that you have been subjected to discrimination under a WIOA Title I-financially assisted program or activity, you may file a complaint within 180 days from the date of the alleged violation with either: the recipient's Equal Opportunity Officer (or the person whom the recipient has designated for this purpose);

### FOR INFORMATION OR TO FILE A COMPLAINT, CONTACT

**Jessica Locklear McLeod, Capital Area Equal Opportunity Officer**  
**Telephone: (919) 856-7005; 1(800) 735-2962 (TT); 1(800) 735-8262 (Voice)**

### FOR MORE INFORMATION, CONTACT

**Workforce Innovation and Opportunity Act Equal Opportunity Officer**  
**313 Chapanoke Road, Suite 120, Mail Service Center**  
**Raleigh, North Carolina 27699-4316**  
**Telephone #: (919) 814-0419; 1-800-735-2962; (TT) 1-800-735-8262 (Voice)**

**or**

**Director, Civil Rights Center (CRC), U.S. Department of Labor**  
**200 Constitution Avenue NW, Room N-4123, Washington, DC 20210 or**  
**electronically as directed on the CRC website at [www.dol.gov/crc](http://www.dol.gov/crc).**

If you file your complaint with the recipient, you must wait either until the recipient issues a written Notice of Final Action, or until 90 days have passed (whichever is sooner), before filing with the Civil Rights Center (see address above). If the recipient does not give you a written Notice of Final Action within 90 days of the day on which you filed your complaint, you may file a complaint with CRC before receiving that Notice. However, you must file your CRC complaint within 30 days of the 90-day deadline (in other words, within 120 days after the day on which you filed your complaint with the recipient). If the recipient does give you a written Notice of Final Action on your complaint, but you are dissatisfied with the decision or resolution, you may file a complaint with CRC. You must file your CRC complaint within 30 days of the date on which you received the Notice of Final Action.

\_\_\_\_\_  
Subrecipient Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Participant Signature

\_\_\_\_\_  
Date

# LA IGUALDAD DE OPORTUNIDAD ES LA LEY

La ley prohíbe que este beneficiario de asistencia financiera federal discrimine por los siguientes motivos: contra cualquier individuo en los Estados Unidos por su raza, color, religión, sexo (incluyendo el embarazo, el parto y las condiciones médicas relacionadas, y los estereotipos sexuales, el estatus transgénero y la identidad de género), origen nacional (incluyendo el dominio limitado del inglés), edad, discapacidad, afiliación o creencia política, o contra cualquier beneficiario, solicitante de trabajo o participante en programas de capacitación que reciben apoyo financiero bajo el Título I de la ley de Innovación y Oportunidad en la Fuerza Laboral (WIOA, por sus siglas en inglés), debido a su ciudadanía, o por su participación en un programa o actividad que recibe asistencia financiera bajo el Título I de WIOA.

El beneficiario no deberá discriminar en los siguientes áreas: decidiendo quién será permitido de participar, o tendrá acceso a cualquier programa o actividad que recibe apoyo financiero bajo el Título I de WIOA; proporcionando oportunidades en, o tratar a cualquier persona con respecto a un programa o actividad semejante; o tomar decisiones de empleo en la administración de, o en conexión a un programa o actividad semejante.

Los beneficiarios de asistencia financiera federal deben tomar medidas razonables para garantizar que las comunicaciones con las personas con discapacidades sean tan efectivas como las comunicaciones con los demás. Esto significa que, a petición y sin costo alguno para el individuo, los recipientes están obligados a proporcionar ayuda auxiliar y servicios para individuos con discapacidades calificados.

## QUE DEBE HACER SI CREE QUE HA SIDO DISCRIMINADO

Si usted piensa que ha sido discriminado en un programa o actividad que recibe apoyo financiero bajo el Título I de WIOA, usted puede presentar una queja no más de 180 días después de la fecha en que ocurrió la presunta violación, ya sea con: El oficial de igualdad de oportunidad del recipiente (o la persona que el recipiente haya designado para este propósito);

**FOR INFORMATION OR TO FILE A COMPLAINT, CONTACT**  
**Jessica Locklear McLeod, Capital Area Equal Opportunity Officer**  
**Telephone: (919) 856-7005; 1(800) 735-2962 (TT); 1(800) 735-8262 (Voice)**

**FOR MORE INFORMATION, CONTACT**  
**Workforce Innovation and Opportunity Act Equal Opportunity Officer**  
**313 Chapanoke Road, Suite 120, Mail Service Center**  
**Raleigh, North Carolina 27699-4316**  
**Telephone #: (919) 814-0419; 1-800-735-2962; (TT) 1-800-735-8262 (Voice)**

O:

**Director, Civil Rights Center (CRC), U.S. Department of Labor**  
**200 Constitution Avenue NW, Room N-4123, Washington, DC 20210 o**  
**electrónicamente como indica el sitio web del CRC [www.dol.gov/crc](http://www.dol.gov/crc).**

Si usted presenta una queja con el recipiente, usted debe esperar hasta que el recipiente emita una decisión final escrita o que pasen por lo menos 90 días (lo que ocurra primero), antes de presentar una queja con el Centro de Derechos Civiles (CRC, por sus siglas en inglés) a la dirección mencionada previamente. Si el beneficiario no le entrega una decisión final escrita dentro de 90 días después de la fecha en que presento su queja, usted puede presentar su queja con el CRC antes que reciba la decisión final. Sin embargo, es necesario presentar su queja con el CRC dentro de 30 días después de la fecha límite de 90 días (en otras palabras, dentro de 120 días después de la fecha en que presento la queja con el recipiente). Si el recipiente emite una decisión final escrita, pero usted no está satisfecho con el resultado o resolución, usted puede presentar una queja con el CRC. Usted debe presentar su queja con el CRC dentro de 30 días después que reciba la decisión final escrita.

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Firma de Subreceptor

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Fecha

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Firma del Participante

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Fecha

***PY 2021 WIOA Capital Area Adult & Dislocated Worker Service Providers List***

<b>WIOA Adult/Dislocated Worker Service Provider</b>  (Organization Name, Address and Telephone Number)	<b>Contact Person</b>  (Name, Title and E-mail Address and Telephone Number)	<b>County/Counties Served and where services are provided**</b>  (One-Stop, Office, and/or Both)	<b>Type of Organization</b>  (State Agency, For-profit, Non-profit, other-specify)	<b>Type of Contract</b>  (Cost Reimbursement, Fixed Price, Performance Based, Hybrid, other-specify)
EQQUS, Inc. 9901 Linn Station Road Louisville, KY 40223 Phone: 502.394.2100	Kenneth Gathers Operations Manager  Kenneth.gathers@ncworks.gov	Wake County – One-Stop Johnston County-One-Stop	For-Profit	Hybrid: Cost Reimbursement, Profit is performance based

**Complete all columns.**

*(RFP Conducted: March 2019)*

**\*\*Note** where Services are provided: at the One-Stop Centers, the Office location provided, and/or combination. Be specific.

***PY 2021 WIOA Capital Area Workforce Development Youth Services Providers List***


<b>WIOA Youth Service Provider</b> (Organization Name, Address)	<b>Contact Person</b> (Name, Title and E-mail Address and Telephone Number)	<b>County/Counties Served and where services are provided**</b> (One-Stop, Office, Both)	<b>Type of Organization</b> (State Agency, For-profit, Non-profit, other-specify)	<b>Type of Contract</b> (Cost Reimbursement, Fixed Price, Performance Based, Hybrid, other-specify)
Johnston County Industries, Inc. 912 N. Brightleaf Blvd. Smithfield, NC 27577 919-934-1029 ext. 223	Taylor Kirks Assistant Vice President, Transition and Employment Services taylor.kirks@jcindustries.com	Johnston County Services provided at Office	Non-Profit	Cost Reimbursement
EDSI 1649 Old Louisburg Road Raleigh, NC 27604 919-803-5328 ext. 2020	Patrick Buford Regional Director of Operations pbuford@edsisolutions.com	Wake County Services provided at Office	For-Profit	Hybrid: Cost Reimbursement, Profit is performance based

**Complete all columns.**

*(RFP Conducted: **March 2019**)*

**\*\*Note** where Youth Services are provided: at the One-Stop Centers, the Office location provided, combination. Be specific.



	<b>PY19-17</b>
	<b>NCWorks NextGen Staff</b>
	<b>August 2, 2019</b>
	<b>WIOA Youth Incentives</b>

**Purpose:** To rescind policy #19-14 and transmit a new WIOA Youth Incentives policy for all Capital Area NCWorks NextGen staff.

**Changes:** Please note the following changes to the policy:

- Added the following statement “Cash incentives for passing a GED test may be awarded in an amount up to, but not greater than, \$100 for each test with a maximum of \$500 total.”
- Increased the total amount a youth can receive in incentives in a program year from \$500 to \$1,000.

**Action:** All NCWorks NextGen staff must use the attached WIOA Youth Incentives policy when providing incentives to youth while receiving WIOA services. WIOA Youth Service Providers must also revise their current incentive policies accordingly. Share with staff as appropriate. This policy replaces the Youth Incentives Policy #PY19-14 sent out on June 14, 2019.

**Effective Date:** Immediately

**Expiration:** In effect until rescinded

**Contact:** Jane P. Sterner  
jsterner@wakegov.com  
919.856.6117

**Attachment:** Capital Area WIOA Youth Incentives Policy

## Capital Area WIOA Youth Incentives Policy

Capital Area Workforce Development Board has established the following guidelines for Workforce Innovation Opportunity Act (WIOA) youth incentives:

1. Each Capital Area WIOA Youth Contractor must develop and follow a written Incentive Policy for WIOA youth that is consistent with the Capital Area Incentive Policy herein. The Contractor Incentive Policy may include the award of incentives that are non-WIOA funded, as well as WIOA-funded.
2. Incentives may be provided to WIOA youth in order to reinforce positive accomplishments or achievements including, but not limited to, educational functioning level increases, skill gains, completion of educational goal, e.g. high school diploma or GED, and positive work experience performance evaluations by a worksite supervisor. WIOA-funded incentives cannot be provided to youth for attendance or participation in activities.
3. WIOA staff is expected to follow ethical practices and the guidelines herein concerning the purchase of incentives by staff using WIOA funds as well as in the award of incentives to youth.
4. WIOA staff is required to record/document all incentives provided to a youth in NCWorks Online case notes. This includes the amount of a cash incentive, description of non-cash incentives, and purpose of the incentive. The attainment or achievement for which the incentive is awarded must be documented in a general case note and scanned in the documents tab in NCWorks Online (e.g., copy of GED, measureable skills gain documentation, Individual Service Strategy records,) prior to issuing an incentive.
5. Cash incentives for passing a GED test may be awarded in an amount up to, but not greater than, \$100 for each test with a maximum of \$500 total.
6. Cash incentives for attainment of a high school diploma or GED may be awarded in an amount up to, but not greater than, \$500.
7. Cash incentives for attainment of a postsecondary credential (CNA credential, Associate Degree, etc.) may be awarded in an amount up to, but not greater than, \$250.
8. In addition to the cash incentives allowable under #5, #6 and #7, youth may receive up to \$100 per year in cash incentives for other positive accomplishments or achievements such as skills gain, or basic skills improvements.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

9. A youth may not receive more than \$1,000 total in a program year for Incentives outlined in #5, #6, #7 and #8.
10. Non-cash incentives, such as gas cards or gift cards (anything that has a cash value associated with it) guidelines must be included in the WIOA Contractor's Incentive Policy and is limited to \$150 per year.
11. Non-cash incentives such as movie passes, tickets to theme parks or sports events, etc. may **NOT** be purchased using WIOA funds.
12. The only WIOA-funded incentives (cash or non-cash) that can be awarded to youth after exiting WIOA, that is, during post-exit follow-up services, is for GED attainment, credential attainment, and employment retention.
13. In the event that Capital Area receives additional funding through grants or other opportunities that allow for incentives, additional guidelines may be released for some or all of the following items, as appropriate:
  - Allowable expenditures
  - Unallowed expenditures
  - Reimbursement rates
  - Payment methods
  - Eligibility criteria

The guidelines issued will be specific to that grant/opportunity and will be included in this policy as an attachment. The guidelines will follow all rules and regulations under that funding source.

This WIOA Youth Incentive policy must be followed for any item listed above that is not specifically addressed in the guidelines for that special funding.

14. Exceptions to the incentives policy may be requested on a case-by-case basis by e-mailing the Capital Area Youth Coordinator with the following information.
  - a. Name of participant
  - b. Type of exception requested
  - c. Dollar amount of incentive expected
  - d. Reason for the request

After review of the information provided, the Youth Coordinator will respond by e-mail, within ten business days with a determination. If denied, the determination will include justification for the decision. Exceptions will not be considered for items #10 & #11 above.

## ***WIOA Youth Program Elements***

In order to support the attainment of a secondary school diploma or its recognized equivalent, entry into postsecondary education, and career readiness for participants, the WIOA Youth Program shall provide elements consisting of the following program elements.

20 CFR §681.470 states that it is not required for local programs to use funds for each program element. Local programs may leverage partner resources to provide program elements. However, if the program is not funded with WIOA youth funds, the Local Area must have an agreement in place with a partner organization to ensure that the program element will be offered. If offered by a partner, the program element must be connected and coordinated with the WIOA youth program.

Please denote whether the required WIOA Program Element will be WIOA funded by the Local Area, provided by referral, or both.


	<b>WIOA Youth Program Elements</b>	<b>WIOA Funded</b> (Specify Provider)	<b>Referral by Agreement</b> (Specify Provider)
1.	Tutoring, study skills training, instruction, and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential	JCI  EDSI	Wake Tech Community College, Johnston County Community College, Acceleration Academy, Literacy Council, Wade Edwards Learning Lab, Motherhead, Wake County Public Schools, Johnston County Public Schools
2.	Alternative secondary school services, or dropout recovery services, as appropriate	JCI  EDSI	Wake Tech Community College, Johnston Community College, Wake County Public Schools, Johnston County Public Schools
3.	Paid and unpaid work experiences that have as a component academic and occupational education, which may include (i) summer employment opportunities and other employment opportunities available throughout the school year; (ii) pre-apprenticeship programs; (iii) internships and	JCI  EDSI	Local businesses in Wake and Johnston Counties

## ***WIOA Youth Program Elements***

	<b>WIOA Youth Program Elements</b>	<b>WIOA Funded</b> (Specify Provider)	<b>Referral by Agreement</b> (Specify Provider)
	job shadowing; and (iv) on-the-job training opportunities		
4.	Occupational skill training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area involved	JCI EDSI	Wake Tech Community College, Johnston Community College, Care One, Carolina Trucking Academy, New Horizons, NC State
5.	Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster	JCI EDSI	
6.	Leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors, as appropriate	JCI EDSI	
7.	Supportive services	JCI EDSI	
8.	Adult mentoring for the period of participation and a subsequent period, for a total of not less than 12 months	JCI EDSI	
9.	Follow-up services for not less than 12 months after the completion of participation, as appropriate	JCI EDSI	
10.	Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, as appropriate	JCI EDSI	Alliance Behavioral Health
11.	Financial literacy education	JCI EDSI	Consumer Education Services Inc. (CESI)

### ***WIOA Youth Program Elements***

	<b>WIOA Youth Program Elements</b>	<b>WIOA Funded</b> (Specify Provider)	<b>Referral by Agreement</b> (Specify Provider)
12.	Entrepreneurial skills training	JCI EDSI	
13.	Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services	JCI EDSI	
14.	Activities that help youth prepare for and transition to postsecondary education and training	JCI EDSI	

	PY19-05
	NCWorks Career Center Staff
	June 14, 2019
	WIOA Adult Internship/Work Experience (WEX) Policy

**Purpose:** To rescind Policies #17-08 and #PY15-37 and transmit a new combined Internship/Work Experience (WEX) Policy for WIOA Adult and Dislocated Worker formula funds.

**Background:** WIOA acknowledges the critical role internships and work experiences play in helping individuals obtain the skills they need to succeed in the workplace. Internships/work experiences (WEX) are planned, structured learning experiences that occurs in a workplace for a specified, limited period of time. The purpose of the activity is to provide the WIOA Title I participant with opportunities for career exploration, skill development, and reinforcement of the work ethic. Internships/work experiences provide a helpful means for an individual to gain experience that may lead to unsubsidized employment.

This type of training may include paid or unpaid wages and may be in the private, for-profit sector, the non-profit sector, or the public sector. Adult and Dislocated Worker internships/WEX must be linked to a career goal and based upon the participant's interest and aptitude.

An internship/WEX has the following characteristics:

- Provides a time limited work experience;
- Combines with career services and supportive services; and,
- Develops basic work skills that lead to unsubsidized employment.

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

The difference between an internship/WEX and an On-The-Job Training (OJT) contract is that in an internship/WEX job there is no expectation that the individual will continue his or her hire with the employer after the activity is complete. Internship/WEX jobs are an effective solution for individuals to gain

necessary experiences that they would otherwise not be able to get through classroom training or an OJT contract.

This policy outlines the guidelines to follow for internship/WEX activities for WIOA Adults and Dislocated Workers.

- Changes:** Please note the following change(s) to the policy:
- Added the background information from the cover pages to the policy.
  - Added Internship wording throughout the documents to combine two policies into one.
  - Removed the restriction: WEX activities may use no more than 10% of the combined total of adult and dislocated worker allotments
  - Added a section regarding additional non-WIOA grants or other funding opportunities.
- Action:** All NCWorks Career Center staff must adhere to the policies outlined for Workforce Innovation Opportunity Act (WIOA) funded internship/WEX activities for eligible Adults and Dislocated Workers. This policy replaces the WEX Policy PY17-08 sent out on November 9, 2017 and the Internship Policy PY15-37 sent out on July 16, 2015. Please share with staff as appropriate.
- Effective Date:** July 1, 2019
- Expiration:** In effect until rescinded
- Contact:** Jessica Locklear McLeod  
WIOA Adult Coordinator  
Jessica.locklearmcleod@wakegov.com  
919.856.7005
- Attachment:** Capital Area Internship/Work Experience Policy and Guidelines  
Capital Area Internship/Work Experience Worksite Agreement  
Capital Area Internship/Work Experience Evaluation Form



## **CAPITAL AREA ADULT INTERNSHIP/WORK EXPERIENCE POLICY AND GUIDELINES**

WIOA acknowledges the critical role internships and work experiences play in helping individuals obtain the skills they need to succeed in the workplace. Internships/work experiences (WEX) are planned, structured learning experiences that occurs in a workplace for a specified, limited period of time. The purpose of the activity is to provide the WIOA Title I participant with opportunities for career exploration, skill development, and reinforcement of the work ethic. Internships/work experiences provide a helpful means for an individual to gain experience that may lead to unsubsidized employment. Internships/work experiences (WEX) for Adult and Dislocated Workers focus on learning new transferrable skills and enhancing employability. This training may include paid or unpaid wages and may be in the private, for-profit sector, the non-profit sector, or the public sector. Adult and Dislocated Worker internships/WEXs must be linked to a career goal and based upon the participant's interest and aptitude.

An internship/WEX has the following characteristics:

- Provides a time limited work experience;
- Combines with career services and supportive services; and,
- Develops basic work skills that lead to unsubsidized employment.

NCWorks Career Center staff shall ensure that internship/WEX training for WIOA Title I eligible participants is appropriate based on the needs identified by an objective and comprehensive assessment and as documented in the Individual Employment Plan (IEP). The IEP should clearly indicate how this activity is going to help the participant move from the internship WEX/to unsubsidized employment or on to further training. Documentation of the need for WEX/internship that is tied to the objectives of the WEX/internship must be detailed in the IEP.

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

The difference between an internship/WEX and an On-The-Job Training (OJT) contract is that in an internship/WEX job there is no expectation that the individual will continue his or her hire with the employer after the activity is complete. Internship/WEX jobs are an effective solution for individuals to gain necessary experiences that they would otherwise not be able to get through classroom training or an OJT contract.

Periodic evaluation of the participant's learning and attainment of skills during the internship/WEX, including information about any incentive payments made, should be documented in case notes in NCWorks Online. Staff should use either O\*NET or other identified tools when developing the competencies to be learned and evaluated in the internship/WEX. The IEP should include the job skills needed, training hours, and estimated start and end dates.

The determination of the duration of the internship/WEX should be based on the competencies the WIOA participant needs to develop or refine and must be specified in the IEP.

#### Duration of Internships/Work Experiences, and Hours Limitations

1. The total maximum number of hours for each subsidized internship/WEX will not exceed 480 hours.
2. WIOA participants will not be placed in more than two subsidized internships/WEX per program year.
3. Total lifetime hours of participation in internships/WEX for a participant will not exceed 960 hours
4. Participants will not work more than 40 hours per week during a subsidized or unsubsidized internship/WEX.
5. Exceptions to the maximum number of hours for each subsidized internship/WEX will be considered under special conditions with special approval. Special approvals must be requested through e-mail to the appropriate Capital Area staff.

#### Internship/Work Experience Wages

Internship/work experience job assignments may be paid or unpaid. If a paid internship/work experience, individuals must be compensated at the same rates, including periodic increases, as trainees, or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills. The rates may not be lower than the higher of the federal or state minimum wage.

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

#### Skills Analysis

An individualized internship/WEX skills analysis must be performed to determine the acquisition of skills that the participant does not already possess. Skills the participant may have acquired from previous work, volunteer work or life experiences are potentially transferrable and can be used in every occupation, regardless of the type of work. Transferrable skills are unlike job-related skills, which tend to be used only in one type of work.

This analysis will contain occupationally specific skills that the employer requires for competency in the internship/WEX occupation. An analysis of the trainee's prior work history (if any), transferrable work skills, and the job skills gained must be compared to the job skills/job description the employer requires in the internship/WEX occupation. The resulting gap in skills will be the basis for the development of the internship/WEX.

There are a number of assessment tools available that may be used to conduct a skills gap analysis and provide adequate documentation of the process utilized. These include Prove It!™, an Internet-based assessment tool used to determine an individual's level of skills in a particular occupation and to document skill deficiencies, as well as the O\*NET Online website (<https://www.onetonline.org/>) and mySkills myFuture web site (<https://www.myskillsmyfuture.org/>) which have both been developed by the U.S. Department of Labor.

### Training Plan

A training plan is not required but could be beneficial to the NCWorks Career Center staff and participant to outline the objectives of the internship/WEX. The Training Plan can also serve as a tool for staff to monitor and evaluate the internship/WEX. It serves as a baseline when establishing whether the needs of the WIOA participant and the employer's expectations of training and development have been met. Objectives must be outlined for the participant whether or not a training plan is used.

### Choosing a Worksite

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

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

Capital Area strongly discourages the practice of placing participants in internships/WEXs located at the board office, NCWorks Career Centers, NCWorks NextGen Centers or administrative entity locations due to the potential of conflicts of interest. Placement at these locations should only be allowed where there is specific documentation in the file that the particular experience meets the participant's career goals and skills needs **AND** there are no other placement opportunities available.

### The Worksite Agreement

There must be an internship/WEX Worksite Agreement between the NCWorks Career Center and the employer that articulates the learning that is to take place, and the length of the training. The Worksite Agreement must be completed and signed prior to the start of the internship/WEX. NCWorks Career Center staff will use a standardized Worksite Agreement template developed by Capital Area staff. Additionally, NCWorks Career Center staff must provide documentation that the employer received formal internship/WEX training.

The purpose of the worksite agreement is to establish a formal training relationship with a worksite, to specify the responsibilities of each party to the agreement, and to provide a successful, enriching internship/WEX job experience for the WIOA participant. A signed original of the Worksite Agreement must be kept on file at the worksite and the NCWorks Career Center staff must maintain all internship/WEX documents and case notes in NCWorks Online.

The following items are the minimum required terms and conditions of a Capital Area Worksite Agreement. Other specifications or terms specific to the NCWorks Career Center and/or the worksite may be added as needed.

1. Name of parties to the Agreement
2. Duration of the internship/WEX– based on the assessment conducted
3. Participant's name
4. Supervisor's name, title and contact information
5. Internship/WEX job title
6. O\*NET Code
7. Worksite name and address
8. Work schedule – to include hours per day/week, and maximum training hours
9. How time and attendance is recorded
10. Who is responsible for accuracy of the timesheets
11. Wages – to include rate, pay schedule and any scheduled increases expected
12. How parties may terminate the Agreement
13. Attachments
  - a. Job Description including job title
  - b. Internship/Work Experience Evaluation form
14. Signatures from an authorized NCWorks Career Center representative and an authorized worksite representative

### Additional Required Forms for Internships/Work Experiences

As a part of arranging internships/WEX for WIOA participants, NCWorks Career Center staff is responsible for ensuring that the following appropriate documentation/tax forms are collected/completed prior to the beginning of the training. (This is in addition to any required eligibility documentation.) Keep in mind that for WIOA-subsidized internships/WEXs, the NCWorks Career Center is the "Employer" and the business or agency location where the participant works is the "Worksite."

- a. *Social Security Card:*  
NCWorks Career Center staff must have a copy of a participant's original,

signed Social Security card prior to the participant beginning a work experience.

*b. Federal W-4 Form:*

Each participant must completely fill out the Federal W-4 form. If a participant meets the qualifications for being exempt from paying withholding tax, he or she should leave the allowances section (#5) blank and write "*Exempt*" in the exemption section (#7). A participant cannot have 0 or 1 allowance and be exempt at the same time.

*c. State NC-4 Form:*

Each participant must completely fill out the State NC-4 form. If a participant meets the qualifications for being exempt from paying withholding tax, he or she should leave the allowances section (#4) blank and write "*Exempt*" in the exemption section (#6). A participant cannot have 0 or 1 allowance and be exempt at the same time.

*d. Employment Eligibility Verification Form (I-9):*

Each WIOA participant must complete an Employment Eligibility Verification Form (I-9) to verify eligibility to work in the United States. The participant will complete and sign Section 1 and WIOA staff will complete and sign Section 2, including the *Certification* section.

Once a participant has begun the internship/WEX, a staff member must maintain contact with the participant, including counseling, if needed. The initial contact with the business and the participant should occur within the first ten days of the placement.

At a minimum, an evaluation (using the attached evaluation form) must be completed at the following milestones of the internship/WEX:

- 1) Midpoint of training to determine progress of the participant. The Midpoint Evaluation form must be completed at the midpoint of the training. The form stating the attainment of the required job skills objectives must be signed by the supervisor and the participant. Any necessary adjustments to the job skills objective(s), training plan (if applicable) and IEP are made at this time. The participant's immediate supervisor should be contacted periodically to verify progress in the mastery of skills.
- 2) Conclusion of training to document the mastery of the required skills. Completion of the final skills evaluation section of the evaluation form signals the completion of the internship/WEX. The final skills evaluation section of the evaluation form must be signed by the supervisor and the participant.

Completed evaluation forms must be kept in NCWorks online with the participant's records.

### Outside Funding

In the event that Capital Area receives additional outside funding through grants or other opportunities that allow for internships/WEXs, additional guidelines may be released for some or all of the following items, as appropriate:

- Duration of internship/WEX
- Number of allowed hours
- Timeframes
- Eligibility criteria

The guidelines issued will be specifically for that grant and will follow all rules and regulations under that grant. This WIOA Adult/DW Internship/WEX policy must be followed for any item listed above that is not specifically addressed in other grant guidelines.

**Capital Area Workforce Development Consortium  
Workforce Innovation and Opportunity Act (WIOA)**

**Internship/Work Experience (WEX) Worksite Agreement**

The purpose of this Worksite Agreement is to establish a formal training relationship with a worksite, to provide assurances by both parties, specify the responsibilities of each party to the Agreement, and to provide a successful, enriching internship/WEX opportunity for the WIOA participant. A signed original copy of the Worksite Agreement must be kept on file at the worksite.

This Agreement is made between \_\_\_\_\_ (NCWorks Career Center) and \_\_\_\_\_ (WIOA Worksite)

a public non-profit or private-for-profit business/organization to provide subsidized or unsubsidized internships/WEXs to eligible adults and/or dislocated workers participating in the Capital Area WIOA Program, authorized and funded under the Workforce Innovation and Opportunity Act. Under this Agreement, participants will be provided a short-term internship/WEX which is valuable and meaningful for both the participant and the worksite.

The internship/WEX job assignment will be consistent with the WIOA participant's capabilities and interests and in an occupational field or specific job in which he/she has minimal or no prior work experience. WIOA-funded internship/WEX job assignments are expected to help individuals gain the skills and experience they need to succeed in the workplace and obtain unsubsidized employment.

**Term:** This agreement will take effect on \_\_\_\_\_ and terminate no later than \_\_\_\_\_.  
(Date) (Date)

**Participant's Name:** \_\_\_\_\_

**Supervisor's Name/Title:** \_\_\_\_\_

**Supervisor's Phone:** \_\_\_\_\_ **E-mail:** \_\_\_\_\_

**Job Assignment Information**

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

**O\*NET Code:** \_\_\_\_\_

**Worksite Name/Address:** \_\_\_\_\_

**Maximum Internship/WEX Hours:** \_\_\_\_\_ **Hours per Day/Week:** \_\_\_\_\_

**How will time and attendance be recorded?** \_\_\_\_\_

**Who is responsible for timesheet accuracy?** \_\_\_\_\_

**Starting Wage:** \$\_\_\_\_\_/hr **Ending Wage:** \$\_\_\_\_\_/hr **Pay Day (circle):** S M T W Th F S

**Pay Schedule:** ☐ Monthly ☐ Weekly ☐ Bi-Weekly ☐ Other \_\_\_\_\_

**This Worksite Agreement provides the following assurances by both parties:**

- 1) Uphold all requirements and regulations governing the WIOA program;
- 2) Ensure that if a paid internship/WEX, individuals are compensated at the same rates, including periodic increases, as trainees, or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills. The rates will not be lower than the higher of the federal or state minimum wage;
- 3) Ensure that the total maximum number of hours for the internship/WEX will not exceed the total maximum training hours stated on the Worksite Agreement; and,
- 4) Assure that no person on the grounds of race, creed, color, disability, national origin, sex, age, political affiliation, or beliefs, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under the Workforce Innovation and Opportunity Act.

**NCWorks Career Center Responsibilities:**

- 1) Refer only WIOA-eligible adults or dislocated workers to the worksite;
- 2) Handle all payroll duties for the participant;
- 3) Obtain Worker's Compensation Insurance to cover all WIOA participants engaged in an internship/WEX at a worksite;
- 4) Counsel the participant, as necessary, throughout the duration of the internship/WEX;
- 5) Evaluate progress of the participant, at a minimum of, at the mid-point and at the end of the internship/WEX; and,
- 6) Find a mutually satisfactory solution if difficulties arise that the worksite supervisor and participant are unable to resolve, which may include a recommendation of termination or transfer of the participant.

**Worksite Responsibilities:**

- 1) Provide sufficient, meaningful work to keep WIOA participants fully occupied during work hours;
- 2) Provide a safe work environment;
- 3) Provide adequate full-time supervision of each WIOA participant by qualified supervisors;
- 4) Notify NCWorks Career Center staff if difficulties arise which the Worksite supervisor and participant are unable to resolve;
- 5) Provide adequate oversight and review of each participant's time and attendance;
- 6) Provide participant with sufficient equipment and/or materials to carry out assignments;
- 7) Maintain this agreement at the Worksite and available for review by federal, state, local area and NCWorks Career Center representatives;
- 8) Allow on-site monitoring visits from the NCWorks Career Center, Capital Area Workforce Development, the North Carolina Division of Workforce Development, and /or the US Department of Labor;
- 9) Adhere to existing State and Federal labor standards;
- 10) Assure that the participating worksite has not relocated this establishment and commenced operations in the past 120 days, where the relocation resulted in the loss of employment at the original location; and,
- 11) Assure that no WIOA participant shall be employed or job opening filled (A) when any other individual is on layoff from the same or any substantially equivalent job, or (B) when the Worksite has terminated the employment of any regular employee or otherwise reduced its workforce with the intention of filling the vacancy so created by hiring a participant whose wages are subsidized under this Act.

**Work Activities**

A written job description **must** be attached to this Agreement. The job description must include:

- (1) Job Title
- (2) Accurate description of required duties and responsibilities



If the WIOA participant's job duties at the Worksite change, the Worksite agrees to notify the NCWorks Career Center staff immediately so that this agreement may be modified.

**Time and Attendance**

Accurate time and attendance records will be kept by the Worksite supervisor for each WIOA participant. Records will reflect the time actually worked by the participant. **Participants will not be paid for time not engaged in work duties, including absences, lunch periods, vacation time, or holidays. Under no circumstances should a WIOA participant work over 40 hours in a week.**

**Supervision**

Worksite supervisors must be experienced in the work to be performed by the WIOA participant and in supervising entry-level employees. Worksite supervisors should encourage, and expect participants to demonstrate good work habits, satisfactory job performance, and positive attitudes about work.

**Termination of Agreement**

Both parties agree that this Worksite Agreement may be terminated by either party with a written 5-day notice.

**Authorized Signatures**

**Worksite Representative**

By my signature below, I attest to being an authorized representative of the worksite in a position to commit to the terms of this Worksite Agreement.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Print Title

Worksite Business Name and Address

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

**NCWorks Career Center Representative**

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Print Title

NCWorks Career Center Name and Address

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

# Capital Area

## NCWorks Career Center

### Internship/Work Experience Evaluation Form

Participant Name: \_\_\_\_\_

Supervisor Name: \_\_\_\_\_

#### Section 1: Evaluation

Company Name: \_\_\_\_\_

JOB SKILLS OBJECTIVES	MIDPOINT EVALUATION OF SKILLS	MIDPOINT EVALUATION DATE	FINAL EVALUATION OF SKILLS	FINAL EVALUATION DATE
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
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	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
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	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	

#### Section 2: Authorized Signatures

##### Midpoint Evaluation

<i>I hereby certify that the above information is accurate.</i>	
SUPERVISOR SIGNATURE:	DATE:
PARTICIPANT SIGNATURE:	DATE:

##### Final Evaluation

<i>I hereby certify that the above information is accurate.</i>	
SUPERVISOR SIGNATURE:	DATE:
PARTICIPANT SIGNATURE:	DATE:

- ☐ Having satisfied the requirements of the internship/WEX, the participant has successfully completed the internship/WEX.

#### Section 3: Comments (please explain any unsatisfactory evaluation items)


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	<b>PY18-05</b>
	<b>Capital Area Staff, NCWorks Career Center Staff and NCWorks NextGen Staff</b>
	<b>June 15, 2018</b>
	<b>Competitive Procurement Policy</b>

**Purpose:** To inform Capital Area staff, NCWorks Career Center staff and NCWorks NextGen staff of the requirement that Capital Area Workforce Development must use a competitive procurement process to select providers of Workforce Innovation and Opportunity Act (WIOA) Adult, Youth, and Dislocated Worker services, as well as, for the operator of the Capital Area NCWorks Career Center system using the WIOA Final Regulations. This policy also provides instructions for a waiver in the case of a failed procurement process.

**Background:** Adult, Youth and Dislocated Worker Services: Section 107(g)(1)(A) of the WIOA mandates that local WDBs shall not provide direct services to customers. This requirement is also reiterated in the Final Rule at 679.410(b) that a local WDB acting as a direct provider of services is not optimal, as the local WDB is designed to oversee the one-stop system and its services, not provide them. WDBs must competitively procure these services in compliance with all state and federal regulations. WIOA section 107(g)(1)(B) allows that a waiver of these procurement requirements may be granted under certain conditions.

One-Stop Operators: Requirements for the competitive procurement of one-stop operators are addressed in the Final Rules section 678.605 (a)-(d). That section requires the one-stop operator be selected through a competitive process. While the Final Rule allows for the possibility of a local WDB to be the one-stop operator, the Division of Workforce Solutions' position is to reject that, as the WDB's role is to provide strategic direction and oversight to service delivery.

The Final Rule (CFR 678.615) also allows a one-stop operator to be a service provider. However, there must be firewalls in place to ensure that the operator is not conducting oversight of itself as a service provider. Local WDBs should be strategic in nature and should have an "arm's length" relationship to the day-to-day delivery of services to Career Center customers.

**Changes:** N/A

**Action:** Capital Area staff will adhere to the attached policy.

**Effective Date:** July 1, 2018

**Expiration:** In effect until rescinded.

**Contact:** Jane P. Sterner  
Jsterner@wakegov.com  
919.856.6117

**Attachments:** Capital Area Competitive Procurement Policy  
Waiver of Training Prohibition

## **Capital Area Competitive Procurement Policy**

Under the Workforce Innovation and Opportunity Act (WIOA), the local Workforce Development Board (WDB) is designed to oversee the one-stop system and its services, not provide them. WDBs must competitively procure WIOA Adult, Youth and Dislocated Worker services in compliance with all state and federal regulations. WIOA section 107(g)(1)(B) allows that a waiver of these procurement requirements may be granted under certain conditions, provided as an attachment.

WIOA also requires the one-stop operator be selected through a competitive process. It allows a one-stop operator to be a service provider. However, it clarifies that there must be firewalls in place to ensure that the operator is not conducting oversight of itself as a service provider. Local WDBs should be strategic in nature and should have an “arm’s length” relationship to the day-to-day delivery of services to Career Center customers.

### **Guidelines**

1. Capital Area will competitively procure Adult, Youth, and Dislocated Worker services and have a very clear and distinct firewall between the Board and the services delivered to customers.
2. If the competitive procurement process fails, Capital Area may seek other non-competitive options for the first year or request a “waiver of training” using the attached Division of Workforce Solutions (DWS) guidelines and submit the request to the Capital Area’s Division Planner within 30 days of the failed procurement.
3. Capital Area will follow all applicable federal, state, and local procurement requirements in selecting service providers and one-stop operators to deliver services funded by WIOA resources. Federal requirements include, but are not limited to:
  - a. United State Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, Audit Requirements for Federal Awards 200.317-200.326 (Procurement Procedures) which establishes principles and standards for determining costs for all federal awards carried out by state and local governments;
  - b. Final Regulations 678.605(a) and 678.610(a)-(d); and,
  - c. North Carolina Division of Workforce Solutions’ procurement and Contracting Policy Statement.

The Division of Workforce Solutions will provide Capital Area oversight of compliance through:

- a. reviewing the Capital Area Plan responses outlining procurement procedures;
- b. monitoring activities including direct site visits; and,
- c. oversight summary reports.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

## **Division of Workforce Solutions Waiver of Training Prohibition**

The Workforce Innovation and Opportunity Act (WIOA) section 107(g)(1)(A) indicates that local Workforce Development Boards (WDBs) may not provide training services to customers. The Act does, however, allow an opportunity for a waiver of this provision.


Any local WDB that wishes to directly provide training services to customers through its staff or through the staff of the local WIOA administrative entity/grant recipient or experiences a failed competitive selection process must submit a waiver request to the Division of Workforce Solutions (DWS) that contains the following:

- I. based upon a failed competitive procurement, satisfactory evidence that there is an insufficient number of eligible providers of such a program or training services to meet local demand in the local area;
- II. information demonstrating that the WDB meets the requirements for an eligible provider of training services under WIOA section 122;
- III. information demonstrating that the program of training services prepares participants for an in-demand industry sector or occupation in the local area; and,
- IV. a description of the clear and distinct firewall between Boards and the services delivered to customers.

The local WDB must make the proposed waiver request available to eligible providers of training services and other interested members of the public for a public comment period of not less than 30 days. The final request for the waiver must also include the evidence and information described in the list I – IV above, as well as the comments received during the public comment period.

Duration: A waiver granted to a local WDB shall apply for a period that shall not exceed one year. The waiver may be renewed for additional periods based upon evidence submitted to the DWS and if the local WDB continues to meet the requirements of the provisions stated above.

Revocation: The DWS shall have the authority to revoke the waiver during the appropriate period described in the preceding paragraph if it determines the waiver is no longer needed, the local WDB involved has engaged in a pattern of inappropriate referrals to training services operated by the local WDB, or there were irregularities in the competitive procurement process.

	<b>PY17-10</b>
	<b>Capital Area Workforce Development Officers, Agents and Employees</b>
	<b>December 22, 2017</b>
	<b>Conflict of Interest Policy</b>

**Purpose:** Capital Area Workforce Development (CAWD) is committed to maintaining the highest of standards of ethical conduct and to guard against problems arising from real, perceived, or potential conflict of interest. Capital Area officers, agents and employees at all levels of participation in the NCWorks System funded by the Workforce Innovation and Opportunity Act (WIOA) are expected to read, understand and apply this policy to ensure system integrity and effective oversight of the NCWorks System.

**Background:** Grantees, subrecipients and contractors funded under WIOA must implement codes of conduct and conflict of interest policies and procedures as stipulated in WIOA law, regulations and guidance; Office of Management and Budget (OMB) Circulars; State regulations; and State WIOA policies. A conflict of interest policy is required to ensure that individuals or representatives of organizations entrusted with public funds will not personally or professionally benefit from the award, administration, or expenditure of such funds.

In addition, the CAWD recognizes that by its very composition, conflicts of interest and issues concerning the appearance of fairness may arise. Therefore, it is essential for the CAWD officers, agents and employees to be sensitive and error on the side of caution when potential or real conflict or fairness matters occur.

**Action:** All CAWD officers, agents and employees (includes: CAWD Board Members; CAWD staff; NCWorks Career Center staff; and, NCWorks NextGen staff) must adhere to the procedures outlined in this policy for all Workforce Innovation Opportunity Act (WIOA) funded services and activities. All Capital Area officers, agents and employees are required to sign an affirmation statement annually. More details will follow on this process.

**Effective Date:** January 1, 2018

**Expiration:** In effect until rescinded

**Contact:** Jane P. Sterner  
JSterner@wakegov.com  
919.856.6117

**Attachment:** Capital Area Conflict of Interest Policy

*Equal Opportunity Employer/Program.  
Auxiliary aids and services are available upon request to individuals with disabilities.*

## **CAPITAL AREA CONFLICT OF INTEREST POLICY**

The purpose of the Conflict of Interest Policy is to secure the interest of the Capital Area Workforce Development (CAWD) as an entity, which is in charge of the oversight of federal and/or state funds, when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer, agent, or employee or might result in a possible excess benefit transaction. Officer, agent, or employee refers to the following: CAWD Board members, CAWD staff, CAWD service providers and their employees. In this policy, they may also be referenced as “Individual(s)”. This includes people and entities associated with the competitive selection processes to identify service providers and award funding utilizing federal funds: genuine, obvious, or organizational. The purpose of this policy is to supplement, yet not supplant, any state or federal laws representing conflicts of interest pertinent to organizations in charge of keeping up the general population trust for the utilization of federal, state, and other grant funds to carry out objectives and program requirements, including the responsibility to maintain the reputation and integrity of the entity, organizations, agencies, and programs.

### **I. Capital Area Workforce Development Board Members**

It is the policy and expectation of Capital Area Workforce Development that its Board Members will fulfill the fiduciary duties applicable to their service as Members of the Board. Due to the legal and statutory structures of CAWD, it is expected that conflicts of interest may arise and this policy is expected to deliver a system that will enable the work of CAWD to be achieved without the fact of or appearance of impropriety. CAWD and all other agencies receiving direct financial assistance through the Workforce Innovation and Opportunity Act (WIOA) shall avoid conflict of interest, real or apparent.

In this policy, officer, agent, or employee refers to the following: CAWD Board members, CAWD staff, CAWD service providers and their employees. They may also be referenced as “Individual(s)”. It is the responsibility of every officer, agent, or employee to govern the actions of other Individuals in compliance with the Conflict of Interest Policy. If an officer, agent, or employee thinks there is a possibility of a conflict of interest, real or apparent, with respect to another Individual, it is his/her responsibility to immediately notify their supervisor, the CAWD Director, or other appropriate official. Subsequently, no officer, agent, or employee will discuss, present proposals, or vote on any issue as to which the Individual has an economic interest unless specifically addressed by other officers, agents, or employees as part of a scheduled opportunity for all interested parties to present information. An officer, agent, or employee may vote on and may discuss any issue that would not have any impact on the Individual.

No officer, agent, or employee of the CAWD or contracting agency authorized in their official ability to negotiate, make, accept, approve, or to take part in the negotiating, making, accepting, or approving any contract or subcontract in connection with a project shall have directly or indirectly any financial or personal interest in any such contract or subcontract.



It shall be against the policy of the CAWD or contracting agency for any employee or volunteer to directly or indirectly ask, request, demand, solicit, accept, receive, or consent to receive anything of worth for themselves or any other individual or entity in exchange for:

- being influenced in the performance of their job or position;
- being influenced to commit or aid in committing, or to collude in, or allow, any fraud, or to make opportunity for the commission of any fraud on CAWD or contracting agency; or,
- being induced to do or admit to any act in violation of their official duties.

Each officer, agent or employee shall annually confirm a statement that affirms such person:

1. has received a copy of the CAWD's Conflict of Interest Policy;
2. has read and understands the policy; and,
3. has agreed to comply with the policy.

## **II. Discovery of an Actual or Potential Conflict of Interest for Board Members**

Upon the assertion of a possible violation of this policy, the CAWD Chair or Vice-Chair will designate a specially appointed advisory group to review the circumstances, report their findings to the Board for discussion and vote, and recommend a course of action in the event an Individual is found to be in violation. Action may include, but is not limited to, a declaration that the Individual be removed from the Board position and a request to the CAWD to make a new appointment.

## **III. Contract Selection, Award, Negotiation**

No CAWD officer, agent, or employee (whether compensated or not), shall engage in any activity, including participation in the selection, award, or administration of a sub-grant or contract supported by WIOA funds if a conflict of interest, real, or apparent would be involved.

CAWD officers, agents or employees (or any member of their immediate family) shall neither solicit nor accept gratuities, favors, or anything of value from contractors, potential contractors, or parties to sub-agreements.

CAWD officers, agents or employees shall not cast a vote, or take interest in, any decision making capacity on the provision of services by such Individual (or any organization which that Individual directly represents), nor on any issue which would provide any direct monetary benefit to that Individual.

No CAWD officer, agent or employee shall participate in a governmental decision including voting on a matter (including recommendations, appointments, obligating, or committing the CAWD to a course of action) when such action influences a decision or exercises judgment in making a decision. Any CAWD officer, agent or employee with a potential or actual conflict of interest shall comply with requirements for public disclosure and recusal.

All negotiations of a contract for or with potential contractors/service providers must be conducted with arm's length negotiations. The definition of an arm's length negotiation is a negotiation where the parties to the negotiation have an opposing economic interest to that of the organization with which they are negotiating.

#### **IV. Work Experience Placements**

All CAWD officers, agents or employees will follow Capital Area's Work Experience Policies when placing participants in work experience opportunities. Placement at the CAWD office and/or at NCWorks Career Centers/NCWorks NextGen Centers are only permitted where there is specific documentation in the participant record that the specific experience meets the participant's career objectives and skills needs and there is no other placement opportunity available.

#### **V. Nepotism**

Even though the WIOA program is not an entitlement program, it should be open to any individual, in any local area, who is eligible and suitable for available services subject to CAWD policies and procedures. However, when applicants have a close relationship with WIOA staff, management, and other specific stakeholders of the CAWD System, access to program services should not be based on such relationships or based on political influence. It is conceivable that even without any intention to misuse WIOA funds a decision to enroll an individual in the program could be perceived as improper. Such a perception could cause noncompliance with state and/or federal law. All officers, agents and employees will strictly adhere to CAWD's Nepotism Policy.

#### **VI. Code of Conduct**

A written set of standards (Code of Conduct) governing the performance of CAWD officers, agents or employees related to real or apparent conflicts of interest is a requirement of 29 CFR 95.42. All CAWD officers, agents and employees will adhere to CAWD's Code of Conduct provided as *Attachment A* to this policy.

#### **VII. Transparency/Integrity**

CAWD officers, agents and employees will follow procurement processes and procedures established by Capital Area Workforce Development. These processes and procedures are in place to act as a barrier or protection against an undesirable influence, outcome, or authority. This also ensures the transparency and integrity of the procurement process to the public and to the governing bodies that the selection process was impartial and that no preferential treatment was given to the awardee.

No entity or individual that has any part in the issuance of a solicitation may compete or submit a proposal under that procurement action, including the development of requirements, drafting the Request for Proposals (RFP) or Letter of Intent for Bid (IFB), evaluation of proposals/bids, and identification of the best entity.

## Capital Area Workforce Development Code of Conduct

No Capital Area Workforce Development (CAWD) officer, agent or employee shall:

- a. Accept any financial benefit, direct or indirect, from any source other than their employing agency as a result of their performance of official duties under Workforce Innovation and Opportunity Act activities.
- b. Accept any position, whether compensated or uncompensated, which will impair independence of judgment in the exercise of official duties.
- c. Accept any position or engage in any business which will require the disclosure of confidential information gained by reason of official position.
- d. Disclose confidential information acquired during the performance of official duties or use such information to further personal gain.
- e. Use or attempt to use official position to secure personal privileges or exemptions or which would give the appearance of such.
- f. By conduct, writing, or other communication, give a reasonable person the impression that official duties may be improperly influenced.
- g. Violate any CAWD Conflict of Interest policy, statute, or law.
- h. Take part in any political activities in violation of the federal Hatch Act.
- i. Take part in any religious or anti-religious activity in the discharge of official responsibilities.
- j. Promote or oppose unionization in the discharge of official duties.
- k. Participate in any effort to violate any other applicable federal, state, and local laws and regulations.
- l. Conflict of Interest. It shall be a breach of ethical standards for any CAWD officer, agent or employee to participate directly or indirectly in a procurement process when the Individual knows that:
  1. the CAWD officer, agent or employee or any member of their immediate family has a financial interest pertaining to the procurement;
  2. a business or organization in which the CAWD officer, agent or employee or any member of their immediate family has a financial interest pertaining to the procurement; or
  3. any other person, business, or organization with whom the CAWD officer, agent or employee or any member of their immediate family is negotiating or has any arrangement concerning prospective employment is involved in the procurement
- m. **Discovery of actual or potential conflict of interest:** Upon discovery of an actual or potential conflict of interest, a CAWD officer, agent or employee shall immediately notify their supervisor, the CAWD Director, or other appropriate official and withdraw from further participation in the transaction involved. Further, should a CAWD officer, agent or employee reasonably believe an undisclosed conflict or potential conflict exists for another Individual, it is the duty and obligation of that person to make the matter known immediately to their supervisor, the CAWD Director, or other appropriate official.

Violations of any provision of this Code of Conduct by any CAWD officer, agent or employee may be cause for immediate dismissal. All are subject to any penalties, sanctions, or other disciplinary measures set forth in applicable federal, state, or local laws.

Capital Area Workforce Development (CAWD)  
Conflict of Interest Policy Signature Page

*All CAWD officers, agents and employees must sign the below statement on an annually basis for so long as they are associated with Capital Area Workforce Development.*

By my signature below, I acknowledge that I:

- have received a copy of CAWD's Conflict of Interest Policy;
- have read and understand the policy; and,
- agree to comply with the provisions contained therein.


I also understand that this signature page will be kept on file at the CAWD office as required under WIOA.

---

*Printed Name*

*Signature*

*Date*

	<b>PY21-05</b>
	<b>Capital Area Staff</b>
	<b>July 1, 2021</b>
	<b>Financial Management Policy for WIOA Title I</b>

**Purpose:** To transmit the current Capital Area Workforce Development's Financial Management policies for Workforce Innovation and Opportunity Act (WIOA) and Federal Office of Management and Budget (OMB) Uniform Guidance.

**Action:** Rescind Policy #PY19-03

Capital Area staff are required to adhere to the following financial policies and procedures for the administration of the WIOA Title I.

**Changes:** Please note the following changes to the policy:

- Minor changes to spacing, capitalization corrections and text style (bolding).
- Added a sentence to III. Financial Reporting, a.
- Added wording regarding software under section VII. Property Procedures, c.
- Changed wording to #5 of section VII. Property Procedures, c. to add "The accepted bid with the".
- Changed heading under section VII. Property Procedures, e. to "IT/Computer Equipment" and added information about software in the paragraph.
- Added information to section VII. Property Procedures, g.
- Changed the heading and wording to section VIII. Consultants, Personal Services and Purchase Agreements.
- Changed the heading and wording to section IX. Outreach Materials.

**Effective Date:** July 1, 2021

**Expiration:** In effect until rescinded

**Contact:** Thomas Pulickal  
thomas.pulickal@wakegov.com  
919.856.6049

**Attachments:** Financial Management Policy for WIOA Title I

**Capital Area  
Financial Management Policy  
For Workforce Innovation and Opportunity Act Funds**

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## **I. Recipient Funding**

### **a. Administrative Adjustment/NFA Process**

The Division of Workforce Solutions (DWS) issues planning allocations to Local Workforce Development Areas (Local Areas) and other recipients based on preliminary allocations provided to the state by the U.S. Department of Labor (USDOL). These preliminary allocations are subject to change; therefore, allocations are not official until the state receives a Notice of Award (NOA) from the USDOL. Once the state has received an NOA from the USDOL, Notices of Fund Availability (NFAs) are issued via Workforce Information System Enterprise (WISE) showing the funds available to the recipient. The funds are awarded by Program Year and must be tracked accordingly. Program Year funds are awarded for a period of two years unless indicated otherwise on the NFA letter as maintained in WISE. Funds availability may be reduced after issuance if the state's NOA is reduced by the USDOL.

NFA letters include the Local Area funding level by funds and program year. A Program Year fund amount will remain in WISE until the final audit for the Program Year has been reconciled, resolved, and agreed upon by both DWS and the Local Area. The Local Area should contact their assigned DWS Planner and submit an Administrative Adjustment via WISE to de-obligate any funds that will not be spent. Monthly Financial Reports are required until the NFA equals the Expenditures and Cash Drawdowns.

### **b. Obligational Authority**

NFAs are awarded to recipients when the funds become available to the state. However, "Obligational Authority" is not granted to recipients until an approved Local Area Plan, or another application, as appropriate, is approved by DWS. Recipients are not authorized to incur cost or allowed to request cash drawdowns until the funds are approved in WISE. The Plan must be prepared in accordance with the guidelines provided in the North Carolina Instructions for Local and Regional Workforce Development Area Plans Policy Statement.

## **II. Cash Management**

### **a. Cash Drawdowns**

DWS will utilize the Electronic Payments method to transfer funds to recipients. Both the Authorization Agreement for Automatic Deposit and the Electronic Payment Form documents must be completed, signed and returned prior to initiating a recipient's first request for drawdown. These forms must be faxed or scanned to DWS with the signed originals mailed in order for bank accounts to be set up on the payment system in a timely manner. When a cash transfer has been completed, notification will be sent to the recipient via email as indicated on the Electronic Payment Form. Cash requests will be processed once a week.

**All requests submitted via WISE by 11:59 pm on Monday will typically be transferred to the recipient's account by the following Friday.**

There will be no exceptions granted concerning the 11:59 pm deadlines. Any changes in the cash drawdown schedule due to observed holidays or other planned events will be noted in correspondence issued by DWS.

Each recipient and subrecipient must develop cash management procedures that ensure no excess cash is on hand. Excess cash is defined as any cash that exceeds your immediate cash needs.

When a recipient determines there is excess cash on hand, and cash is to be returned to DWS, a request for drawdown in a negative amount equal to the refund may be entered if additional drawdowns, when netted against the refund, exceed \$1 for that Program Year on the date requested.

#### **b. Sanctions**

When a recipient demonstrates an inability or unwillingness to follow established procedures minimizing time between cash drawdowns and disbursements; cannot adhere to laws, regulations or special conditions; or, is unable to submit reliable and/or timely reports; DWS may withhold fund requests in WISE.

### **III. Financial Reporting**

#### **a. Monthly Financial Reports**

Expenditures will be reported on a monthly basis by Program Year on a Monthly Financial Report (MFR) via WISE. **MFRs are due by the last working day of the month following the report month for any open Program Year.** Any reports not keyed by the due date are considered delinquent. The fiscal reporting period for **ALL** MFRs is July through the following June. Cash expenditures are to be reported monthly to reflect the cumulative amount for the Program Year, while accruals are also reported monthly. In the event that Program Year funds are not fully expended by the end date specified on the Program Year budget, an administrative adjustment to de-obligate the remaining funds should be requested in WISE.

DWS will approve all MFR's on the first working day of the month. Once approved, WISE does not allow for modification. Any changes will be reported in the following month's MFR. If the approval has not yet been made, DWS Finance staff can be notified to return the MFR. This will allow the Local Area to re-submit a corrected MFR.



## **b. Delinquent MFRs**

Delinquent MFRs will result in the following consequences:

1. Cash draw requests will be suspended on all Program Years until the delinquent report(s) is in the system.
2. A letter will be written notifying recipient officials of the occurrence of delinquent report(s) as follows:
  - a. First occurrence within a fiscal year – Letter is written to the Local Area Director with an offer of technical assistance.
  - b. Second occurrence within a fiscal year – Letter is written to the Local Area Director, Workforce Development Board (WDB) Chair, and Chief Elected Official (CEO).

## **IV. Federal Office of Management and Budget (OMB) OMB Uniform Guidance**

### **a. Uniform Guidance**

OMB Uniform Guidance provides instruction in several administrative areas, including: (1) financial management and cost principles, (2) audit, (3) grants management, (4) records management, and (5) property management. In some cases, the state requirements are more restrictive than the Uniform Guidance. In cases where the DWS and uniform Guidance requirements conflict, the most restrictive requirement must be followed.

References: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards and 2 CFR Part 290 Grants and Agreements

### **b. Cost Principles**

In determining allowable costs under a grant or contract, the recipient must **(unless granted prior written approval by DWS):**

1. Follow federal cost principles, including any subsequent amendments to the Uniform Guidance cited which are applicable to the recipient's organization.
2. Allow only those costs permitted under the cost principles which are reasonable, allocable, necessary to achieve approved program goals, and which are in accordance with recipient policy and terms of the grant or contract.

Special Organization-specific requirements are now combined in the Uniform Guidance but are readily identified in separate sections as stated in the Electronic Code of Federal Regulations.

## **V. De-obligation and Reallocation**

### **a. De-obligation**

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

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

Rapid Response or State Set Aside funding follow the end date as stated on the NFA Letter.

### **b. Reallocation**

DWS will redistribute de-obligated funds.

## **VI. Audit**

### **a. Audit Requirements**

Non-Federal subrecipients that expend \$750,000 or more in a year in federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of Uniform Guidance 2 CFR Part 200 Subpart F 200.501 Audit Requirements. Details are provided in the Uniform Guidance relating to specified types of subrecipients.

### **b. Audit Resolution**

DWS is responsible for resolving the findings that arise from the state's monitoring reviews, investigations, and audits. Each entity that receives WIOA funds and awards a portion of those funds to one or more subrecipients shall:

1. Ensure that each subrecipient complies with the applicable audit requirements;
2. Resolve all audit findings that impact WIOA with its sub-recipient and ensure that corrective action for all such findings is instituted within six months after receipt of the audit report and where appropriate, corrective action shall include debt collection action for all disallowed costs; and,

3. Maintain an audit resolution file documenting the disposition of reported questioned costs and corrective actions taken for all findings.

The debt collection policies and procedures and the auditee's right to appeal an audit determination will be in accordance with 2 CFR Part 200.516 Audit Findings, resolution of findings from monitoring and oversight reviews.

## **VII. Property Procedures**

### **a. Equipment and Property Management**

The Grant Administration Agreement between DWS and the Local Area in the 'Property' Section 3.6, sets forth the state policies for equipment and property. The Grant Administrator and subrecipients shall adhere to all state and local government procurement policies and procedures when acquiring all non-expendable property.

Title to property acquired with WIOA funds becomes vested with the Grant Administrator, who retains the title to the property and is responsible for the identification, accountability, inventory and proper maintenance and security of all property under its control.

Property means tangible non-expendable property, including exempt property, charged directly to the award having a useful life of more than one year and an acquisition cost of \$500 or more per unit, and, as outlined in the 'Property' Section 3.6 of the Grant Administration Agreement.

Property records shall be maintained and a physical inventory of equipment shall be taken at least annually, and, reconciled to the property records. An appropriate control system shall be used to safeguard property and equipment shall be adequately maintained by the Local Area.

When property with a current per unit fair market value in excess of \$5,000 is no longer needed for a Federal Program, it may be retained or sold with the Federal Agency having a right to a proportionate amount of the current fair market value.

In addition to the subgrantee's inventory system, the additional information must be entered to accurately identify the property:

1. Funding source
2. Manufacturer's name
3. Serial number (if applicable)
4. Description of item
5. Unit cost including taxes, shipping and handling
6. Location of property

7. Date of delivery

**b. Auditable Areas**

All subgrantees are responsible for establishing a property inventory system to cover the auditable areas of property management to include the following items:

1. Acquisition
2. Proper Local Area (LA) utilization
3. Maintenance
4. Inventory
5. Disposition
6. Exact location of property

The Grant Administrator and subrecipients are responsible for assuring activities funded under WIOA are audited in accordance with the requirements set forth in the “Recordkeeping, Reporting and Accounting” section of the Grant Administration Agreement.

Stand-in costs, if used for repayment, must have been recorded and reported as uncharged program costs under the same WIOA title, in the same program and during the same period in which the disallowed costs were incurred. The accounting for these stand-in costs are a function of Local Area financial accounting and are not identified separately in WISE.

**c. Acquisition**

All property with unit costs of \$5,000 or more or an aggregate purchase (a purchase of multiple items of the same product) of \$5,000 or more (taxes, shipping, software including licenses and handling costs included) must have DWS approval and written certification by a Financial Monitor that the Local Area is in compliance with applicable state and federal laws and regulations, and are necessary and reasonable.

All purchase requests must be submitted to the assigned DWS Financial Monitor and accompanied by the following documentation:

1. Full justification of need and include the funding source.
2. Assurance that local procurement procedures were followed and that competitive bid determined the selection of one item over another.
3. Documentation that alternative methods of acquisition have been explored.
4. Location where property will be used.
5. The accepted bid with the exact cost of property items, including installation, taxes, shipping and handling charges.

#### **d. Lease Equipment**

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

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

#### **e. IT/Computer Equipment**

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

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

#### **f. Missing, Stolen, or Maliciously Damaged Property**

All situations involving missing, stolen or maliciously damaged property items with unit costs of \$5,000 or more must be reported to DWS immediately.

All missing, stolen, or maliciously damaged property items with unit costs between \$500 and \$4,999 will follow established written procedures as prescribed by the Local Area.

DWS will require the subgrantee to obtain a written report form from the proper law enforcement agency and submit a copy of the report to DWS.

#### **g. Disposition of Property**

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

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

1. The recipient may use the equipment in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by federal funds.

2. If the equipment is no longer needed by the original program/project, the recipient shall use the equipment in connection with its other federally sponsored activities. Priority should be given to programs funded by the DOL Employment Training Administration.
3. If the equipment is no longer needed by the program/project or used in connection with other federally sponsored activities, the recipient may:
  - a. Retain the equipment for other uses
  - b. Transfer the title to a third party or
  - c. Sell the equipment

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

1. In the case of retention, transfer or sale of the equipment, a Request for Transfer or Disposition of Excess Property should be submitted and communicated to the DWS for pre-approval. All such forms, yearly inventory reports and requests for disposition approvals must be submitted to the respective DWS Financial Monitor at the DWS.
2. **Computation of “Fair Market” Value:** The selling price of an item that is sold through auction, advertisement, or a dealer is the fair market value of the item regardless of any prior estimates. An item that is not sold but retained by the entity has a fair market value based on similar items that are offered for sale, using the selling price if known. Methods for determining fair market value include, but are not limited to: Auction, Classified advertisements for similar used item, Dealers and Licensed appraisers. (For automobiles, trucks, and vans, the standard authority on the value of used vehicles is the Kelley’s Blue Book).

**Property Records Retention:** Property records (for all WIOA property items costing \$500 and above) must be maintained from the date of acquisition, through final disposition. Sub recipients must also retain those records for a period of three years from the date of their last expenditure report submitted to the DWS. If any litigation, claim, or

audit is started before the expiration of the three-year period, all records must be retained until all findings have been resolved and final action taken.

### **VIII. Consultants, Personal Service, and Purchase Agreements**

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

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

### **IX. Outreach Materials**

Pursuant to the Uniform Administrative Guidance 2 CFR 200.421 (b)(4), WDBs may purchase outreach materials to promote WIOA services and programs to eligible audiences. The U.S. Department of Labor has provided guidance on the purchase of outreach material, included below, as additional guidance when planning to purchase outreach material. The Division highly recommends that local boards consult with their assigned Financial Monitor prior to the purchase of outreach materials, regardless of the total cost, to ensure that the purchase is necessary, reasonable, allowable and allocable. The Financial Monitor will provide feedback as needed. Outreach material purchases in which the total cost is above \$5,000 must be submitted and approved, per section VII-C of this policy statement.

Regardless of whether the board chooses to consult with their Financial Monitor, the board must maintain the following documentation on all purchases of outreach materials:

1. A description of the materials to be purchased. The material must contain information related to the WIOA program.
2. A description that details the event or events for which the outreach materials will be provided, to include the potential dates, estimated attendees and purpose of the event and the purpose of the items selected as they relate to the planned events.
3. Detail the measures for safeguarding the outreach materials.

4. Documentation of three quotes. A minimum of three quotes is required for procurement of outreach materials, regardless of cost.
5. Indication of the specific funding source to be used.

**In addition to the information found in Uniform Administrative Guidance 2 CFR 200.421 (b)(4), below are some things to consider when using WIOA funds to purchase items for program outreach and recruitment from the Department of Labor:**

**Policy, Limitations, and Supporting Documentation**

The local area/board purchasing such items must have a policy in place that employs sound management practices and adheres to consistent and equitable treatment. It is expected that managers and staff are trained on such policies to ensure consistent treatment and application across offices, programs, and participants. The allowability and allocability of providing such materials or goods are based upon the necessity and reasonableness for the proper and efficient performance and administration of the Federal award.

The seven guiding factors determining the allowability of a cost as found in the Uniform Guidance at 2 CFR part 200 are the following:

1. Be reasonable for the performance of the award and be allocable thereto under these principles.
2. Conform to any limitations or exclusions set forth in these principles or in the award as to types or amount of cost items.
3. Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the organization.
4. Be accorded consistent treatment.
5. Be determined in accordance with generally accepted accounting principles (GAAP).
6. Not be included as a cost or used to meet cost sharing or matching requirements of any other federally-financed program in either the current or a prior period.
7. Be adequately documented,

Please also be aware of the terms contained in your grant agreement that also must be considered as well:

**Requirement to Provide Certain Information in Public Communications**

Pursuant to P.L. 115-141, Division H, Title V, Section 505, when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all non-Federal entities receiving Federal funds shall clearly state:

1. The percentage of the total costs of the program or project which will be financed with federal money;
2. The dollar amount of federal funds for the project or program; and,
3. The percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.



The requirements of this part are separate from those in the 2 CFR 200 and, when appropriate, both must be complied with.

### **Prudent Person**

When making such purchases, the standards of reasonableness using the prudent person standards prevails. The concern seen throughout the system is when the item appears to be promotional in nature or is high in the eyes of a prudent person that it becomes questionable and ultimately unallowable.

## **X. Paperless Disbursements**

Pursuant to Wake County's Paperless Payment Project, CAWD has migrated the current vendor payment processes to a paperless process by integrating the following:

1. Upon receipt, all invoices are uploaded into DocuSign for electronic approvals.
  2. Once all selected recipients have signed, a copy of the signed invoice along with necessary supporting documents are uploaded into Advantage while a GAX or PRC is keyed in.
  3. Invoice/supporting documentation (with at least 2 DocuSign approval signatures) is attached to payment document.
  4. Payment document is then submitted after necessary review.
  5. Payment document enters AP FIN Workflow.
  6. Disbursement Services staff tasks payment document into worklist, verifies invoice information and approves paperless payment document.
  7. Payment is disbursed in the next check run.
- No paper is submitted to Disbursement Services under this process.
  - Paperless Payments do not include Manual Checks. DP 25 Manual checks will still require hardcopies upon submission.
  - P Card statements and receipts are not included in this paperless payment option, and all P Card statements and receipts still need to be submitted to Wake County Finance in paper form as usual.


## **XI. Pay for Performance**

Pursuant to Public Law 113-128, 2 CFR 200.323 (OMB Uniform Guidance) and 20 CFR 683.500, CAWDB provide for Pay for Performance (PFP) to WIOA contractors. The following guidelines is used for CAWDB's PFP program:

- Cost limitation: Not more than 10% of the budget allocation for Adult/Dislocated Worker/Youth contracts will be allowed (2 CFR 200.323)
- Cost-plus contracts will not be allowed (2 CFR 200.323)
- Written performance measures and a spreadsheet will be used for independent validation of outcomes as part of CAWD's Pay for Performance strategy (20 CFR 683.500)
- Wherever there is under-performance, funds will be reallocated to use back in the respective program (20 CFR 683.500)

## **XII. Indirect Cost – De minimis Rate for WIOA Service Contracts**

- Pursuant to Appendix IV & V of 2 CFR 200 and the Guide for Indirect Cost Rate Determination - U.S. Department of Labor Division of Cost Determination Office of Acquisition Management Services Business Operations Center, OASAM – August 2020, whenever there is no negotiated Indirect Cost Rate (ICR) or federally approved ICR, CAWD will be adopting the De minimis Rate (10%) for charging Indirect Cost in its subrecipient/contractor budgeting.
- 10 % De Minimis Indirect Rate : The maximum rate allowable for claiming indirect costs for entities that never had an approved indirect rate from their cognizant federal agency or their pass-through entity, which is applied to the Modified Total Direct Cost base.
- Modified Total Direct Cost (MTDC): All direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

	<b>PY21-01</b>
	<b>NCWorks Career Center Staff</b>
	<b>June 15, 2021</b>
	<b>ITA/Voucher Policy</b>

**Purpose:** To rescind policy PY20-02 and transmit a new Individual Training Account (ITA)/Voucher policy for eligible Adult and Dislocated Workers.

**Changes:** Please note the following change:

- Added an exception to the TABE testing requirement for individuals pursuing truck driver training. Special approval is required for any other exceptions to the TABE testing requirement.

**Action:** All NCWorks Career Center staff must adhere to the policies outlined for Workforce Innovation Opportunity Act (WIOA) funded ITA activities for eligible Adults and Dislocated Workers. This policy replaces the ITA Policy PY20-02 sent out on June 14, 2020. Please share with staff as appropriate.

**Effective Date:** July 1, 2021

**Expiration:** In effect until rescinded

**Contact:** Jessica Locklear McLeod  
 Jessica.locklearmcLeod@wakegov.com  
 919.856.7005

**Attachment:** Individual Training Account (ITA)/Voucher Policy  
 Capital Area Target Industries/Occupations

***CAPITAL AREA NCWORKS CAREER CENTER  
INDIVIDUAL TRAINING ACCOUNT (ITA/VOUCHER) POLICY***

A job seeker customer, who has been interviewed, evaluated, or assessed by a Career Center staff, is eligible for training if he/she meets the following criteria:

1. Is unlikely or unable to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment through career services alone;
2. Is in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment;
3. Has the skills and qualifications to successfully participate in the selected program of training services;
4. Is unable to obtain grant assistance from other sources to pay the costs of such training,
5. Is a member of a worker group covered under a petition filed for Trade Adjustment Assistance (TAA) and is awaiting a determination. If the petition is certified, the worker may then transition to TAA approved training. If the petition is denied, the worker will continue training under WIOA\*;
6. Is determined eligible in accordance with Capital Area's priority system; and,
7. Has selected a program of training services that is directly linked to the employment opportunities in the Capital Area.

*\*May not be applicable to all participants.*

A Training Justification must be completed in NCWorks Online. Training codes will not be available in the system until a Training Justification is completed and approved by the appropriate Career Center staff. The types of training, occupations, and industries selected on the justification must align with the curriculum and type of training in which the participant is enrolled. Any changes in the curriculum or type of training will require a new Training Justification be completed and approved.

An ITA/voucher includes everything that is necessary for the student to participate in training. Other ITA/voucher items, such as books, uniforms, certifications, exams, supplies, student activity fees, campus access fees, criminal background checks, physicals, or shots have no dollar maximum.

**ITA/Voucher Maximum Amount for WIOA Adults and Dislocated Workers**

The WIOA-funded portion of training costs, for tuition, covered by an Individual Training Account (ITA)/voucher is limited to \$ 3,500 per customer per year.

**Guidelines for an ITA/voucher for all Training Programs**

1. Capital Area ITAs/voucher will generally be authorized to fund training programs with an expected duration of two years or less.
2. At least ninety percent (90%) of ITAs/vouchers must be issued for courses of study and/or occupational training programs leading to:
  - Associate's Degree
  - Completion of a Bachelor's Degree (within the time limit cited above)
  - Occupational licensure
  - Occupational certificate, including Registered Apprenticeship and Career and Technical Educational certificates
  - Occupational certification
  - Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment

Does NOT include:

- Certificates awarded by local boards
  - Work readiness certificates (Working Smart, CRC, etc.)
  - Certificates for general skills related to safety, hygiene, even if they are required for entry level or advancement in employment (OSHA, etc.)
  - Completion of On-the-Job Training (OJT)
3. Regarding credential attainment, a certificate of completion does not count as a credential if there is a license or certification test following the completion of the course. For example, EKG technician – a certificate would not count because there is an exam that allows someone to be licensed.
  4. At least eighty percent (80%) of training dollars spent must lead to an occupation in an in-demand industry as defined by Capital Area Workforce Development with an emphasis on the high growth, in-demand, hard-to-fill occupations, and no more than twenty percent (20%) of training dollars may be for other occupations. *See attachment*
  5. Adult and Dislocated Workers are not eligible to receive a WIOA scholarship if, within the previous 12-months, they received a WIOA scholarship for training and did not successfully complete the training.
  6. Adults and Dislocated Workers who have received WIOA funds for training in a career pathway, are not eligible to receive additional WIOA funds for training in a different career pathway.
  7. Capital Area ITAs/vouchers will be issued on a term basis or for the duration of a specific course of study for short term training. Students will be reassessed on a term basis to determine need for ongoing scholarship funds.
  8. Participants without a post-secondary degree must achieve a 9<sup>th</sup> grade level or higher on a TABE (Tests for Adult Basic Education) reading test in order to receive WIOA scholarship funds for training. An exception to the TABE testing requirement is for individuals pursuing truck driver training; individuals pursuing Truck Driver training only require 6<sup>th</sup> grade reading level. Special approval is required for any other exceptions to the TABE testing requirement.

For those participants who do not achieve the required level, remedial activities will be presented and encouraged including, but not limited to, the following: TABE practice tests online, ResCare Academy, Allison (NCWorks Online) soft skills training, ESL (English as a Second Language) classes (for language

barriers), Human Resources Development (HRD) classes, etc. Participants may take the TABE test two (2) times in 30 days. If an individual does not meet the scoring requirements, staff should encourage them to take some time to study/review the course work prior to retaking the test.

9. Students who do not achieve a 2.0 grade point average, at a minimum, per term (a grade of C or better) or who do not achieve a Pass (when graded on a Pass/Fail scale) will not be approved to receive WIOA scholarship funding.
10. Students who fail any course(s) will not be eligible to repeat the course(s) using WIOA scholarship funds.
11. If a student is placed on academic probation and/or suspension, they are no longer eligible for WIOA scholarship funds.
12. Exceptions to the length of training and/or to cost limitations must be approved in writing by Capital Area staff. E-mail the following information to Jessica McLeod at [jessica.locklearmcleod@wakegov.com](mailto:jessica.locklearmcleod@wakegov.com).
  - a. Name of participant
  - b. NCWorks Online User ID
  - c. Enrollment date
  - d. Date of last service
  - e. Type of exception being requested
  - f. Justification for the exception

Staff will respond within five business days to the request.

### **Guidelines for an ITA/voucher when Combined with Pell Grants & other outside funding**

1. WIOA funding for training is limited to participants who are unable to obtain funding assistance from other sources, or require assistance beyond what is available under other funding sources.
2. WIOA staff must work with the participant to ensure that the Free Application for Federal Student Aid (FAFSA) is completed and submitted to the Federal Processor and all supporting documentation is completed and submitted to the financial aid office of the selected training provider. Evidence of the FAFSA application must be documented in the participant file prior to approval of WIOA funded training.
3. A WIOA participant may enroll in WIOA-funded training while the Pell Grant application is pending as long as the WIOA service provider has made arrangements with the training provider and the WIOA participant regarding allocation of the Pell Grant. If the grant is subsequently awarded, the training provider must reimburse the WIOA service provider the WIOA funds used to underwrite the training for the amount the grant covers.
4. WIOA resources may be used to cover training costs that exist above the level of support from Pell Grants and/or other resources.

### **Special Grants and Other Funding Opportunities**


In the event that Capital Area receives additional funding through grants or other opportunities that allow for ITAs, additional guidelines may be released for some or all of the following items, as appropriate:

- Amount of ITA
- Timeframes of completion

- Target Industries
- TABE Restrictions
- Assessments for continuations

The guidelines issued will be specifically for that grant/opportunity and will be included in this policy as an attachment. The guidelines will follow all rules and regulations under that funding source.

This WIOA Adult/DW ITA policy must be followed for any item listed above that is not specifically addressed in the guidelines for that special funding.

	<b>PY19-10</b>
	<b>NCWorks Career Center Staff</b>
	<b>June 14, 2019</b>
	<b>Adult On-the-Job Training Policy</b>

**Purpose:** To rescind Policy #18-13 and transmit a new On-the-Job Training policy for WIOA Adult and Dislocated Worker formula funds.

**Background:** On-the-Job Training (OJT) is a viable workforce solution for unemployed workers seeking employment and for employers seeking workers. It offers employers the unique opportunity to offset initial training costs to fill skilled positions as the OJT employee learns job requirements. On-the-Job placements should be considered for in-demand occupations or industries where career pathways exist with employer partners who have a documented plan to add jobs.

This policy addresses requirements and restrictions for all OJT contracts using WIOA Adult and Dislocated Worker formula funds. It also addresses limitations on the duration and reimbursement levels under an OJT contract, maximum training hours allowed, supervision of OJT participants, worksite monitoring, and required record keeping and reporting requirements.

The attached forms will ensure that all required terms and conditions are included. Add any additional items, terms, conditions, or information to the employer agreement, required by your organization as the “Workforce Innovation Opportunity Act OJT Service Provider”.

**Changes:** Please note the following changes to the policy:

- Reimbursement will not include any payments for overtime. The employer is responsible for any overtime pay.
- Changed wording from site visit to contact.
- Changed the requirement of three (3) site visits to a minimum of one contact must be made in person, on site. Additional contacts may be made by phone or through an internet-based online call.
- Changed the requirement that OJT contracts may now be written for up to 800 hours based on the individual training needs of the trainee.
- Changed the requirement for special approvals from four (4) months to five (5) months.
- Added a requirement that the results of the contact must be documented extensively in NCWorks.

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<b>Action:</b>	All NCWorks Career Center staff must adhere to the procedures outlined in this policy, for Workforce Innovation Opportunity Act (WIOA) funded On-The-Job Training (OJT) activities for eligible adults and dislocated workers. This policy replaces the Adult OJT Policy #PY18-13 sent out on March 13, 2019. Please share with staff as appropriate.
<b>Effective Date:</b>	July 1, 2019
<b>Expiration:</b>	In effect until rescinded
<b>Contact:</b>	Jessica Locklear McLeod Jessica.locklearmcLeod@wakegov.com 919.856.7005
<b>Attachments:</b>	On-the-Job Training Policy and Procedures On-the-Job Training Forms: <ul style="list-style-type: none"><li>• Employer Agreement</li><li>• Pre-Award Analysis</li><li>• Training Plan</li><li>• Trainee Evaluation</li></ul>

**CAPITAL AREA NCWORKS CAREER CENTER  
ON-THE-JOB TRAINING  
POLICY AND PROCEDURES**

On-the-Job Training (OJT) is a training solution that Capital Area NCWorks Career Center staff can use to help Workforce Innovation Opportunity Act (WIOA) job seeker customers develop job-specific occupational skills for new careers. OJT is designed to provide occupational skills training for the customer at a local business through a training plan agreed upon by the employer and the NCWorks Career Center. Under an OJT contract, the employer is reimbursed for “extraordinary” training costs and the lower initial productivity of the OJT participant using the reimbursement rate outlined below.

This policy addresses requirements and restrictions for all OJT contracts using WIOA Adult and Dislocated Worker formula funds. It also addresses limitations on the duration and reimbursement levels under an OJT contract, maximum training hours allowed, supervision of OJT participants, worksite monitoring, and required record keeping and reporting requirements.

In the event that Capital Area receives additional funding through grants or other opportunities that allow for OJTs, additional guidelines will be released for each grant received regarding some or all of the following items, as appropriate:

- Reimbursement rates
- Number of allowed hours
- Wage rates
- Timeframes
- Eligibility criteria

The guidelines issued will be specifically for that grant and will follow all rules and regulations under that grant. This WIOA Adult/DW OJT policy must be followed for any item listed above that is not specifically addressed in other grant guidelines.

## **I. REQUIREMENTS AND RESTRICTIONS FOR ALL OJT CONTRACTS**

- Reimbursement rate is up to 50%.
- Reimbursement rates will be adjusted for employers with over 20 OJTs per fiscal year. For those employers, reimbursement rate is up to 25%. *Individual exceptions may be requested in writing.*
- Reimbursement rates may be adjusted for up to 75% for the following factors:
  - The participant has documented barriers to employment;
  - The employer is a small business (250 employees or less);
  - The quality of employer-provided training and advancement opportunities, for example if the OJT contract is for an in-demand occupation and will lead to an industry-recognized credential; and
  - Other factors Capital Area may determine to be appropriate, which may include the number of employees participating, wage and benefit levels of the employees (both at present and after completion), and relation of the training to the competitiveness of the participant.

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- Reimbursement will not include any payments for overtime. The employer is responsible for any overtime pay.
- OJT contracts may be written for up to 800 hours based on the individual training needs of the trainee. *Exceptions over five (5) months must be requested in writing.*
- Employer must have appropriate worker's compensation and/or other forms of workplace insurance to cover trainees during the duration of the OJT contract.
- Employer should not be in violation of any applicable Federal, State or local laws.
- OJT contracts cannot have adverse effects on current employees of the participating employer.
- OJT funds cannot be used to encourage or induce the relocation of a business, or part thereof, which results in the loss of employment for any employee at the original location.
- For less than 120 days following commencement of operations of a relocating business, no WIOA funds shall be used for subsidized on-the-job training if the relocation results in the loss of employment for any employee at the original location.
- OJT should not result in the replacement of any workers currently employed or on layoff.
- OJT trainees cannot have been employed by the employer previously in the same role.
- Employer must document progress of OJT trainee(s) and allow the NCWorks Career Center staff and Capital Area staff access to observe training in the workplace.
- Employer must have a grievance procedure for employees. If not, employer must agree to abide by NCWorks Career Center's grievance policy.
- Training occupation is not intermittent, temporary, or seasonal work.
- NCWorks staff shall not in any way discriminate against any individual in the United States, on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, or, against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I–financially assisted program or activity.
- Employers that do not retain an employee who satisfactorily completes their training plan will not be eligible for future OJTs for one year, unless there are extenuating circumstances beyond the employer's control (i.e. the employee quits the job through no fault of the employer). Extenuating circumstances must be approved by Capital Area staff.
- All OJTs are based on availability of funds.
- Employers may refer candidates (prior to making a job offer) to the NCWorks Career Center to determine eligibility for potential OJT contracts (reverse referrals). If a job offer has been made, a candidate is not eligible to receive OJT. As with all OJTs, there must be a documented skills gap.

## **Employer Criteria**

*The following information should be reviewed by NCWorks Career Center staff when considering employers for potential OJT contracts.*

1. A regular (not temporary) job opening should exist so that the OJT trainee can be retained in a full-time unsubsidized job upon successful completion of training.
2. Wake County wages for OJT positions start at \$15.00 per hour. Starting wages below \$15.00 may be considered, but must be based on prevailing wages and other reasonable considerations and must have a documented pay increase plan to reach \$15.00 within one year of employment.
3. Johnston County wages for OJT positions start at \$13.00 per hour. Starting wages below \$13.00 may be considered, but must be based on prevailing wages and other reasonable considerations and must have a documented pay increase plan to reach \$13.00 within one year of employment.
4. Positions must be full time (at least 30 hours of work per week), and OJT trainees should receive the same benefits and considerations as non-OJT employees in similar positions.
5. Positions cannot include political, religious, or sectarian activities.
6. Employer must be conducting business for a reasonable period of time, at least two years. Exceptions may be requested in writing.
7. Employer should forecast sufficient business demand to provide long-term regular employment beyond the OJT contract period.
8. Employers may be staffing, temporary, employment, or placement agencies. The employer must provide regular, on-going employment (i.e., not probationary, temporary, or intermittent employment) in a specific occupation and places employees at a worksite of another employer to perform work for such an employer.
9. Occupations with a Specific Vocational Preparation (SVP) level of one (1) will not be eligible for OJT.

## **Client Criteria**

A job seeker customer, who has been interviewed, evaluated, or assessed by a Career Center staff, is eligible for training if he/she meets the following criteria:

1. Is unlikely or unable to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment through career services alone;
2. Is in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment;

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3. Has the skills and qualifications to successfully participate in the selected program of training services;
4. Is unable to obtain grant assistance from other sources to pay the costs of such training, including such sources as State-funded training funds or Federal Pell Grants, or requires WIOA assistance in addition to other sources of grant assistance, including Federal Pell Grants;
5. Is a member of a worker group covered under a petition filed for Trade Adjustment Assistance (TAA) and is awaiting a determination. If the petition is denied, the worker will continue training under WIOA\*;
6. Is determined eligible in accordance with the State and Capital Area's priority system in effect for adults, if training services are to be provided through the adult fund stream;
7. Has selected a program of training services that is directly linked to the employment opportunities in the Capital Area, or the planning region, or in another area to which the individual is willing to commute or relocate; and,
8. Meets any additional state and/or local policy and justification requirements.

*\*May not be applicable to all participants.*

A Training Justification must be completed in NCWorks Online. Training codes will not be available in the system until a Training Justification is completed and approved by the appropriate Career Center staff. The types of training, occupations, and industries selected on the justification must align with the type of training in which the participant is enrolled. Any changes in the type of training will require a new Training Justification be completed and approved.

In assessing WIOA Adult or Dislocated Worker customers for potential OJT training, the following areas should also be evaluated:

1. Does assessment indicate suitability for OJT?
2. Do the existing skills of the customer lend themselves to OJT?
3. Is the customer able to work full-time and complete the OTJ?
4. Is OJT training more appropriate than classroom training for the customer's particular area of occupational interests and abilities?
5. Does the customer demonstrate a need for training as recorded on the Individual Employment Plan (IEP)?

## **II. OJT CONTRACTING PROCEDURES**

All Capital Area NCWorks Career Center WIOA-funded OJT contracts are subject to the provisions of the Workforce Innovation and Opportunity Act of 2014 and all regulations and modifications of the law. All OJT contract negotiations will be customer-focused and for the specific purpose of securing skill training and long-term employment for the customer.

On-the-job-training contracts will be negotiated directly by NCWorks Career Center staff in Wake and Johnston Counties. Since all OJT training will be developed in accordance with a customer's IEP, staff will first determine that this is the best training option for a customer. An individual referred as a potential candidate may be considered for OJT only after all eligibility

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requirements for career and training services have been met, and an IEP has been developed that indicates OJT is appropriate.

### III. SKILL GAP ANALYSIS/TRAINING PLAN DEVELOPMENT

OJT contracts will not be written for an occupation requiring less than 240 hours of training as indicated by the SVP level. Maximum training time will not exceed 1816 hours. "Training Time" is defined as actual hours worked while enrolled in OJT. The duration of OJT is limited to a reasonable period of time needed for each trainee to acquire identifiable skills. An individualized OJT Training Plan must be developed to outline the acquisition of skills. Any OJT over five (5) months will require Capital Area Workforce Development staff approval before a contract is signed. Approval shall be requested by e-mail to Capital Area Adult Services Coordinator.

An analysis of the trainee's prior work history and job skills will be compared to the job skills/job description required for the OJT occupation to determine the actual OJT training time. The resulting gap in skills will be the basis for the OJT Training Plan. Each skill description should be concise but comprehensive and individual objectives must be measurable and observable. NCWorks Career Center staff will conduct a skills gap analysis and provide documentation using the below assessment tools:

- O\*NET Dictionary of Occupational Titles (DOT)
- Specific Vocational Preparation (SVP) Levels
- Employer Job Description and Training Outline
- Applicant's Prior Work Experience and Education
- Individual Employment Plan & Assessment Records

The DOT and employer's job description will be used to identify the training occupation and DOT code. The SVP number assigned to the nine-digit DOT code number will indicate the maximum number of training hours allowed for that occupation. The chart that follows indicates maximum training hours for each SVP level.

<u>SVP Level</u>	<u>Maximum Training Time</u>
2	240
3	520
4	1040
5	1296
6	1560
7 and higher	1816

The actual OJT training time will be further adjusted as appropriate for each customer's experience and needs. The actual OJT training time will be adjusted for a contract to reflect an individual's previous work experience and/or educational preparation. Actual OJT training time may be increased to assist an individual with special needs, very limited work experience and/or significant barriers to employment. **In no case will the authorized OJT training hours exceed the maximum training time allowed for that SVP level or 1816 hours.**

#### IV. CONTRACT DEVELOPMENT

Prior to beginning OJT contracts, NCWorks Career Center staff will review an employer OJT Pre-Award Analysis. Employers will read and sign a Pre-Award Analysis. This document provides assurance that the prospective OJT employer is able to fulfill such an agreement.

OJT contracts will consist of the OJT Employer Agreement or signature page, which contains the basic training agreement and authorizing signatures, an OJT Training Plan, developed by Career Center staff and the employer, Trainee Evaluation and General Provisions dealing with the contract and applicable regulations.

NCWorks Career Center staff is responsible for preparing contracts and documenting the determination of the number of authorized OJT training hours for each customer. Actual job descriptions from the training location (employer) will be used to develop the OJT Training Plan (not the DOT job description). Total contract amounts are calculated by multiplying the starting wage and expected wage increases, if any, by the number of training hours agreed to for the contract. The total wages paid (hourly rate x hours) are then multiplied by 50% (percent). to determine the maximum amount of reimbursement to the OJT employer. *For example, if a contract is negotiated at 400 hours of training and starting wage of \$14.00 per hour, the total contract amount will be 400 hours x \$14.00 per hour x 50% = \$2,800.*

OJT contracts may be written with both private and public sector employers.

Individuals must satisfy/complete all WIOA eligibility requirements before being considered for OJT.

**NCWorks Career Center staff must ensure that no customer begins work for a company or organization, under an OJT contract, prior to the signing of the OJT contract by all parties and the contract start date.**

#### V. CONTRACT MAINTENANCE

NCWorks Career Center staff will be responsible for monitoring the OJT contract, including contact (minimum of three) with the OJT trainee and the immediate supervisor. At least one contact must be made in person, on-site, with both the trainee and the trainee's direct supervisor. Additional contacts may be made by phone or through an internet-based online call. Results of the contact must be documented extensively in NCWorks. Disbursement of funds for payment of OJT contracts shall be done within the rules and regulations of WIOA and is subject to the procedural guidelines established by the NCWorks Career Center for such payments.

#### VI. LABOR UNIONS

When labor organizations represent a substantial number of employees who are engaged in similar work or training at a business where WIOA funding is being proposed, that organization must be provided an opportunity to submit comments on the training proposal.

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OJT agreements are also prohibited from impairing existing collective bargaining agreements. Any OJT agreement that would be inconsistent with the terms of the collective bargaining agreement requires the written concurrence of the labor organization and employer concerned.

Comments from labor organizations on OJT proposals should be requested and considered as a routine part of the proposal review process. OJT contracts should include an assurance that OJT does not conflict with any collective bargaining agreements except where written concurrence of the labor organization has been obtained.

## **VII. OJT RECORD KEEPING AND REPORTING REQUIREMENTS**

### **Record Keeping (Employer)**

All records required to substantiate OJT contract costs will be maintained by the employer for three years beyond termination date of the contract or until any pending audit is completed. These records include payroll, attendance, production and employee progress records. The employer shall ensure that trainee attendance records contain the following: actual hours worked, vacation, holidays, sick leave and other leave. The employer shall ensure that trainee payroll records contain the following: amount paid for hours worked, amount paid for sick leave, holidays, vacation and other leave, and amount paid for fringe benefits.

### **Record Keeping (WIOA Service Provider)**

An electronic folder will be maintained in NCWorks Online for each OJT contract consisting of the original signed Employer Agreement, signed Pre-Award Analysis, Training Plan, Trainee Evaluation, paid invoices and trainee timesheets (unless payment records are maintained separately), modifications executed, if any, and other contract-related correspondence.

All OJT documents must be put into NCWorks Online in a timely manner. Do not wait until all documents are available to put them in at the same time. They must be entered as they occur.

### **Reimbursement to OJT Employers**

In accordance with the contract terms, the employer shall hire and place on its payroll in regular employment, an individual hired under this contract on the effective date of the contract.

Service Providers shall reimburse the OJT employer on a monthly basis upon receipt of properly completed and signed OJT timesheet, invoice form and required employee pay stubs.

Employers who have three or more outstanding invoices (over 30 days) may be ineligible to receive new OJT's until all invoices have been submitted to the NCWorks Career Center.

Reimbursement will be for actual hours in training (hours worked) while enrolled in OJT. The Service Provider will not reimburse the employer for work performed outside the beginning and termination dates of the contract, for overtime pay, or for periods of work stoppage, paid or unpaid, e.g., holidays, sick leave, weather-related closing, etc.



The employer shall be financially and legally responsible for expenses incurred or actions taken which violate the terms of this agreement. The employer shall notify NCWorks Career Center staff prior to any trainee promotions, demotions, terminations, or changes in training and job description. Failure to do so may constitute forfeiture by the employer of any unpaid reimbursement.

### **Reporting Forms and Procedures**

The three basic reporting requirements to be completed/provided by the OJT employer are the (1) On-the-Job Training Employer Invoice for Reimbursement, (2) OJT Timesheet and, (3) a copy of the OJT employee's pay stub. The invoice serves as the means for requesting reimbursement for extraordinary costs associated with training OJT employees, and the timesheet as the validation of training hours worked by the OJT employee. The pay stub ensures that the employer paid the participant, including all the hours the employer invoiced for reimbursement. NCWorks Career Center staff is expected to explain the correct use of the OJT timesheet and invoice, provide sample completed forms, and be available to assist in the preparation of invoices as requested by an employer.

In addition to the above, the OJT trainee's direct supervisor or person responsible for his/her training shall maintain records of the employee's progress during training. The specific skills to be learned and agreed upon training hours are specified in section 2: Training Outline of the OJT Training Plan. Training supervisors and NCWorks Career Center staff shall monitor, discuss, and document the progress of the OJT employee in gaining the identified skills. The copy of the OJT Training Plan retained by the employer will be annotated as each skill area is mastered. As each competency is demonstrated by the trainee, the OJT Training Plan will be annotated, initialed and dated by the training supervisor.

## **VIII. NCWORKS CAREER CENTER STAFF ROLE**

### ***With the Customer***

The NCWorks Career Center staff is responsible for initiating OJT training activities as described in the WIOA Service Provider's Statement of Work and Capital Area OJT Policy and Procedures.

Prior to beginning contract development, the NCWorks Career Center staff should complete the following:

1. Eligibility determination, certification and documentation.
2. Assessment to determine skills gap, including testing, and determination of the best training option to aid the individual customer.
3. Assessment to determine if Supportive Services will be needed.

Once the customer completes Wagner Peyser registration and WIOA enrollment, **and** it is determined that OJT is an appropriate activity for the customer, NCWorks Career Center staff will ensure the customer is considered for available jobs, including OJT opportunities, in which

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the customer closely matches the skills needs of the employer. The NCWorks Career Center staff will negotiate any OJT contract directly with the employer.

NCWorks Career Center staff will also have the responsibility of following the progress of the OJT participant, including visits to, and contacts with, the job site and the trainee's immediate supervisor. This is to ensure that the customer is successful in the training and to identify any challenges that need to be addressed before the customer is terminated unsuccessfully. Following completion of the training, staff will conduct follow-up with the OJT participant to provide job retention services, as needed, to ensure job retention.

If the participant does not successfully complete the OJT, it is Capital Area's expectation that Career Center staff will continue to work with the customer to assist them in obtaining employment with another employer.

### ***With the Employer***

Talent Employment Solutions (TES) staff will be responsible for marketing OJT opportunities to businesses, including leveraging partners such as chambers of commerce and targeted industry associations in Wake and Johnston counties to let businesses know who we are and what we do. Business Engagement team members will coordinate direct business referrals and economic development referrals with TES's Business Services manager as well as appropriate Business Services Consultant, if known. Business Engagement and Business Services team members will work closely together to identify talent pipeline voids, based on hiring needs, and work together to strategically develop and tactically execute initiatives to support our business community. TES team members will focus on working with individual businesses to identify any gaps in skills with the existing talent pool.

Business Engagement and TES team members are responsible for updating NCWorks Online with employer contacts and associated activities.

Presuming OJT is a workforce solution in which the business has been informed of by a TES team member and is interested in pursuing, a TES team member will provide an *OJT Pre-Award Analysis* form for the business to complete and sign. A TES team member will also sign off on this form. This document consists of assurances from the employer made prior to an actual contract agreement. The OJT Pre-Award Analysis will be maintained in the OJT contract files.

An NCWorks TES team member will be responsible for direct negotiation of the training contract with the business. Too, the TES team member will be available to provide technical guidance and support to businesses entering into an OJT contract.

OJT contracts must reflect a planned training experience with specific time targets (milestones) set for skill development. Acceptable mastery of these skills, based on the training plan, should be recorded by the employer/supervisor on the training plan.

The contract must consist of a copy of the signatory or OJT Employer Agreement page including General Assurances and OJT Training Plan. Contracts must be signed by representatives of both the business and the TES team member staff prior to the beginning of the OJT.

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Once a job seeker has begun work under an OJT, a TES team member must maintain contact with the customer, including counseling, if needed. The initial contact with the business and the participant should occur within the first ten days of employment. The Trainee Evaluation must be completed at the midpoint of training; the new hire's (trainee) attainment of the required occupational skills, based on the training plan must be signed by the business, supervisor, and new hire participant (trainee). Any necessary adjustments to the training plan are made at this time. The new hire's (trainee) immediate supervisor should be contacted periodically to verify progress in the mastery of skills. NCWorks TES team members may need to meet with the direct supervisor in order to expedite documentation of the skills mastered during the training time. In addition, NCWorks TES team members will be responsible for obtaining timesheets signed by the new hire (trainee) and supervisor for the trainee and verifying invoices submitted to the service provider for OJT reimbursement. The new hire (trainee) evaluation form will also be used at the conclusion of training to document the mastery of the required skills. Completion of the final skills evaluation section of the new hire (trainee) evaluation form signals the successful completion of the training plan and agreement by the business to retain the employee. The final skills evaluation section of the new hire (trainee) evaluation form must be signed by the business, supervisor, and new hire (trainee).

NCWorks TES team members are responsible for following up with job seekers upon completion of training. In addition, job seekers who are not completing OJT training can be evaluated for other types of training and/or be provided job search assistance.

**[Insert WDB Name Here]**  
**[Insert OJT Provider Name Here]**  
**On-the-Job Training (OJT) Contract: Employer Agreement**

**Section 1: Contact Information**

Complete the following Employer Information		
WIOA OJT AGENCY:	WIOA OJT AGENCY REPRESENTATIVE:	PHONE NUMBER/ EMAIL ADDRESS:
COMPANY NAME:		<input type="checkbox"/> STATE ACTIVITIES FUNDS <input type="checkbox"/> FORMULA FUNDS <input type="checkbox"/> OTHER (SPECIFY)
ADDRESS:		PHONE NUMBER:
EMPLOYER REPRESENTATIVE:	TITLE:	EMAIL ADDRESS:
CONTRACT START DATE:		CONTRACT END DATE:

**Section 2: Contract Agreement**

This contract is entered into between \_\_\_\_\_, hereinafter called the Workforce Innovation and Opportunity Act (WIOA) OJT Agency, and \_\_\_\_\_, hereinafter called the Employer.

The parties hereto agree that the Employer will employ worker(s) and provide On-the-Job Training services to individuals referred by the WIOA OJT Agency and deemed acceptable by the Employer in accordance with the associated pre-award analysis and training plan(s) attached and made a part thereof. Reimbursement will be paid pursuant to the terms and conditions set forth under the General Assurances on the reverse side of this signatory sheet. In no case shall total reimbursement exceed \_\_\_\_\_percent of the gross wages paid to the trainee(s) during the training period. In addition, the Employer agrees that it will perform under this contract in accordance with the Workforce Investment Opportunity Act and the regulations, procedures and standards promulgated there under. The Employer shall comply with all applicable Federal, State and local laws, rules and regulations which relate to the employment of persons who perform work and are trained under this contract.

Individuals employed under this contract must be certified as being eligible by the WIOA OJT Agency. The Employer agrees to submit an invoice for reimbursement to the WIOA OJT Agency (insert name). In addition, the Employer agrees to complete and submit the attached evaluation for each trainee at the midpoint and end of the training period.

**Section 3: Authorized Signatures**

*I agree to all terms, conditions, and general assurances set forth in this contract. I hereby certify that the information is, to the best of my knowledge, true and correct.*

EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

**Section 4: Contract Agreement Modification, if applicable**

Contract Agreement terms modified: \_\_\_\_\_

Reason for modification or cancellation: \_\_\_\_\_

*I hereby certify that I agree to the contract agreement modification(s) as stated above.*

EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

## On-the-Job Training (OJT) Contract: Pre-Award Analysis

### Section 1: Employer Information

*Complete the following Employer Information*

COMPANY NAME:		FEIN #:
CONTACT PERSON:		TITLE:
COMPANY ADDRESS:		
PHONE:	FAX:	EMAIL:
TYPE OF ORGANIZATION:  PRIVATE FOR PROFIT <input checked="" type="checkbox"/> PRIVATE NON-PROFIT <input type="checkbox"/> PUBLIC <input type="checkbox"/>		
COMPANY NAICS CODE:	# OF CURRENT EMPLOYEES IN THIS LOCATION:	YEARS IN EXISTENCE:

### Section 2: Criteria for OJT Employers

YES	NO	Employer Requirements
<input type="checkbox"/>	<input type="checkbox"/>	1) Does the employer agree to ensure that the OJT will <b>not</b> result in the replacement of laid-off workers?
<input type="checkbox"/>	<input type="checkbox"/>	2) Does the employer ensure that the company has not exhibited a pattern of failing to provide OJT trainees with continued long-term employment?
<input type="checkbox"/>	<input type="checkbox"/>	3) Does the employer commit to providing long-term employment for successful OJT trainees, barring unforeseen economic conditions?
<input type="checkbox"/>	<input type="checkbox"/>	4) Does the employer agree to ensure that the OJT will <b>not</b> result in the full or partial displacement of currently employed workers nor will it infringe on promotional opportunities of current workers?
<input type="checkbox"/>	<input type="checkbox"/>	5) Does the employer agree to ensure that trainees will be provided the same benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work?
<input type="checkbox"/>	<input type="checkbox"/>	6) Does the employer agree to ensure that trainee wages to be paid are at least equal to both: a) the Federal, state or local minimum wage (Fair Labor Standards Act), and b) other employees in the same occupation with similar experience?
<input type="checkbox"/>	<input type="checkbox"/>	7) Does the employer agree to ensure that trainees are provided with the same workers' compensation coverage as regular, non-OJT employees?

		a) Worker's Compensation Company: b) Account #: c) Effective Dates:          to
<input type="checkbox"/>	<input type="checkbox"/>	8) Does the employer agree to ensure that the OJT will <b>not</b> result in the impairment of existing contracts for services or collective bargaining agreements?
<input type="checkbox"/>	<input type="checkbox"/>	9) Does the employer agree to ensure that OJT funds will <b>not</b> be used to directly or indirectly assist, promote, or deter union organizing?
<input type="checkbox"/>	<input type="checkbox"/>	10) Does the employer agree to ensure that WIOA funds will <b>not</b> be used to relocate operations in whole or in part?
<input type="checkbox"/>	<input type="checkbox"/>	11) Does the employer confirm that the company has operated at current location for at least 120 days (unless the new location did not result in the layoff of employees at another location)?
<input type="checkbox"/>	<input type="checkbox"/>	12) Does the employer agree to provide safe working conditions for OJT trainees?

### Section 3: Authorized Signatures

*I hereby certify that the above information is, to the best of my knowledge, true and correct.*

EMPLOYER SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

### Section 4: Outcome of Pre-Award Interview

1. Does the employer meet all requirements (i.e. answer "yes" to all twelve questions above) of the OJT pre-award analysis? YES ☐ NO ☐

2. Will an OJT Contract (Employer Agreement) be developed? YES ☐ NO ☐

If not, please explain.

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**[Insert WDB Name Here]**  
**[Insert OJT Provider Name Here]**  
**On-the-Job Training (OJT) Contract: Training Plan**

**Section 1: General Information**

Please complete the following:					
TRAINEE NAME:			JOB TITLE:		
O*NET CODE:		SVP CODE:		HOURLY STARTING WAGE:  \$	HOURLY ENDING WAGE:  \$
REIMBURSEMENT PERCENTAGE:  %	REIMBURSEMENT RATE:  \$	MAXIMUM TRAINING HOURS:		MAXIMUM REIMBURSABLE AMOUNT:  \$	
COMPANY NAME:		COMPANY ADDRESS:			
TRAINEE SUPERVISOR:		TITLE:		PHONE/EMAIL:	
EMPLOYER REPRESENTATIVE NAME:		WIOA OJT AGENCY REPRESENTATIVE:		WIOA OJT AGENCY REPRESENTATIVE CONTACT INFO:	
PAY SCHEDULE: Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Bi-Weekly <input type="checkbox"/> Other <input type="checkbox"/>		PAY DAY:  PERIOD COVERED:		RATIO OF TRAINEES TO SUPERVISOR:	
BENEFITS AVAILABLE (list):					



## Section 2: Training Outline

List in the chart below the skills needed to become proficient in the position. *Note: the standard training hours are determined through the use of SVP codes while the actual anticipated training hours are determined after careful analysis of the trainee's current skills and work history.* Please list the standard and anticipated hours required for each skill, as well as the estimated start and end dates. The midpoint and final evaluations will address all listed skills objectives. Attach an official job description to the completed contract.

<u>JOB SKILLS NEEDED</u>	STANDARD TRAINING HOURS	ANTICIPATED TRAINING HOURS	ESTIMATED START DATE	ESTIMATED END DATE

## Section 2: Training Outline (continued, if applicable)

JOB SKILLS NEEDED	STANDARD TRAINING HOURS	ANTICIPATED TRAINING HOURS	ESTIMATED START DATE	ESTIMATED END DATE

## Section 3: Authorized Signatures

<i>By signing below, I agree to adhere to the Training Outline and my responsibilities thereof.</i>		
EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
SUPERVISOR SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
TRAINEE SIGNATURE:		DATE:

## Section 4: Training Plan Modification, if applicable

*On-the-Job Training Plans may require changes for which a modification is necessary. Reasons for a modification include but are not limited to:*

- To extend the end date of training due to illness or equipment failures at the place of business.*
- To correct errors in the original training budget or the description of the job duties.*
- Cancellation.*
- To extend the end date in order to ensure satisfactory skill attainment.*

The Employer and the WIOA OJT Agency agree that this Training Plan shall be modified as stated:

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Except as hereby modified, all other terms and conditions of this training plan remain unchanged and in full force and effect. The effective date of this modification is \_\_\_\_\_.

The employer and the WIOA OJT Agency mutually agree to abide by the terms and conditions stated and do hereby execute this modification in keeping with our respective authority.

<i>By signing below, I agree to adhere to the modifications set forth in Section 4</i>		
EMPLOYER SIGNATURE:	TITLE:	DATE:
SUPERVISOR SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
TRAINEE SIGNATURE:		DATE:

# On-the-Job Training General Assurances

## 1. Employer Criteria

- a. The employer must provide information such as an IRS Employer Identification number to demonstrate that they are a legitimate employer, having full-time employees, and conducting their trade or business at an appropriate worksite.
- b. The employer must not be involved in a current labor dispute and must not have a history of frequent layoffs.
- c. OJT training may not be subcontracted and must be conducted at the employer's place of business, which meets prevailing standards with respect to wage, hours and conditions of employment.
- d. Employer referrals to NC Career Centers are permitted. Eligibility and suitability for OJT must be determined and verified prior to hiring and/or the beginning of training.
- e. OJT contracts are permitted with firms in which current and/or past Workforce Development Board (WDB) members are employed or otherwise have a financial or personal interest.
- f. The employer must be in compliance with all applicable business licensing, taxation and insurance requirements. The employer must not be in violation of any local, state or federal labor laws.

## 2. OJT Training Occupation

- a. The OJT training occupation must not be seasonal, intermittent, or temporary.
- b. The occupation must not involve payment in the form of a commission as the primary source of payment to the OJT employee.
- c. The occupation must be one in which specific occupational training is a prerequisite for employment.
- d. The occupation must provide full-time employment. (Full-time is defined as a 40-hour work week, except where fewer or greater hours are normal to the occupation, but in no case less than 30 hours per week.) Contracts may also be negotiated for part-time employment if such negotiation is undertaken for a specific participant, but only in those instances where full-time employment is not feasible due to limitations (*i.e.*, individuals with an impairment or disability).
- e. Training may not be provided for occupations where adequate supervision and/or monitoring are not available. These may include traveling salespersons, out-stationed job positions, truck or van drivers and other positions requiring more than an occasional trip from the employer worksite.
- f. NEG/ARRA funded occupations are prohibited at casinos or other gambling establishments, swimming pools, aquariums, zoos, and golf courses.

## 3. Payments

- a. The employer shall be reimbursed for training costs upon timely submission of the invoice appropriately certified by the employer's signatory official. Payment shall be based on the hours actually worked for which wages are paid under each training slot, times the negotiated fixed hourly rate. Payment of overtime shall be restricted to work consistent with the training plan. Payment shall include reimbursement of costs associated with employment and training services which have been integrated into the training plan and for which wages have been paid.
- b. No reimbursement shall be made for a period of work stoppage at the employer's worksite.
- c. Each trainee's wages shall be paid in full for the period for which reimbursement is being requested prior to the transmittal of an invoice to the WDB for payment.

## 4. Availability of Funds

Payment for contract activity extending into the next program year is conditional on the availability of WIOA funds in that program year. No obligations will be incurred by the employer if such funds are not available. The employer will be notified in advance when funds are limited.

## 5. Records Retention and Review

- a. The employer shall maintain records (business receipts, payroll records), sufficient to reflect all costs incurred in the performance of this contract until the appropriate Workforce Development Board audit has been fulfilled, or until the expiration of three years from the date of final payment under this contract.
- b. The employer's establishment and records related to the participant, as may be engaged in the performance of this contract, shall be subject at a reasonable time to inspection, audit, review and evaluation by the U.S. Department of Labor, State of North Carolina, and the Workforce Development Board.
- c. The employer agrees to reimburse to the Workforce Development Board any and all funds received under this contract which are determined by audit to have been spent in activities not in compliance with the provisions of this contract.

## 6. Contract Modifications

This contract may be modified, terminated, or cancelled whenever it is determined that such action is in the best interest of the WIOA program or employer. Terminations, cancellations, and modifications shall be effective on the date of execution.

## 7. Sectarian/Religious Activities

No participant enrolled under the contract shall be employed on the construction, operation, or maintenance of any facility as is used, or to be used, for sectarian instruction or as a place for religious worship. Participants may not be trained or employed in sectarian and/or political activities.

## 8. Disclosure of Confidential Information

Confidential information about any trainee shall be divulged by the employer only as necessary for purposes related to evaluation of the employee's performance.

## 9. Nepotism

No persons shall be hired under this contract if a member of his or her immediate family is employed in an administrative capacity by the employer. The term "administrative capacity" includes those who have selection, hiring, placement, or supervisory responsibility for OJT participants and "immediate family" shall include: Wife/Husband, Son/Daughter, Mother/Father, Brother/Sister, Son-In-Law/Daughter-In-Law, Mother-In-Law/Father-In-Law, Stepparent, Stepchild, Grandparent, and Grandchild.

## 10. Debarment and Suspension

The employer certifies that neither he/she nor the company's principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

## 11. Equal Opportunity and Non-Discrimination

The employer shall not discriminate against any employee or applicant because of race, color, religion, sex, age, disability, political affiliation, beliefs, citizenship or national origin and agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this Equal Opportunity clause. This contract is subject to the Civil Rights Act of 1964 and ensuing Regulations in 29 CFR Part 31.

## 12. Grievances

The employer will ensure that the OJT trainee is informed of established grievance procedures for resolving employee complaints.

## 13. Maintenance of Effort

Employer sponsored training in existence prior to initiation of this project shall be continued and may not be reduced in any way as a result of this contract (except for reduction unrelated to the provisions and purposes of this contract).

## 14. Conditions of employment

Conditions of employment and training will be in full accordance with all applicable federal, state, and local laws and ordinances (including but not limited to labor and employment laws, environmental laws or health and safety laws)

**[Insert WDB Name Here]**  
**[Insert OJT Provider Name Here]**  
**On-the-Job Training (OJT) Contract: Trainee Evaluation**

Trainee Name:

Supervisor Name:

Company Name:

**Section 1: Evaluation**

JOB SKILLS OBJECTIVES	MIDPOINT EVALUATION OF SKILLS	MIDPOINT EVALUATION DATE	FINAL EVALUATION OF SKILLS	FINAL EVALUATION DATE
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	

**Section 2: Authorized Signatures**

*Midpoint Evaluation*

<i>I hereby certify that the above information is accurate.</i>	
EMPLOYER SIGNATURE:	DATE:
SUPERVISOR SIGNATURE:	DATE:
TRAINEE SIGNATURE:	DATE:

*Final Evaluation*

<i>I hereby certify that the above information is accurate.</i>	
EMPLOYER SIGNATURE:	DATE:
SUPERVISOR SIGNATURE:	DATE:
TRAINEE SIGNATURE:	DATE:

- ☐ Having satisfied the requirements of the training plan, employment continues on an unsubsidized basis.

**Section 3: Comments (please explain any unsatisfactory evaluation items)**


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	<b>PY19-11</b>
	<b>NCWorks NextGen Staff</b>
	<b>June 14, 2019</b>
	<b>Youth On-the-Job Training Policy</b>

**Purpose:** To rescind Policy #18-14 and transmit a new On-the-Job Training policy for WIOA Youth formula funds.

**Background:** On-the-Job Training (OJT) is a viable workforce solution for unemployed workers seeking employment and for employers seeking workers. It offers employers the unique opportunity to offset initial training costs to fill skilled positions as the OJT employee learns job requirements. On-the-Job placements should be considered for in-demand occupations or industries where career pathways exist with employer partners who have a documented plan to add jobs.

This policy addresses requirements and restrictions for all OJT contracts using WIOA Youth formula funds. It also addresses limitations on the duration and reimbursement levels under an OJT contract, maximum training hours allowed, supervision of OJT participants, worksite monitoring, and required record keeping and reporting requirements.

The attached forms will ensure that all required terms and conditions are included. Add any additional items, terms, conditions, or information to the employer agreement, required by your organization as the “Workforce Innovation Opportunity Act OJT Service Provider”.

**Changes:** Please note the following changes to the policy:

- Reimbursement will not include any payments for overtime. The employer is responsible for any overtime pay.
- Changed wording from site visit to contact.
- Changed the requirement of three (3) site visits to a minimum of one contact must be made in person, on site. Additional contacts may be made by phone or through an internet-based online call.
- Changed the requirement that OJT contracts may now be written for up to 800 hours based on the individual training needs of the trainee.
- Changed the requirement for special approvals from four (4) months to five (5) months.
- Added a requirement that the results of the contact must be documented extensively in NCWorks.

However, the expectation is that all OJT documents must be entered into NCWorks Online in a timely manner and when they occur. Do not wait until all documents are collected to enter them into the system.

**Action:** All NCWorks NextGen staff must adhere to the procedures outlined in this policy, for Workforce Innovation Opportunity Act (WIOA) funded On-The-Job Training (OJT) activities for Youth. This policy replaces the Youth OJT Policy #PY18-14 sent out on March 13, 2019. Please share with staff as appropriate.

**Effective Date:** July 1, 2019

**Expiration:** In effect until rescinded

**Contact:** Arva Gathers  
Arva.Gathers@wakegov.com  
919.856.5663

**Attachments:** On-the-Job Training Policy and Procedures  
On-the-Job Training Forms:

- Employer Agreement
- Pre-Award Analysis
- Training Plan
- Trainee Evaluation



***CAPITAL AREA NCWORKS NEXTGEN  
ON-THE-JOB TRAINING  
POLICY AND PROCEDURES***

On-The-Job-Training (OJT) is a training solution that Capital Area NCWorks NextGen staff can use to help Workforce Innovation Opportunity Act (WIOA) job seeker customers develop job-specific occupational skills for new careers. OJT is designed to provide occupational skills training for the customer at a local business through a training plan agreed upon by the employer and NCWorks NextGen. Under an OJT contract, the employer is reimbursed for “extraordinary” training costs and the lower initial productivity of the OJT participant using the reimbursement rate outlined below.

This policy addresses requirements and restrictions for all OJT contracts using WIOA Youth formula funds. It also addresses limitations on the duration and reimbursement levels under an OJT contract, maximum training hours allowed, supervision of OJT participants, worksite monitoring, and required record keeping and reporting requirements.

In the event that Capital Area receives additional funding through grants or other opportunities that allow for OJTs, additional guidelines will be released for each grant received regarding some or all of the following items, as appropriate:

- Reimbursement rates
- Number of allowed hours
- Wage rates
- Timeframes
- Eligibility criteria

The guidelines issued will be specifically for that grant and will follow all rules and regulations under that grant. This WIOA Youth OJT policy must be followed for any item listed above that is not specifically addressed in other grant guidelines.

## **I. REQUIREMENTS AND RESTRICTIONS FOR ALL OJT CONTRACTS**

- Reimbursement rate is up to 50%.
- Reimbursement rates will be adjusted for employers with over 20 OJTs per fiscal year. For those employers, reimbursement rate is up to 25%. *Individual exceptions may be requested in writing.*
- Reimbursement rates may be adjusted for up to 75% for the following factors:
  - The participant has documented barriers to employment;
  - The employer is a small business (250 employees or less);
  - The quality of employer-provided training and advancement opportunities, for example if the OJT contract is for an in-demand occupation and will lead to an industry-recognized credential; and,
  - Other factors Capital Area may determine to be appropriate, which may include the number of employees participating, wage and benefit levels of the employees (both at present and after completion), and relation of the training to the competitiveness of the participant.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

- Reimbursement will not include any payments for overtime. The employer is responsible for any overtime pay.
- OJT contracts may be written for up to 800 hours based on the individual training needs of the trainee. *Exceptions over five (5) months must be requested in writing.*
- Employer must have appropriate worker's compensation and/or other forms of workplace insurance to cover trainees during the duration of the OJT contract.
- Employer should not be in violation of any applicable Federal, State or local laws.
- OJT contracts cannot have adverse effects on current employees of the participating employer.
- OJT funds cannot be used to encourage or induce the relocation of a business, or part thereof, which results in the loss of employment for any employee at the original location.
- For less than 120 days following commencement of operations of a relocating business, no WIOA funds shall be used for subsidized on-the-job training if the relocation results in the loss of employment for any employee at the original location.
- OJT should not result in the replacement of any workers currently employed or on layoff.
- OJT trainees cannot have been employed by the employer previously in the same role.
- Employer must document progress of OJT trainee(s) and allow the NCWorks NextGen staff and Capital Area staff access to observe training in the workplace.
- Employer must have a grievance procedure for employees. If not, employer must agree to abide by NCWorks NextGen's grievance policy.
- Training occupation is not intermittent, temporary, or seasonal work.
- NCWorks NextGen staff shall not in any way discriminate against any individual in the United States, on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, or, against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I—financially assisted program or activity.
- Employers that do not retain an employee who satisfactorily completes their training plan will not be eligible for future OJTs for one year, unless there are extenuating circumstances beyond the employer's control (i.e. the employee quits the job through no fault of the employer). Extenuating circumstances must be approved by Capital Area staff.
- All OJTs are based on availability of funds.
- Employers may refer candidates (prior to making a job offer) to the NCWorks NextGen Center to determine eligibility for potential OJT contracts (reverse referrals). If a job offer has been made, a candidate is not eligible to receive OJT. As with all OJTs, there must be a documented skills gap.

### **Employer Criteria**

*The following information should be reviewed by NCWorks NextGen staff when considering employers for potential OJT contracts.*

1. A regular (not temporary) job opening should exist so that the OJT trainee can be retained in a full-time unsubsidized job upon successful completion of training.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

2. Entry level wages for OJT positions will be no less than \$9.00 per hour. Hourly wages less than \$9.00 an hour wage rate must be based on prevailing wages and other reasonable considerations. Starting wages below \$9.00 must have a documented pay increase plan to reach \$9.00 within one year of employment.
3. Positions must be full time (at least 30 hours of work per week), and OJT trainees should receive the same benefits and considerations as non-OJT entry-level employees in similar positions.
4. Positions cannot include political, religious, or sectarian activities.
5. Employer must be conducting business for a reasonable period of time, at least two years. Exceptions may be requested in writing.
6. Employer should forecast sufficient business demand to provide long-term regular employment beyond the OJT contract period.
7. Employers may be staffing, temporary, employment, or placement agencies. The employer must provide regular, on-going employment (i.e., not probationary, temporary, or intermittent employment) in a specific occupation and places employees at a worksite of another employer to perform work for such an employer.
8. Occupations with a Specific Vocational Preparation (SVP) level of one (1) will not be eligible for OJT.

### **Client Criteria**

In assessing WIOA Youth customers for potential OJT training, the following areas should also be evaluated:

1. Does assessment indicate suitability for OJT?
2. Do the existing skills of the customer lend themselves to OJT?
3. Is the Youth able to work full-time and complete the OTJ?
4. Is OJT training more appropriate than classroom training for the Youth's particular area of occupational interests and abilities?
5. Does the Youth demonstrate a need for training as recorded on the Individual Employment Plan (IEP)?

## **II. OJT CONTRACTING PROCEDURES**

All Capital Area NCWorks NextGen WIOA-funded OJT contracts are subject to the provisions of the Workforce Innovation and Opportunity Act and all regulations and modifications of the law. All OJT contract negotiations will be customer-focused and for the specific purpose of securing skill training and long-term employment for the customer.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

On-the-job-training contracts will be negotiated directly by NCWorks NextGen staff in Wake and Johnston Counties. Since all OJT training will be developed in accordance with a customer's ISS, staff will first determine that this is the best training option for a Youth and then work to identify a local business that can provide the training. An individual referred as a potential candidate may be considered for OJT only after all eligibility requirements for WIOA services have been met, and an ISS has been developed that indicates OJT is appropriate.

### **III.SKILL GAP ANALYSIS/TRAINING PLAN DEVELOPMENT**

OJT contracts will not be written for an occupation requiring less than 240 hours of training as indicated by the SVP level. Maximum training time will not exceed 1816 hours. "Training Time" is defined as actual hours worked while enrolled in OJT. The duration of OJT is limited to a reasonable period of time needed for each trainee to acquire identifiable skills. An individualized OJT Training Plan must be developed to outline the acquisition of skills. Any OJT over six (6) months will require Capital Area Workforce Development staff approval before a contract is signed. Approval shall be requested by e-mail to Capital Area Youth Services Coordinator.

An analysis of the trainee's prior work history and job skills will be compared to the job skills/job description required for the OJT occupation to determine the actual OJT training time. The resulting gap in skills will be the basis for the OJT Training Plan. Each skill description should be concise but comprehensive and individual objectives must be measurable and observable. NCWorks NextGen staff will conduct a skills gap analysis and provide documentation using the below assessment tools:

- O\*NET Dictionary of Occupational Titles (DOT)
- Specific Vocational Preparation (SVP) Levels
- Employer Job Description and Training Outline
- Applicant's Prior Work Experience and Education
- Individual Employment Plan & Assessment Records

The DOT and employer's job description will be used to identify the training occupation and DOT code. The SVP number assigned to the nine-digit DOT code number will indicate the maximum number of training hours allowed for that occupation. The chart that follows indicates maximum training hours for each SVP level.

<u>SVP Level</u>	<u>Maximum Training Time</u>
2	240
3	520
4	1040
5	1296
6	1560
7 and higher	1816

The actual OJT training time will be further adjusted as appropriate for each customer's experience and needs. The actual OJT training time will be adjusted for a contract to reflect an individual's previous work experience and/or educational preparation. Actual OJT training time may be increased to assist an individual with special needs, very limited work experience and/or

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

significant barriers to employment. **In no case will the authorized OJT training hours exceed the maximum training time allowed for that SVP level or 1816 hours.**

#### **IV. CONTRACT DEVELOPMENT**

Prior to beginning OJT contracts, NCWorks NextGen staff will review an employer OJT Pre-Award Analysis. Employers will read and sign a Pre-Award Analysis. This document provides assurance that the prospective OJT employer is able to fulfill such an agreement.

OJT contracts will consist of the OJT Employer Agreement or signature page, which contains the basic training agreement and authorizing signatures, an OJT Training Plan, developed by NextGen staff and the employer, Trainee Evaluation and General Provisions dealing with the contract and applicable regulations.

NCWorks NextGen staff is responsible for preparing contracts and documenting the determination of the number of authorized OJT training hours for each customer. Actual job descriptions from the training location (employer) will be used to develop the OJT Training Plan (not the DOT job description). Total contract amounts are calculated by multiplying the starting wage and expected wage increases, if any, by the number of training hours agreed to for the contract. The total wages paid (hourly rate x hours) are then multiplied by 50% (percent). to determine the maximum amount of reimbursement to the OJT employer. *For example, if a contract is negotiated at 800 hours of training and starting wage of \$10.00 per hour, the total contract amount will be 800 hours x \$10.00 per hour x 50% = \$4,000.*

OJT contracts may be written with both private and public sector employers.

Individuals must satisfy/complete all WIOA eligibility requirements before being considered for OJT.

**NCWorks NextGen staff must ensure that no customer begins work for a company or organization, under an OJT contract, prior to the signing of the OJT contract by all parties and the contract start date.**

#### **V. CONTRACT MAINTENANCE**

NCWorks NextGen staff will be responsible for monitoring the OJT contract, including site visits (minimum of three) with the OJT trainee and the immediate supervisor. At least one contact must be made in person, on-site, with both the trainee and the trainee's direct supervisor. Additional contacts may be made by phone or through an internet-based online call. Results of the contact must be documented extensively in NCWorks. Disbursement of funds for payment of OJT contracts shall be done within the rules and regulations of WIOA and is subject to the procedural guidelines established by the NCWorks NextGen for such payments.

## **VI. LABOR UNIONS**

When labor organizations represent a substantial number of employees who are engaged in similar work or training at a business where WIOA funding is being proposed, that organization must be provided an opportunity to submit comments on the training proposal.

OJT agreements are also prohibited from impairing existing collective bargaining agreements. Any OJT agreement that would be inconsistent with the terms of the collective bargaining agreement requires the written concurrence of the labor organization and employer concerned.

Comments from labor organizations on OJT proposals should be requested and considered as a routine part of the proposal review process. OJT contracts should include an assurance that OJT does not conflict with any collective bargaining agreements except where written concurrence of the labor organization has been obtained.

## **VII. OJT RECORD KEEPING AND REPORTING REQUIREMENTS**

### **Record Keeping (Employer)**

All records required to substantiate OJT contract costs will be maintained by the employer for three years beyond termination date of the contract or until any pending audit is completed. These records include payroll, attendance, production and employee progress records. The employer shall ensure that trainee attendance records contain the following: actual hours worked, vacation, holidays, sick leave and other leave. The employer shall ensure that trainee payroll records contain the following: amount paid for hours worked, amount paid for sick leave, holidays, vacation and other leave, and amount paid for fringe benefits.

### **Record Keeping (WIOA Service Provider)**

An electronic folder will be maintained in NCWorks Online for each OJT contract consisting of the original signed Employer Agreement, signed Pre-Award Analysis, Training Plan, Trainee Evaluation, paid invoices and trainee timesheets (unless payment records are maintained separately), modifications executed, if any, and other contract-related correspondence.

All OJT documents must be put into NCWorks Online in a timely manner. Do not wait until all documents are available to put them in at the same time. They must be entered as they occur.

### **Reimbursement to OJT Employers**

In accordance with the contract terms, the employer shall hire and place on its payroll in regular employment, an individual hired under this contract on the effective date of the contract.

Service Providers shall reimburse the OJT employer on a monthly basis upon receipt of properly completed and signed OJT timesheet, invoice form and required employee pay stubs. Employers who have three or more outstanding invoices (over 30 days) may be ineligible to receive new OJT until all invoices have been submitted to the NCWorks Career Center.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

Reimbursement will be for actual hours in training (hours worked) while enrolled in OJT. The Service Provider will not reimburse the employer for work performed outside the beginning and termination dates of the contract, for overtime pay, or for periods of work stoppage, paid or unpaid, e.g., holidays, sick leave, weather-related closing, etc.

The employer shall be financially and legally responsible for expenses incurred or actions taken which violate the terms of this agreement. The employer shall notify NCWorks NextGen staff prior to any trainee promotions, demotions, terminations, or changes in training and job description. Failure to do so may constitute forfeiture by the employer of any unpaid reimbursement.

### **Reporting Forms and Procedures**

The three basic reporting requirements to be completed/provided by the OJT employer are the (1) On-the-Job Training Employer Invoice for Reimbursement, (2) OJT Timesheet and, (3) a copy of the OJT employee's pay stub. The invoice serves as the means for requesting reimbursement for extraordinary costs associated with training OJT employees, and the timesheet as the validation of training hours worked by the OJT employee. The pay stub ensures that the employer paid the participant, including all the hours the employer invoiced for reimbursement. NCWorks NextGen staff is expected to explain the correct use of the OJT timesheet and invoice, provide sample completed forms, and be available to assist in the preparation of invoices as requested by an employer.

In addition to the above, the OJT trainee's direct supervisor or person responsible for his/her training shall maintain records of the employee's progress during training. The specific skills to be learned and agreed upon training hours are specified in section 2: Training Outline of the OJT Training Plan. Training supervisors and NCWorks NextGen staff shall monitor, discuss, and document the progress of the OJT employee in gaining the identified skills. The copy of the OJT Training Plan retained by the employer will be annotated as each skill area is mastered. As each competency is demonstrated by the trainee, the OJT Training Plan will be annotated, initialed and dated by the training supervisor.

## **VIII. NCWORKS NEXTGEN STAFF ROLE**

### ***With the Customer***

The NCWorks NextGen staff is responsible for initiating OJT training activities as described in the WIOA Service Provider's Statement of Work and Capital Area OJT Policy and Procedures.

Prior to beginning contract development, the NCWorks NextGen staff should complete the following:

1. Eligibility determination, certification and documentation.
2. Assessment to determine skills gap, including testing, and determination of the best training option to aid the individual customer.
3. Assessment to determine if Supportive Services will be needed.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*

Once the youth completes Wagner Peyser registration and WIOA enrollment, **and** it is determined that OJT is an appropriate program element for the Youth NCWorks NextGen staff will identify potential businesses that are interested in providing OJT in the work/skill area where the Youth has shown interest and some likelihood of successful completion. After making contact, the NCWorks NextGen staff will negotiate the OJT contract directly with the employer.

NCWorks NextGen staff will also have the responsibility of following the progress of the OJT participant, including visits to, and contacts with, the job site and the trainee's immediate supervisor. This is to ensure that the customer is successful in the training and to identify any challenges that need to be addressed before the customer is terminated unsuccessfully. Following completion of the training, staff will conduct follow-up with the OJT participant to provide job retention services, as needed, to ensure job retention.

If the participant does not successfully complete the OJT, it is Capital Area's expectation that NextGen staff will continue to work with the customer to assist them in obtaining employment with another employer.

### ***With the Employer***

NCWorks NextGen staff will be responsible for marketing OJT opportunities to businesses, chambers of commerce, and targeted industry associations in Wake and Johnston counties as part of their outreach to let businesses know who we are and what we do. Business Engagement team members will coordinate direct business referrals and economic development referrals with NCWorks NextGen staff. Business Engagement and NCWorks NextGen staff will work closely together to identify talent pipeline voids, based on hiring needs, and work together strategically to develop and tactically execute initiatives to support are businesses NCWorks NextGen staff will focus on working with individual businesses to identify any gaps in skills with the existing talent pool.

Business Engagement and NCWorks NextGen staff are responsible for updating NCWorks Online with employer contacts and associated activities.

Presuming OJT is a workforce solution in which the business has been informed of by an NCWorks NextGen staff and is interested in pursuing, an NCWorks NextGen staff will provide an *OJT Pre-Award Analysis* form for the business to complete and sign. An NCWorks NextGen staff will also sign off on this form. This document consists of assurances from the employer made prior to an actual contract agreement. The OJT Pre-Award Analysis will be maintained in the OJT contract files.

An NCWorks NextGen staff will be responsible for direct negotiation of the training contract with the business. Too, the NCWorks NextGen staff will be available to provide technical guidance and support to businesses entering into an OJT contract.

OJT contracts must reflect a planned training experience with specific time targets (milestones) set for skill development. Acceptable mastery of these skills, based on the training plan, should be recorded by the employer/supervisor on the training plan.

*Equal Opportunity Employer/Program.*

*Auxiliary aids and services are available upon request to individuals with disabilities.*



The contract must consist of a copy of the signatory or OJT Employer Agreement page including General Assurances and, OJT Training Plan. Contracts must be signed by representatives of both the business and the NCWorks NextGen staff prior to the beginning of the OJT.

Once a job seeker has begun work under an OJT, NCWorks NextGen staff must maintain contact with the customer, including counseling, if needed. The initial contact with the business and the participant should occur within the first ten days of employment. The Trainee Evaluation must be completed at the midpoint of training; the new hire's (trainee) attainment of the required occupational skills, based on the training plan must be signed by the business, supervisor, and new hire participant (trainee). Any necessary adjustments to the training plan are made at this time. The new hire's (trainee) immediate supervisor should be contacted periodically to verify progress in the mastery of skills. NCWorks NextGen staff may need to meet with the direct supervisor in order to expedite documentation of the skills mastered during the training time. In addition, NCWorks NextGen will be responsible for obtaining timesheets signed by the new hire (trainee) and supervisor for the trainee and verifying invoices submitted to the service provider for OJT reimbursement. The new hire (trainee) evaluation form will also be used at the conclusion of training to document the mastery of the required skills. Completion of the final skills evaluation section of the new hire (trainee) evaluation form signals the successful completion of the training plan and agreement by the business to retain the employee. The final skills evaluation section of the new hire (trainee) evaluation form must be signed by the business, supervisor, and new hire (trainee).

NCWorks NextGen staff is responsible for following up with job seekers upon completion of training. In addition, youth who do not complete OJT training can be evaluated for other types of training and/or be provided job search assistance.

**[Insert WDB Name Here]**  
**[Insert OJT Provider Name Here]**  
**On-the-Job Training (OJT) Contract: Employer Agreement**

**Section 1: Contact Information**

Complete the following Employer Information		
WIOA OJT AGENCY:	WIOA OJT AGENCY REPRESENTATIVE:	PHONE NUMBER/ EMAIL ADDRESS:
COMPANY NAME:		<input type="checkbox"/> STATE ACTIVITIES FUNDS <input type="checkbox"/> FORMULA FUNDS <input type="checkbox"/> OTHER (SPECIFY)
ADDRESS:		PHONE NUMBER:
EMPLOYER REPRESENTATIVE:	TITLE:	EMAIL ADDRESS:
CONTRACT START DATE:		CONTRACT END DATE:

**Section 2: Contract Agreement**

This contract is entered into between \_\_\_\_\_, hereinafter called the Workforce Innovation and Opportunity Act (WIOA) OJT Agency, and \_\_\_\_\_, hereinafter called the Employer.

The parties hereto agree that the Employer will employ worker(s) and provide On-the-Job Training services to individuals referred by the WIOA OJT Agency and deemed acceptable by the Employer in accordance with the associated pre-award analysis and training plan(s) attached and made a part thereof. Reimbursement will be paid pursuant to the terms and conditions set forth under the General Assurances on the reverse side of this signatory sheet. In no case shall total reimbursement exceed \_\_\_\_\_percent of the gross wages paid to the trainee(s) during the training period. In addition, the Employer agrees that it will perform under this contract in accordance with the Workforce Investment Opportunity Act and the regulations, procedures and standards promulgated there under. The Employer shall comply with all applicable Federal, State and local laws, rules and regulations which relate to the employment of persons who perform work and are trained under this contract.

Individuals employed under this contract must be certified as being eligible by the WIOA OJT Agency. The Employer agrees to submit an invoice for reimbursement to the WIOA OJT Agency (insert name). In addition, the Employer agrees to complete and submit the attached evaluation for each trainee at the midpoint and end of the training period.

**Section 3: Authorized Signatures**

*I agree to all terms, conditions, and general assurances set forth in this contract. I hereby certify that the information is, to the best of my knowledge, true and correct.*

EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

**Section 4: Contract Agreement Modification, if applicable**

Contract Agreement terms modified: \_\_\_\_\_

Reason for modification or cancellation: \_\_\_\_\_

*I hereby certify that I agree to the contract agreement modification(s) as stated above.*

EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

## On-the-Job Training (OJT) Contract: Pre-Award Analysis

### Section 1: Employer Information

*Complete the following Employer Information*

COMPANY NAME:		FEIN #:
CONTACT PERSON:		TITLE:
COMPANY ADDRESS:		
PHONE:	FAX:	EMAIL:
TYPE OF ORGANIZATION:  PRIVATE FOR PROFIT <input checked="" type="checkbox"/> PRIVATE NON-PROFIT <input type="checkbox"/> PUBLIC <input type="checkbox"/>		
COMPANY NAICS CODE:	# OF CURRENT EMPLOYEES IN THIS LOCATION:	YEARS IN EXISTENCE:

### Section 2: Criteria for OJT Employers

YES	NO	Employer Requirements
<input type="checkbox"/>	<input type="checkbox"/>	1) Does the employer agree to ensure that the OJT will <b>not</b> result in the replacement of laid-off workers?
<input type="checkbox"/>	<input type="checkbox"/>	2) Does the employer ensure that the company has not exhibited a pattern of failing to provide OJT trainees with continued long-term employment?
<input type="checkbox"/>	<input type="checkbox"/>	3) Does the employer commit to providing long-term employment for successful OJT trainees, barring unforeseen economic conditions?
<input type="checkbox"/>	<input type="checkbox"/>	4) Does the employer agree to ensure that the OJT will <b>not</b> result in the full or partial displacement of currently employed workers nor will it infringe on promotional opportunities of current workers?
<input type="checkbox"/>	<input type="checkbox"/>	5) Does the employer agree to ensure that trainees will be provided the same benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work?
<input type="checkbox"/>	<input type="checkbox"/>	6) Does the employer agree to ensure that trainee wages to be paid are at least equal to both: a) the Federal, state or local minimum wage (Fair Labor Standards Act), and b) other employees in the same occupation with similar experience?
<input type="checkbox"/>	<input type="checkbox"/>	7) Does the employer agree to ensure that trainees are provided with the same workers' compensation coverage as regular, non-OJT employees?

		a) Worker's Compensation Company: b) Account #: c) Effective Dates:          to
<input type="checkbox"/>	<input type="checkbox"/>	8) Does the employer agree to ensure that the OJT will <b>not</b> result in the impairment of existing contracts for services or collective bargaining agreements?
<input type="checkbox"/>	<input type="checkbox"/>	9) Does the employer agree to ensure that OJT funds will <b>not</b> be used to directly or indirectly assist, promote, or deter union organizing?
<input type="checkbox"/>	<input type="checkbox"/>	10) Does the employer agree to ensure that WIOA funds will <b>not</b> be used to relocate operations in whole or in part?
<input type="checkbox"/>	<input type="checkbox"/>	11) Does the employer confirm that the company has operated at current location for at least 120 days (unless the new location did not result in the layoff of employees at another location)?
<input type="checkbox"/>	<input type="checkbox"/>	12) Does the employer agree to provide safe working conditions for OJT trainees?

### Section 3: Authorized Signatures

*I hereby certify that the above information is, to the best of my knowledge, true and correct.*

EMPLOYER SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

### Section 4: Outcome of Pre-Award Interview

1. Does the employer meet all requirements (i.e. answer "yes" to all twelve questions above) of the OJT pre-award analysis? YES ☐ NO ☐

2. Will an OJT Contract (Employer Agreement) be developed? YES ☐ NO ☐

If not, please explain.

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**[Insert WDB Name Here]**  
**[Insert OJT Provider Name Here]**  
**On-the-Job Training (OJT) Contract: Training Plan**

**Section 1: General Information**

Please complete the following:					
TRAINEE NAME:			JOB TITLE:		
O*NET CODE:		SVP CODE:		HOURLY STARTING WAGE: \$	HOURLY ENDING WAGE: \$
REIMBURSEMENT PERCENTAGE:  %	REIMBURSEMENT RATE:  \$	MAXIMUM TRAINING HOURS:		MAXIMUM REIMBURSABLE AMOUNT:  \$	
COMPANY NAME:		COMPANY ADDRESS:			
TRAINEE SUPERVISOR:		TITLE:		PHONE/EMAIL:	
EMPLOYER REPRESENTATIVE NAME:		WIOA OJT AGENCY REPRESENTATIVE:		WIOA OJT AGENCY REPRESENTATIVE CONTACT INFO:	
PAY SCHEDULE: Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Bi-Weekly <input type="checkbox"/> Other <input type="checkbox"/>		PAY DAY:  PERIOD COVERED:		RATIO OF TRAINEES TO SUPERVISOR:	
BENEFITS AVAILABLE (list):					

## Section 2: Training Outline

List in the chart below the skills needed to become proficient in the position. *Note: the standard training hours are determined through the use of SVP codes while the actual anticipated training hours are determined after careful analysis of the trainee's current skills and work history.* Please list the standard and anticipated hours required for each skill, as well as the estimated start and end dates. The midpoint and final evaluations will address all listed skills objectives. Attach an official job description to the completed contract.

<u>JOB SKILLS NEEDED</u>	STANDARD TRAINING HOURS	ANTICIPATED TRAINING HOURS	ESTIMATED START DATE	ESTIMATED END DATE

## Section 2: Training Outline (continued, if applicable)

JOB SKILLS NEEDED	STANDARD TRAINING HOURS	ANTICIPATED TRAINING HOURS	ESTIMATED START DATE	ESTIMATED END DATE



## Section 3: Authorized Signatures

<i>By signing below, I agree to adhere to the Training Outline and my responsibilities thereof.</i>		
EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
SUPERVISOR SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
TRAINEE SIGNATURE:		DATE:

## Section 4: Training Plan Modification, if applicable

*On-the-Job Training Plans may require changes for which a modification is necessary. Reasons for a modification include but are not limited to:*

- To extend the end date of training due to illness or equipment failures at the place of business.*
- To correct errors in the original training budget or the description of the job duties.*
- Cancellation.*
- To extend the end date in order to ensure satisfactory skill attainment.*

The Employer and the WIOA OJT Agency agree that this Training Plan shall be modified as stated:

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Except as hereby modified, all other terms and conditions of this training plan remain unchanged and in full force and effect. The effective date of this modification is \_\_\_\_\_.

The employer and the WIOA OJT Agency mutually agree to abide by the terms and conditions stated and do hereby execute this modification in keeping with our respective authority.

<i>By signing below, I agree to adhere to the modifications set forth in Section 4</i>		
EMPLOYER SIGNATURE:	TITLE:	DATE:
SUPERVISOR SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
TRAINEE SIGNATURE:		DATE:

# On-the-Job Training General Assurances

## 1. Employer Criteria

- a. The employer must provide information such as an IRS Employer Identification number to demonstrate that they are a legitimate employer, having full-time employees, and conducting their trade or business at an appropriate worksite.
- b. The employer must not be involved in a current labor dispute and must not have a history of frequent layoffs.
- c. OJT training may not be subcontracted and must be conducted at the employer's place of business, which meets prevailing standards with respect to wage, hours and conditions of employment.
- d. Employer referrals to NC Career Centers are permitted. Eligibility and suitability for OJT must be determined and verified prior to hiring and/or the beginning of training.
- e. OJT contracts are permitted with firms in which current and/or past Workforce Development Board (WDB) members are employed or otherwise have a financial or personal interest.
- f. The employer must be in compliance with all applicable business licensing, taxation and insurance requirements. The employer must not be in violation of any local, state or federal labor laws.

## 2. OJT Training Occupation

- a. The OJT training occupation must not be seasonal, intermittent, or temporary.
- b. The occupation must not involve payment in the form of a commission as the primary source of payment to the OJT employee.
- c. The occupation must be one in which specific occupational training is a prerequisite for employment.
- d. The occupation must provide full-time employment. (Full-time is defined as a 40-hour work week, except where fewer or greater hours are normal to the occupation, but in no case less than 30 hours per week.) Contracts may also be negotiated for part-time employment if such negotiation is undertaken for a specific participant, but only in those instances where full-time employment is not feasible due to limitations (*i.e.*, individuals with an impairment or disability).
- e. Training may not be provided for occupations where adequate supervision and/or monitoring are not available. These may include traveling salespersons, out-stationed job positions, truck or van drivers and other positions requiring more than an occasional trip from the employer worksite.
- f. NEG/ARRA funded occupations are prohibited at casinos or other gambling establishments, swimming pools, aquariums, zoos, and golf courses.

## 3. Payments

- a. The employer shall be reimbursed for training costs upon timely submission of the invoice appropriately certified by the employer's signatory official. Payment shall be based on the hours actually worked for which wages are paid under each training slot, times the negotiated fixed hourly rate. Payment of overtime shall be restricted to work consistent with the training plan. Payment shall include reimbursement of costs associated with employment and training services which have been integrated into the training plan and for which wages have been paid.
- b. No reimbursement shall be made for a period of work stoppage at the employer's worksite.
- c. Each trainee's wages shall be paid in full for the period for which reimbursement is being requested prior to the transmittal of an invoice to the WDB for payment.

## 4. Availability of Funds

Payment for contract activity extending into the next program year is conditional on the availability of WIOA funds in that program year. No obligations will be incurred by the employer if such funds are not available. The employer will be notified in advance when funds are limited.

## 5. Records Retention and Review

- a. The employer shall maintain records (business receipts, payroll records), sufficient to reflect all costs incurred in the performance of this contract until the appropriate Workforce Development Board audit has been fulfilled, or until the expiration of three years from the date of final payment under this contract.
- b. The employer's establishment and records related to the participant, as may be engaged in the performance of this contract, shall be subject at a reasonable time to inspection, audit, review and evaluation by the U.S. Department of Labor, State of North Carolina, and the Workforce Development Board.
- c. The employer agrees to reimburse to the Workforce Development Board any and all funds received under this contract which are determined by audit to have been spent in activities not in compliance with the provisions of this contract.

## 6. Contract Modifications

This contract may be modified, terminated, or cancelled whenever it is determined that such action is in the best interest of the WIOA program or employer. Terminations, cancellations, and modifications shall be effective on the date of execution.

## 7. Sectarian/Religious Activities

No participant enrolled under the contract shall be employed on the construction, operation, or maintenance of any facility as is used, or to be used, for sectarian instruction or as a place for religious worship. Participants may not be trained or employed in sectarian and/or political activities.

## 8. Disclosure of Confidential Information

Confidential information about any trainee shall be divulged by the employer only as necessary for purposes related to evaluation of the employee's performance.

## 9. Nepotism

No persons shall be hired under this contract if a member of his or her immediate family is employed in an administrative capacity by the employer. The term "administrative capacity" includes those who have selection, hiring, placement, or supervisory responsibility for OJT participants and "immediate family" shall include: Wife/Husband, Son/Daughter, Mother/Father, Brother/Sister, Son-In-Law/Daughter-In-Law, Mother-In-Law/Father-In-Law, Stepparent, Stepchild, Grandparent, and Grandchild.

## 10. Debarment and Suspension

The employer certifies that neither he/she nor the company's principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

## 11. Equal Opportunity and Non-Discrimination

The employer shall not discriminate against any employee or applicant because of race, color, religion, sex, age, disability, political affiliation, beliefs, citizenship or national origin and agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this Equal Opportunity clause. This contract is subject to the Civil Rights Act of 1964 and ensuing Regulations in 29 CFR Part 31.

## 12. Grievances

The employer will ensure that the OJT trainee is informed of established grievance procedures for resolving employee complaints.

## 13. Maintenance of Effort

Employer sponsored training in existence prior to initiation of this project shall be continued and may not be reduced in any way as a result of this contract (except for reduction unrelated to the provisions and purposes of this contract).

## 14. Conditions of employment

Conditions of employment and training will be in full accordance with all applicable federal, state, and local laws and ordinances (including but not limited to labor and employment laws, environmental laws or health and safety laws)

**[Insert WDB Name Here]**  
**[Insert OJT Provider Name Here]**  
**On-the-Job Training (OJT) Contract: Trainee Evaluation**

Trainee Name:

Supervisor Name:

Company Name:

**Section 1: Evaluation**

JOB SKILLS OBJECTIVES	MIDPOINT EVALUATION OF SKILLS	MIDPOINT EVALUATION DATE	FINAL EVALUATION OF SKILLS	FINAL EVALUATION DATE
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
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	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	

**Section 2: Authorized Signatures**

*Midpoint Evaluation*

<i>I hereby certify that the above information is accurate.</i>	
EMPLOYER SIGNATURE:	DATE:
SUPERVISOR SIGNATURE:	DATE:
TRAINEE SIGNATURE:	DATE:

*Final Evaluation*

<i>I hereby certify that the above information is accurate.</i>	
EMPLOYER SIGNATURE:	DATE:
SUPERVISOR SIGNATURE:	DATE:
TRAINEE SIGNATURE:	DATE:

- ☐ Having satisfied the requirements of the training plan, employment continues on an unsubsidized basis.

**Section 3: Comments (please explain any unsatisfactory evaluation items)**

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# NCWorks Career Center

2021/22

**Quality Assurance Review Process, Tools, and Instructions**



# NCWORKS CAREER CENTER

## QUALITY ASSURANCE REVIEW PROCESS, TOOLS, AND INSTRUCTION

### BACKGROUND

Capital Area Workforce Development (CAWD), as the oversight entity under the Workforce Innovation and Opportunity Act (WIOA) for Wake and Johnston Counties, takes seriously their role of ensuring WIOA funds are spent in an efficient and effective manner as prescribed by the Act. This responsibility includes conducting objective quality assurance reviews and providing technical assistance to all centers and service providers.

### Purpose

This guide is designed to:

- Meet state monitoring requirements with the goal of collecting sufficient data to:
  - Review WIOA activities
  - Analyze how services are provided through the NCWorks Career Center(s) and NextGen Centers
- Determine any compliance issues in one or more of the WIOA funding streams

### Objectives

The objective of quality assurance reviews include:

- Evaluate center compliance with Federal and State statutes and regulations for workforce programs
- Evaluate equal opportunity (EO) practices and compliance with policies and procedures
- Evaluate center compliance with local policies and procedures
- Identify “disallowed costs”
- Evaluate center effectiveness and impact
- Identify center successes and challenges
- Evaluate center performance and service goals
- Conduct risk assessments
- Validate self-attestation verification sources
- Provide guidance and technical assistance to ensure quality workforce services are provided to One-Stop customers (employers and job seekers)

Capital Area Workforce Development staff will use this tool to conduct quality assurance reviews of centers on a regular basis. One or more components may also be selected for an additional review of a center at any given time, if deemed necessary.

## Components

There are four components to the monitoring:

### 1. Programmatic

- a. Individual Employment Plan (IEP)/Individual Service Strategy (ISS)
- b. File Review
- c. NCWorks Online
- d. Supportive Services
- e. Eligibility
- f. Activities
- g. Data Validation
- h. Performance
- i. Policies and Procedures
- j. Redaction
- k. Self-attestation

### 2. Center Operations

- a. Location and Appearance
- b. Services
- c. NCWorks Online
- d. Trained Staff
- e. Continuous Improvement Goals
- f. Relationship to NCWorks Career Centers
- g. Policies and Procedures
- h. Career Resource Center/Equipment
- i. Customer Satisfaction (Job Seeker and Employer)
- j. Other
  - i. Professional Development
  - ii. Meetings
  - iii. Staffing
  - iv. Integration

### 3. Fiscal

- a. Accounting
- b. Budgeting
- c. Bookkeeping
- d. Financial Management



- e. Cash Management
- f. Petty Cash
- g. Payments
  - i. Internal Controls
  - ii. Supportive Services
  - iii. On-the-Job Training (OJT)
  - iv. Internships
  - v. Work Experience
  - vi. Cost Allocation
  - vii. Payroll
- h. Program Income
- i. Financial Reporting
- j. Audit Resolution

#### 4. Equal Opportunity

- a. Equal Opportunity 29 CFR 38
- b. Methods of Administration

Quality Assurance Reviews are categorized as three types:

- Full Review includes all four components
- Partial Review includes component #2 (Center) only and may be announced or unannounced
- Random Review
  - Files (NCWorks Online)
  - Financial

Note: Capital Area Staff reserves the right to conduct quality assurance reviews virtually.

## QUALITY ASSURANCE REVIEW TEAM

All reviews will be conducted by the Capital Area Workforce Development Review Team.

Members of this team include:

Jane Sterner - Lead	One-Stop System Director	919.856.6117	jsterner@wakegov.com
Jessica Locklear McLeod	Adult Services Specialist	919.856.7005	Jessica.locklearmcLeod@wakegov.com
Arva Gathers	Youth Services Specialist	919.856.5663	Arva.gathers@wakegov.com
Evidence Thomas	Accountant	919.856.5992	evidence.thomas@wakegov.com

A Prime will be designated from the team to be the contact person throughout the review process.

## FREQUENCY

Centers will have at least one review a year. Additional reviews are contingent on center designation (Tier 1, Tier 2, Specialized or Partner sites) and past performance.



## PROCESS

### Full Review

The Full Review will take place over a four-week period by the Review Team. A desk review will occur during the first two weeks and may include the team being on-site at the center, if necessary. Throughout the review, the team will internally discuss concerns, best practices, and other items pertinent to the review. A short and concise exit meeting (up to 1 hour in length) will take place during the third week with the Review Team and representatives from the center. The team will highlight items being done well and areas for improvement. A final report will be released by the end of the third week with items to be corrected. Exit meetings and final report dates are subject to change. Eligibility and Equal Opportunity items must be completed within 5 business days. All other items must be completed within 10 business days. Follow-up will be conducted by the Prime to ensure items were corrected as requested. Failure to correct these items will result in a non-compliance letter issued to the contractor/center manager, which will also become a part of Capital Area's permanent file. Continued non-compliance will result in probation and/or suspension.

### Partial Review

The Partial Review will take place over a one-week period. Staff will conduct the on-site review in a one-day or half-day session. If announced, staff will arrive on the designated day/time and conduct the review. If unannounced, staff will arrive at a date/time unknown to the center to conduct the review. A final report with items to be addressed will be sent to the center within five business days. These items must be completed within 10 business days. Failure to correct these items will result in a non-compliance letter issued to the contractor/center manager, which will also become a part of Capital Area's permanent file. Continued non-compliance will result in probation and/or suspension.

### Random Review

Random Reviews will take place throughout the program year. These reviews may be file reviews in NCWorks online or financial reviews conducted around a particular topic (OJTs, supportive services, timesheets, etc.). Staff will conduct these file reviews periodically to ensure that all Federal, State and Local Area regulations are being followed. Center will be notified of any items to be corrected, if necessary. Eligibility items must be completed within 5 business days. All other items must be completed within 10 business days. Follow-up will be conducted by staff to ensure items were corrected as required. Failure to correct these items will result in a non-compliance letter issued to the contractor/center manager, which will also become a part of Capital Area's permanent file. Continued non-compliance will result in probation and/or suspension.

Areas of concentration for all reviews for PY'21 will include the following:

- Personal Identifiable Information (PII) – ensuring that all PII is redacted according to policy.
- Individual Training Accounts (ITA) – ensuring ITA policies are being followed including verifying GPAs and that students are passing their classes. We will also ensure grades, credentials, attendance sheets, and Financial Award Analysis (FAA) documents are correct and are being scanned into NCWorks online.
- On-the-Job Training (OJT)/Work Experience (WEX) – ensuring that all OJT & WEX documents are being scanned into NCWorks Online as required.
- Individual Employment Plans (IEP)/Individual Service Strategy (ISS) – ensuring they are updated quarterly or as needed and corresponding activities and case notes are entered into NCWorks online.
- Self-attestation – ensuring that the self-attestation policy is being followed including that self-attestation is only used as a last resort when documents cannot be obtained or if obtaining the document(s) may cause undue hardship for an individual.
- Dates – ensuring that dates in NCWorks are consistent and accurate across all documentation.
- Case notes – ensuring all activities are backed up with activities recorded and that dates match.
- Scanning documents – ensuring all documents are scanned into NCWorks.
- Income calculations – ensuring that the income calculation policy is being followed.

#### Step-by-Step Quality Assurance Review Process

Step	Process	Detail	Timeline
1.	Process & Schedule Released	Centers are sent the review process and schedule for the upcoming Program Year covering July 1 – June 30. The schedule will include review and exit dates, if applicable.	Ten (10) days before Program Year begins.
2.	File Sample Pulled*	File sample report is run and file sample pool is chosen randomly.	Up to fourteen (14) days prior to the review start date.
3.	Desk Review Conducted*	Desk review may include: files in NCWorks Online, reports, contracts, financial, self-attestation validation, etc.	Review weeks 1 & 2
4.	On-Site Review Conducted	On-site review may include: appearance, processes, customer/staff interviews, equal opportunity, etc.	During review
5.	Exit Meeting*	Meeting with Center representative(s) to discuss the QA review.	During 3 <sup>rd</sup> week of review
6.	Final Report Released	Final report with observations, corrective action, successes, etc.	Full Reviews: By the end of the 3 <sup>rd</sup> week, unless

			additional review is needed
			Partial reviews: Within five (5) business days of the review, unless additional review is needed
7.	Follow-up Evaluation Conducted	Prime reviews all corrective action for completion.	After ten (10) business days
8.	Letter Sent, if necessary	Non-compliance letter sent for items not completed.	Immediately
9.	Review Closed	Process ends.	When all corrective items are completed

\*Full Review Only

## SELF-ATTESTATION VALIDATION

In accordance with the Capital Area Self-Attestation Policy #PY18-10, Capital Area staff will select a random sample of participant files that have used self-attestation for eligibility verification. Service providers will be required to collect and/or provide additional supporting documentation of eligibility by obtaining additional allowable sources of verification. The number of files sampled for self-attestation validation for PY21 will be 1% of the random sample files that have used self-attestation for eligibility verification. At a minimum one file will be reviewed during the QA process. This will only take place during Quality Assurance full reviews.

Eligibility sampling of self-attestation is not intended to be a hardship but to serve as a method to ensure validity of verification sources used and to ensure the enrollment of eligible individuals.

## RISK ASSESSMENT

During the Program Year, a risk assessment is conducted to determine how often Centers will be reviewed for the upcoming Program Year.

## MODIFICATIONS

Capital Area staff reserves the right to modify the quality assurance process throughout the year as necessary.

## ATTACHMENTS

- A. Quality Assurance Review Schedule
- B. Exit Meeting Agenda
- C. QA Full Review Final Report Template

**Quality Assurance Review Schedule PY21**  
**(July 1, 2021 – June 30, 2022)**

	Center/Service Provider	Review Type	Review Dates	Exit Date* 10 am
<b>NCWorks NextGen Centers</b>	EDSI	Full – Announced	Aug. 23 <sup>rd</sup> – Sept. 3 <sup>rd</sup>	September 8 <sup>th</sup>
		Partial - Unannounced	Unannounced	N/A
		Full – Announced	Jan. 10 <sup>th</sup> – 21 <sup>st</sup>	January 26 <sup>th</sup>
	JCI	Full Announced	Oct. 11 <sup>th</sup> – Oct 22 <sup>nd</sup>	Oct. 27 <sup>th</sup>
		Partial - Unannounced	Unannounced	N/A
		Full Announced	Apr. 25 <sup>th</sup> - May 6 <sup>th</sup>	May 11 <sup>th</sup>
<b>NCWorks Career Centers</b>	Clayton	Full - Announced	Sept. 13 <sup>th</sup> – Sept. 24 <sup>th</sup>	September 29 <sup>th</sup>
		Partial - Unannounced	Unannounced	N/A
	ERC	Partial - Announced	September 27 <sup>th</sup> , 9 am	N/A
		Partial - Unannounced	Unannounced	N/A
	NRC	Partial - Announced	October 21 <sup>st</sup> , 9 am	N/A
		Partial - Unannounced	Unannounced	N/A
	SRC	Partial - Announced	August 10 <sup>th</sup> , 9 am	N/A
		Partial - Unannounced	Unannounced	N/A
	Swinburne	Partial - Announced	January 13 <sup>th</sup> , 9 am	N/A
		Partial - Unannounced	Unannounced	N/A
	Tillery	Full – Announced	Oct. 25 <sup>th</sup> – Nov. 5 <sup>th</sup>	November 17 <sup>th</sup>
		Partial - Unannounced	Unannounced	N/A
		Full – Announced	April 11 <sup>th</sup> – 22 <sup>rd</sup>	April 27 <sup>th</sup>

*\*All Exit meetings are scheduled for 1 hour. If it is necessary to change an exit date, please notify Capital Area staff as soon as possible.*

*# Unannounced visits may take place throughout the year as deemed necessary.*

## **Exit Meeting Agenda**

- I. Welcome
- II. Successes
- III. Areas of Improvement
  - a. Fiscal
  - b. Programmatic
- IV. Reminders/Items to Note
- V. Next Steps
- VI. Closing



**Capital Area Workforce Development**  
**<Center>**  
**Quality Assurance Review Final Report**  
**<Date>**

**CAWD Prime Name:** <Name>

**Exit Meeting Date:** <Date>

**Attendees:** <Name, Title>

**Programmatic Discussion:** <High level overview of review>

**Fiscal Discussion:** <Comments>

**Scores:**

Programmatic Score:	<%>
Center Operations Score:	<%>
Subtotal (Average):	<%>
Deductions Total:	<%>
<b>Final Score:</b>	<b>&lt;%&gt;</b>

**Numerical Data:**

	Number or Percent	Progress		
WIOA Participants Enrolled	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Number in Paid Occupational Skills Training	<#>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Number in Work-Based Learning	<#>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Expenditures (Breakout by Adult/DW & Youth)	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Number Employed	<#>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Job Seeker Satisfaction Results	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Employer Satisfaction Results	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Participant Engagement	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Business Engagement	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
On-the-Job Training Retention	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A
Job Orders Filled	<%>	<input type="checkbox"/> On Track	<input type="checkbox"/> Not on Track	<input type="checkbox"/> N/A

**Performance Data:**

Performance Indicators - WIOA	YTD	Goal	% of Goal
Entered Employment/Education – 2 <sup>nd</sup> Qtr			
Employment Rate – 4 <sup>th</sup> Qtr			
Median Earnings			
Credential			
Skill Gains			

**Performance Data:**

Performance Indicators – Wagner-Peyser	YTD	Goal	% of Goal
Entered Employment/Education – 2 <sup>nd</sup> Qtr			

Employment Rate – 4 <sup>th</sup> Qtr			
Median Earnings			

**Highlights:**

--

**General Statements:**

--

**Recommendations/Action Items:**

Items to Correct	Deadline to Correct	CA Staff Only Corrected

**Recommendations/Action Items Response:**

--

**Self-Attestation Validation:**

Validated files:	Results of self-attestation validation:

**Fiscal:**

Items to Correct	CA Staff Only Corrected

**Fiscal Response:**

--

**Career Center:**

Items to Correct	CA Staff Only Corrected

**Center's Response:****Equal Opportunity:**

Items to Correct	CA Staff Only Corrected

**Equal Opportunity Response:****File Review Response:****Deadlines:**


Please correct all eligibility items within five (5) business days: **<Date>**

All other items must be corrected within ten (10) business days: **<Date>**

Respond in writing, on this final report where indicated, to all items and return to the Prime listed above by:  
**<Date>**

Items will be checked for correction by the deadlines given above. Failure to correct these items will result in a non-compliance letter issued to the contractor/center manager, which will also become a part of Capital Area's permanent file. Continued non-compliance will result in probation and/or suspension.



	<b>PY18-12</b>
	<b>NCWorks Career Center Staff</b>
	<b>October 19, 2018</b>
	<b>Priority of Service / Serving Special Populations</b>

**Purpose:** To rescind Policy #PY16-12 and release a new Priority of Service/Serving Special Populations policy for NCWorks Career Center staff.

**Change:** Added the following phrase as required by the US Department of Labor.

***“Veterans and eligible spouses will receive the first level of priority of service in universal access programs and services delivered through NC Career Centers for all USDOL funded programs, including the Wagner-Peyser and WIOA programs.”***

**Action:** All NCWorks Career Center staff must adhere to the regulations as outlined in the attached policy for Workforce Innovation Opportunity Act (WIOA) funded activities. This policy rescinds and replaces the Priority of Service / Serving Special Populations Policy #16-12 released on April 28, 2017. Please share with staff as appropriate.

**Effective Date:** October 19, 2018

**Expiration:** In effect until rescinded

**Contact:** Jessica Locklear McLeod  
 Jessica.locklearmcLeod@wakegov.com  
 919.856.7005

**Attachment:** Priority of Service / Serving Special Populations Policy

## **CAPITAL AREA NCWORKS CAREER CENTER PRIORITY OF SERVICE / SERVING SPECIAL POPULATIONS POLICY**

Recipients (and sub-recipients) of US Department of Labor (USDOL) funds for qualified workforce development programs are subject to the priority of service regulations and are required by law to provide priority of service to Workforce Innovation and Opportunity Act (WIOA) priority populations. In addition to priority of service populations, Capital Area is committed to providing WIOA services to populations in most need. All NCWorks Center staff will adhere to the regulations as outlined in this policy.

### **WIOA Priority Populations**

#### **Statutory Priority for Adult Funds**

WIOA establishes a priority requirement with respect to funds allocated to a local area for adult employment and training activities. Under this section, NCWorks Career Center staff when using WIOA Title I Adult funds to provide individualized career services, training services, or both, must give priority to:

- (1) recipients of public assistance
- (2) other low-income individuals:  
(as defined under (b) of “Individuals with Barriers to Employment” on page 3 of this policy)
- (3) individuals who are basic skills deficient:
  - (A) who is a youth, that the individual has English reading, writing, or computing skills at or below the 8<sup>th</sup> grade level on a generally accepted standardized test; or,
  - (B) who is a youth or adult, that the individual is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual’s family, or in society.

*Note: Individuals who are English language learners meet the criteria for "basic skills deficient" and must be included in the priority populations for the Title I Adult program.*

Under WIOA, priority must be implemented regardless of the amount of funds available to provide services in the local area. The priority established above does not necessarily mean that these services may only be provided to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient. Additionally, the priority is to be applied for the provision of individualized career services and training services. There are no restrictions to providing basic career services; they may be provided to any eligible adult.

#### **Veterans and Adult Priority**

Veterans and eligible spouses will receive the first level of priority of service in universal access programs and services delivered through NC Career Centers for all USDOL funded programs, including the Wagner-Peyser and WIOA programs.

The term “Veteran” means an individual who served at least one day in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable, as specified in 38 U.S.C. 101(2). Active service includes full-time Federal service in the National Guard or a Reserve component but does not include full-time duty performed strictly for training purposes (i.e., that which often is referred to as “weekend” or “annual” training), nor does it include full-time active duty performed by

National Guard personnel who are mobilized by State rather than Federal authorities (State mobilizations usually occur in response to events such as natural disasters).

The term “Eligible spouse” means the spouse of any of the following:

- a. Any veteran who died of a service-connected disability;
- b. Any member of the Armed Forces serving on active duty who, at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days:
  - i. Missing in action;
  - ii. Captured in the line of duty by a hostile force; or,
  - iii. Forcibly detained or interned in the line of duty by a foreign government or power;
- c. Any veteran who has a total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs; or
- d. Any veteran who died while a disability was in existence. A spouse whose eligibility is derived from a living veteran or service member) i.e., categories b. or c. above) would lose his or her eligibility if the veteran or service member were to lose the status that is the basis for the eligibility (e.g. if a veteran with a total service-connected disability were to receive a revised disability rating at a lower level). Similarly, for a spouse whose eligibility is derived from a living veteran or service member, that eligibility would be lost upon divorce from the veteran or service member.

The priority of service regulations refer to those veterans and spouses who are eligible for priority of service as “covered persons” and refer to those not eligible for priority of service as “non-covered persons.”

A veteran (or eligible spouse) must meet program eligibility criteria to receive services under the respective employment and training program.

### **Order of Priority**

When programs are statutorily required to provide priority for a particular group of individuals, such as the WIOA priority for Adult funds described above, priority must be provided in the following order:

- (1) First, to veterans and eligible spouses who are also included in the groups given statutory priority for WIOA Title I Adult formula funding. This means that veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient would receive first priority for services with WIOA Title I Adult formula funds for individualized career services and training services.
- (2) Second, to non-covered persons (that is, individuals who are not veterans or eligible spouses) who are included in the groups given priority for WIOA Title I Adult formula funds.
- (3) Third, to veterans and eligible spouses who are not included in WIOA's priority groups.
- (4) Fourth, priority populations established by the Governor and/or Capital Area.
- (5) Last, to non-covered persons outside the groups given priority under WIOA.

*Priority for services does not preclude service to individuals who are not low-income or not receiving public assistance or not a veteran, but rather establishes the order of precedence for service as provided under WIOA.*

WIOA programs will always operate under a priority of service for these identified populations. However, all customers will be served, in a timely manner, as they come into the Capital Area NCWorks Career Centers.

Additional outreach efforts should be made to the priority of service populations in all Capital Area communities.

Additional populations may be added to this list by the Governor of North Carolina. If this should occur, all Centers will be notified.

## **Special Populations**

### **Individuals with Barriers to Employment**

In addition to providing priority services to veterans and adults outlined above, WIOA also recognizes focus populations. WIOA focuses on serving "individuals with barriers to employment", as defined below, and seeks to ensure access to quality services for these populations.

#### Individuals with Barriers to Employment

##### (a) Displaced homemakers

The term “displaced homemaker” means an individual who has been providing unpaid services to family members in the home and who—

- (1)(i) has been dependent on the income of another family member but is no longer supported by that income; or
- (ii) is the dependent spouse of a member of the Armed Forces on active duty and whose family income is significantly reduced because of a deployment, a call or order to active duty, a permanent change of station, or the service-connected death or disability of the member; and,
- (2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

##### (b) Low-income individuals

The term “low-income individual” means an individual who—

- (1) receives, or in the past 6 months has received, or is a member of a family that is receiving or in the past 6 months has received, assistance through the supplemental nutrition assistance program established under the Food and Nutrition Act of 2008 (7 U.S.C. 2011 et seq.), the program of block grants to States for temporary assistance for needy families program under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), or the supplemental security income program established under title XVI of the Social Security Act (42 U.S.C. 1381 et seq.), or State or local income-based public assistance;
- (2) is in a family with total family income that does not exceed the higher of—
  - (i) the poverty line; or
  - (ii) 70 percent of the lower living standard income level;
- (3) is a homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e–2(6))), or a homeless child or youth (as defined under section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)));
- (4) receives or is eligible to receive a free or reduced price lunch under the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq.);
- (5) is a foster child on behalf of whom State or local government payments are made; or
- (6) is an individual with a disability whose own income meets the income requirement of clause (ii), but who is a member of a family whose income does not meet this requirement.

##### (c) Indians, Alaska Natives, and Native Hawaiians

(d) Individuals with disabilities, including youth who are individuals with disabilities (includes individuals who are in receipt of Social Security Disability Insurance);  
The term “individual with a disability” means an individual with a disability as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).

(e) Older individuals

The term “older individual” means an individual age 55 or older.

(f) Ex-offenders

The term “offender” means an adult or juvenile—

- (1) who is or has been subject to any stage of the criminal justice process, and for whom services under this Act may be beneficial; or
- (2) who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.

(g) Homeless individuals or homeless children and youths who meets any of the following criteria:

- (1) Lacks a fixed regular, and adequate nighttime residence; this includes a participant who:
  - i. Is sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason;
  - ii. Is living in a motel, hotel, trailer park, or campground due to a lack of alternative adequate accommodations;
  - iii. Is living in an emergency or transitional shelter;
  - iv. Is abandoned in a hospital; or
  - v. Is awaiting foster care placement;
- (2) Has a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, such as a car, park, abandoned building, bus or train station, airport, or camping ground;
- (3) Is a migratory child who in the preceding 36 months was required to move from one school district to another due to changes in the parent’s or parent’s spouse’s seasonal employment in agriculture, dairy, or fishing work; or
- (4) Is under 18 years of age and absents himself or herself from home or place of legal residence without the permission of his or her family (i.e. runaway youth)

(h) Youth who are in or have aged out of the foster care system;

(i) Individuals who are:

- (1) English language learners (WIOA sec. 203(7)),
- (2) Individuals who have low levels of literacy (an individual is unable to compute or solve programs, or read, write, or speak English at a level necessary to function on the job , or in the individual 's family, or in society); and
- (3) Individuals facing substantial cultural barriers;

(j) Eligible migrant and seasonal farmworkers

- (1) The term “eligible migrant and seasonal farmworkers” means individuals who are eligible migrant farmworkers or are eligible seasonal farmworkers.
- (2) The term “eligible migrant farmworker” means—
  - (i) an eligible seasonal farmworker described in paragraph (3)(i) whose agricultural labor requires travel to a job site such that the farmworker is unable to return to a permanent place of residence within the same day; and
  - (ii) a dependent of the farmworker described in subparagraph (1).
- (3) The term “eligible seasonal farmworker” means—
  - (i) a low-income individual who—

- (a) for 12 consecutive months out of the 24 months prior to application for the program involved, has been primarily employed in agricultural or fish farming labor that is characterized by chronic unemployment or underemployment; and
- (b) faces multiple barriers to economic self-sufficiency; and
- (ii) a dependent of the person described in subparagraph (1).
- (k) Individuals within two years of exhausting lifetime TANF eligibility;
- (l) Single parents (including single pregnant women);
- (m) \*Long-term unemployed individuals (unemployed for 27 or more consecutive weeks); and
- (n) Such other groups as the Governor involved determines to have barriers to employment

*\*In North Carolina, long- term unemployed is recognized as unemployed for 13 or more consecutive weeks.*

### **Underemployed Individuals**

Although, career and training services are provided to individuals who are unemployed, there remains a significant population of job seekers who are underemployed. Individuals who are underemployed may include:

- Individuals employed less than full-time who are seeking full-time employment;
- Individuals who are employed in a position that is inadequate with respect to their skills and training;
- Individuals who are employed who meet the definition of a low-income individual, as defined above; and,
- Individuals who are employed, but whose current job's earnings are not sufficient compared to their previous job's earnings from their previous employment.

### Adult Services:

Individuals who are underemployed and meet the definition of a low-income individual may receive career and training services under the WIOA Title I Adult program on a priority basis per TEGL 3-15, Section 8. Individuals who meet the definition of an individual with a barrier to employment, as defined above, who are underemployed may also be served in the Adult program.

### Adult Self-Sufficiency:

Individuals who are employed, earning wages/income equal to or greater than 225% of the lower living standard income level (adjusted for family size), receiving family health insurance benefits, and not receiving public assistance including, but not limited to, subsidized housing or food stamps.


### Dislocated Worker Services:

Individuals who were determined eligible for the Dislocated Worker program who are determined to be underemployed may still be considered eligible for career and training services under this program if they do not meet the self-sufficiency definition for Dislocated Workers as stated below.

### Dislocated Worker Self-Sufficiency:

Individuals who have re-entered the workforce earning wages/income, equal to or greater than, 80% of their pre-layoff compensation, and eligible for family health insurance benefits; or dislocated workers who meet

the adult definition of self-sufficiency.

	PY19-06
	NCWorks NextGen Staff
	June 14, 2019
	WIOA Youth Work Experience (WEX) Policy

**Purpose:** To rescind WIOA Youth Work Experience policy #17-09 and transmit a new Work Experience policy for eligible WIOA Youth.

**Background:** WIOA acknowledges the critical role work experiences play in helping individuals obtain the skills they need to succeed in the workplace. “Work Experience (WEX) Training” is a planned, structured learning experience that occurs in a workplace for a specified, limited period of time. The purpose of the WEX activity is to provide the WIOA Title I participant with opportunities for career exploration, skill development, and reinforcement of the work ethic. Work experiences provide a helpful means for an individual to gain experience that may lead to unsubsidized employment.

The WEX training services are available to youth who, after evaluation and assessment, are determined to be unlikely or unable to obtain or retain employment. A WEX is for individuals with barriers to employment due to chronic unemployment or inconsistent work history. WEX training may include paid or unpaid wages and may be in the private for-profit sector, the non-profit sector, or the public sector. Youth WEX must be linked to a career goal and based upon the participant’s interest and aptitude.

A WEX has the following characteristics:

- Provides a time limited work experience;
- Enables an individual to establish a work history;
- Enables an individual to demonstrate work success;
- Combines with career services and supportive services; and,
- Develops basic work skills that lead to unsubsidized employment.

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



upon the promotional opportunities of current employees as defined in the Fair Standards Act.

The difference between a WEX and an On-The-Job Training (OJT) contract is that in a WEX job there is no expectation that the individual will continue his or her hire with the employer after the work experience is complete. WEX jobs are an effective solution for individuals to gain necessary work experiences that they would otherwise not be able to get through classroom training or an OJT contract.

This policy outlines the guidelines to follow for WEX training activities for WIOA Youth.

**Changes:** Please note the following changes to the policy:

- Removed the Out-of-School Youth restriction of 6/hr/day.
- Removed the In-School Youth restriction of 8/hr/day.

**Action:** All NCWorks NextGen staff must adhere to the policies outlined for Workforce Innovation Opportunity Act (WIOA) funded Work Experience training activities for eligible Youth. This policy replaces the WIOA Youth Work Experience Policy PY17-09 sent out on November 19, 2017. Please share with staff as appropriate.

**Effective Date:** July 1, 2019

**Expiration:** In effect until rescinded

**Contact:** Arva Gathers  
Arva.gathers@wakegov.com  
919.856.5663

**Attachment:** WIOA Work Experience Policy and Guidelines  
Work Experience Worksite Agreement  
Work Experience Evaluation Form

## **CAPITAL AREA YOUTH WORK EXPERIENCE POLICY AND GUIDELINES**

Work Experiences (WEX) for WIOA Youth focus on learning new transferrable skills and enhancing employability. NCWorks NextGen staff shall ensure that WEX training for WIOA Title I eligible participants is appropriate based on the needs identified by an objective and comprehensive assessment and as documented in the Individual Service Strategy (ISS). The ISS should clearly indicate how this activity is going to help the participant move from the WEX to unsubsidized employment or on to further training. Documentation of the need for work experience that is tied to and supported by academic and occupational education and the objectives of the work experience must be detailed in the ISS.

Periodic evaluation of the participant's learning and attainment of skills during the work experience, including information about any incentive payments made, should be documented in case notes in NCWorks Online. When possible, it is strongly encouraged that the WEX and its associated training components be directly tied to the attainment of a credential and documented in the ISS. Staff should use either O\*NET or other identified tools when developing the competencies to be learned and evaluated in the WEX. The ISS should include the job skills needed, training hours, and estimated start and end dates. Youth academic and occupational components must also be included.

The determination of the duration of the WEX should be based on the academic and occupational competencies the WIOA participant needs to develop or refine and must be specified in the ISS. Academic skills training could be basic skills education or high school equivalency training. Occupational skills competencies may be gained through the WEX, HRD classes or through courses specific to the job/career/occupation in which the individual is having the work experience.

### Youth Work Experience Opportunities

Pursuant to WIOA section 129(c)(2)(C), local Workforce Development Boards (WDB) are required to offer youth programs that involve paid and/or unpaid work experiences that have as a component both academic and occupational education. The educational component may occur concurrently or sequentially with the work experience. Further academic and occupational education may occur inside or outside the work site. Work experiences provide the youth participant with opportunities for career exploration and skill development. These experiences may include:

- (1) Summer employment opportunities and other employment opportunities available throughout the school year;
- (2) Pre-apprenticeship programs;
- (3) Internships and job shadowing; and
- (4) On-the-job training (OJT) opportunities as defined in WIOA Section 3(44) and NC Policy Statement 04-2015.

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Recognized best practices for engaging youth in work experiences:

(1) Programs prepare youth for work experiences through training and guidance in soft skills. Youth programs engage young adults in training or class activities that develop these soft skills. This may include learning about professional work culture, working in teams, interpersonal skills, and communication.

- (2) Some programs also train youth in technical skills or hard skills needed for specific career pathways or work settings. Youth will learn skills specific to an occupational sector.
- (3) Program staff devote significant time to developing and maintaining relationships with employers. Dedicated staff (job developers) may handle all aspects of employer relations, from making an initial inquiry about partnering to establishing worksite agreements with employers, to responding to any employer concerns during the work experience.
- (4) Programs clearly communicate what is expected of employers, youth, and families before the start of a work experience to include mentoring the youth and providing feedback to the program coordinator. Some programs address the importance of work in life, how the program helps youth make a successful transition to work, what employers expect of workers, and how to appropriately interact with employers.
- (5) Programs carefully match youth to work experience opportunities based on individual interests and skills. Making the right match increases the success of the work experience by ensuring that youth feel motivated from the start to participate fully.
- (6) Programs provide on-going support to youth and employers throughout the work experience. To ensure a work experience is successful for everyone involved, programs maintain communication with both the youth and employers from the first to the last day of the WEX. While some programs have daily or weekly contact with youth to monitor their progress, other programs conduct first-week, midpoint, and last-week work site visits at a minimum.

#### Youth Work Experience – 25% Spending Requirement

Capital Area NextGen programs must expend not less than 25% of the Title I youth funds allocated to provide out-of-school youth and in-school youth with paid and/or unpaid work experience opportunities, as defined above.

NextGen programs must track funds spent on paid and unpaid work experiences, including wages and staff costs for the development and management of work experiences, and report such expenditures as part of the Capital Area's WIOA youth financial reporting.

#### Correlation with ISS

1. A WIOA youth should only be placed in a work experience after his/her assessment and ISS have been completed. The work experience should be based on a youth's career interest and designed to help a youth meet his/her program goals.

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2. Progress must be tracked and recorded in all youth's ISS, at a minimum, every 60 days.
3. Youth who are placed in a Work Experience must have a work experience activity recorded in NCWorks Online, reflecting the actual start and end dates of the work experience.

#### Prerequisites for a Work Experience Activity

1. A youth must be assessed to determine their strengths to employment.
2. Youth who do not have a high school diploma or high school equivalency must be enrolled in a high school equivalency program.

#### Duration of Work Experiences, and Hours Limitations

1. The total maximum number of hours for each subsidized work experience will not exceed 640 hours for out-of-school youth and 480 hours for in-school youth.
2. Subsidized work experiences during the school year for in-school youth must not exceed 30 hours per week.
3. Subsidized work experiences for out-of-school youth must not exceed 40 hours per week.
4. WIOA participants will not be placed in more than two subsidized work experiences per program year.
5. Total lifetime hours of participation in work experiences for a participant will not exceed 2560 hours for out-of-school youth and 1920 for in-school youth.
6. Exceptions to the maximum number of hours for each subsidized work experience will be considered under special conditions with special approval. Special approvals must be requested through e-mail to the appropriate Capital Area staff.

#### Work Experience Wages

Work experience job assignments may be paid or unpaid. If a paid work experience, individuals must be compensated at the same rates, including periodic increases, as trainees, or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills. The rates may not be lower than the higher of the federal or state minimum wage.

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

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### Skills Analysis

An individualized WEX skills analysis must be performed to determine the acquisition of skills that the participant does not already possess. Skills the participant may have acquired from previous work, volunteer work or life experiences are potentially transferrable and can be used in every occupation, regardless of the type of work. Transferrable skills are unlike job-related skills, which tend to be used only in one type of work.

This analysis will contain occupationally specific skills that the employer requires for competency in the WEX occupation. An analysis of the trainee's prior work history (if any), transferrable work skills, and the job skills gained must be compared to the job skills/job description the employer requires in the WEX occupation. The resulting gap in skills will be the basis for the development of the WEX.

There are a number of assessment tools available that may be used to conduct a skills gap analysis and provide adequate documentation of the process utilized. These include YouScience, an Internet-based assessment tool used to determine an individual's level of skills and interest in a particular occupation, as well as the O\*NET Online website (<https://www.onetonline.org/>) and mySkills myFuture web site (<https://www.myskillsmyfuture.org/>) which have both been developed by the U.S. Department of Labor.

### Training Plan

A training plan is not required but could be beneficial to the NCWorks NextGen staff and participant to outline the objectives of the WEX. The WEX Training Plan can also serve as a tool for staff to monitor and evaluate the WEX. It serves as a baseline when establishing whether the needs of the WIOA participant and the employer's expectations of training and development have been met. Objectives of the work experience must be outlined for the participant whether or not a training plan is used.

### Choosing a Worksite

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

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

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Capital Area strongly discourages the practice of placing participants in WEXs located at the board office, NCWorks Career Center, NCWorks NextGen Centers or administrative entity locations due to the potential of conflicts of interest. Placement at these locations should only be allowed where there is specific documentation in the file that the particular experience meets the participant's career goals and skills needs **AND** there are no other placement opportunities available.

### The Worksite Agreement

There must be a WEX Worksite Agreement between the NCWorks NextGen Center and the employer that articulates the learning that is to take place, and the length of the WEX. The Worksite Agreement must be completed and signed prior to the start of the WEX. NCWorks NextGen staff will use a standardized Worksite Agreement template developed by Capital Area staff. Additionally, NCWorks NextGen staff must provide documentation that the employer received formal WEX training.

The purpose of the worksite agreement is to establish a formal training relationship with a worksite, to specify the responsibilities of each party to the agreement, and to provide a successful, enriching WEX job experience for the WIOA participant. A signed original of the Worksite Agreement must be kept on file at the worksite and the NCWorks NextGen staff must maintain all WEX documents and case notes in NCWorks Online.

The following items are the minimum required terms and conditions of a Capital Area Worksite Agreement. Other specifications or terms specific to the NCWorks NextGen and/or the worksite may be added as needed.

1. Name of parties to the Agreement
2. Duration of the work experience – based on the assessment conducted
3. Participant's name
4. Supervisor's name, title and contact information
5. Work experience job title
6. O\*NET code
7. Worksite name and address
8. Work schedule – to include hours per day/week, and maximum training hours
9. How time and attendance is recorded
10. Who is responsible for accuracy of the timesheets
11. Wages – to include rate, pay schedule and any scheduled increases expected
12. How parties may terminate the Agreement
13. Attachments
  - a. Job Description including job title
  - b. Work Experience Evaluation form
14. Signatures from an authorized NCWorks NextGen representative and an authorized worksite representative

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### Additional Required Forms for Work Experiences

As a part of arranging work experiences for WIOA participants, NCWorks NextGen staff is responsible for ensuring that the following appropriate documentation/tax forms are collected/completed prior to the beginning of the work experience. (This is in addition to any required eligibility documentation.) Keep in mind that for WIOA-subsidized work experiences, the NCWorks NextGen Center is the "Employer" and the business or agency location where the participant works is the "Worksite."

- a. *Social Security Card:*  
NCWorks NextGen staff must have a copy of a participant's original, signed Social Security card prior to the participant beginning a work experience.
- b. *Federal W-4 Form:*  
Each participant must completely fill out the Federal W-4 form. If a participant meets the qualifications for being exempt from paying withholding tax, he or she should leave the allowances section (#5) blank and write "*Exempt*" in the exemption section (#7). A participant cannot have 0 or 1 allowance and be exempt at the same time.
- c. *State NC-4 Form:*  
Each participant must completely fill out the State NC-4 form. If a participant meets the qualifications for being exempt from paying withholding tax, he or she should leave the allowances section (#4) blank and write "*Exempt*" in the exemption section (#6). A participant cannot have 0 or 1 allowance and be exempt at the same time.
- d. *Employment Eligibility Verification Form (I-9):*  
Each WIOA participant must complete an Employment Eligibility Verification Form (I-9) to verify eligibility to work in the United States. The participant will complete and sign Section 1 and WIOA staff will complete and sign Section 2, including the ***Certification*** section.
- e. *Work Permit* (required for participants under 18 years of age)  
All participants under age 18 must have a work permit before beginning a work experience. Work permits may be obtained from the Wake County Human Services or Johnston County Department of Social Services or downloaded from [www.wakegov.com](http://www.wakegov.com). This site also has instructions for completing the work permit and other sites where a work permit may be obtained.

Instructions for completing a work permit:

- The participant should complete the top sections from "Name" through "Zip code."

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- NextGen staff complete the remaining sections from "Job Description" through "Area Code and Phone Number," then sign the form.
- The participant's parent or guardian must sign the form.
- Take the completed form, along with a "Proof of Age" document (ex: birth certificate, driver's license, etc.), to the Department of Social Services or an approved designee. Once the information has been verified, the youth will be asked to sign the form in the presence of the issuing officer.
- The employer's copy of the work permit should be kept at the worksite where the participant is working and a copy should be kept in the youth's file with the WIOA contractor.

### Evaluation

Once a participant has begun the work experience, a staff member must maintain contact with the participant, including counseling, if needed. The initial contact with the business and the participant should occur within the first ten days of the placement.

At a minimum, an evaluation (using the attached evaluation form) must be completed at the following milestones of the work experience:

- 1) Midpoint of training to determine progress of the participant. The Midpoint Evaluation form must be completed at the midpoint of the work experience. The form stating the attainment of the required job skills objectives must be signed by the supervisor and the participant. Any necessary adjustments to the job skills objective(s), training plan (if applicable) and ISS are made at this time. The participant's immediate supervisor should be contacted periodically to verify progress in the mastery of skills.
- 2) Conclusion of training to document the mastery of the required skills. Completion of the final skills evaluation section of the evaluation form signals the completion of the work experience. The final skills evaluation section of the evaluation form must be signed by the supervisor and the participant.

Completed evaluation forms must be kept in NCWorks online with the participant's records.

### Outside Funding

In the event that Capital Area receives additional outside funding through grants or other opportunities that allow for WEXs/Internship, additional guidelines may be released for some or all of the following items, as appropriate:

- Reimbursement rates
- Number of allowed hours
- Wage rates
- Timeframes
- Eligibility criteria

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The guidelines issued will be specifically for that grant and will follow all rules and regulations under that grant. This WIOA Adult/DW WEX/Internship policy must be followed for any item listed above that is not specifically addressed in other grant guidelines.

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**Capital Area Workforce Development Consortium  
Workforce Innovation and Opportunity Act (WIOA)**

**Work Experience (WEX) Worksite Agreement**

The purpose of this Worksite Agreement is to establish a formal training relationship with a worksite, to provide assurances by both parties, specify the responsibilities of each party to the Agreement, and to provide a successful, enriching WEX job experience for the WIOA participant. A signed original copy of the Worksite Agreement must be kept on file at the worksite.

This Agreement is made between \_\_\_\_\_ (NCWorks NextGen Center) and  
\_\_\_\_\_ (WIOA Worksite)

a ☐ **public** ☐ **non-profit** or ☐ **private-for-profit business/organization** to provide subsidized or unsubsidized internship/work experience to eligible youth participating in the Capital Area WIOA Program, authorized and funded under the Workforce Innovation and Opportunity Act. Under this Agreement, participants will be provided a short-term work experience which is valuable and meaningful for both the participant and the worksite.

The Work Experience job assignment will be consistent with the WIOA participant's capabilities and interests and in an occupational field or specific job in which he/she has minimal or no prior work experience. WIOA-funded work experience job assignments are expected to help individuals gain the skills and experience they need to succeed in the workplace and obtain unsubsidized employment.

**Term:** This agreement will take effect on \_\_\_\_\_ and terminate no later than \_\_\_\_\_.  
(Date) (Date)

**Participant's Name:** \_\_\_\_\_

**Supervisor's Name/Title:** \_\_\_\_\_

**Supervisor's Phone:** \_\_\_\_\_ **E-mail:** \_\_\_\_\_

**Job Assignment Information**

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

**O\*NET Code:** \_\_\_\_\_

**Worksite Name/Address:** \_\_\_\_\_

**Maximum WEX Hours:** \_\_\_\_\_ **Hours per Day/Week:** \_\_\_\_\_

**How will time and attendance be recorded?** \_\_\_\_\_

**Who is responsible for timesheet accuracy?** \_\_\_\_\_

**Starting Wage:** \$\_\_\_\_\_/hr **Ending Wage:** \$\_\_\_\_\_/hr **Pay Day (circle):** S M T W Th F S

**Pay Schedule:** [ ] Monthly [ ] Weekly [ ] Bi-Weekly [ ] Other \_\_\_\_\_

**This Worksite Agreement provides the following assurances by both parties:**

- 1) Uphold all requirements and regulations governing the WIOA program;
- 2) Ensure that if a paid work experience, individuals are compensated at the same rates, including periodic increases, as trainees, or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills. The rates will not be lower than the higher of the federal or state minimum wage;
- 3) Ensure that the total maximum number of hours for the work experience will not exceed the total maximum WEX hours stated on the Worksite Agreement; and,
- 4) Assure that no person on the grounds of race, creed, color, disability, national origin, sex, age, political affiliation, or beliefs, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under the Workforce Innovation and Opportunity Act.

**NCWorks NextGen Center Responsibilities:**

- 1) Refer only WIOA-eligible youth workers to the worksite;
- 2) Handle all payroll duties for the participant;
- 3) Obtain Worker's Compensation Insurance to cover all WIOA participants engaged in an internship or work experience at a worksite;
- 4) Counsel the participant, as necessary, throughout the duration of the work experience;
- 5) Evaluate progress of the participant, at a minimum of, the mid-point and at the end of the work experience; and
- 6) Find a mutually satisfactory solution if difficulties arise that the worksite supervisor and participant are unable to resolve, which may include a recommendation of termination or transfer of the participant.

**Worksite Responsibilities:**

- 1) Provide sufficient, meaningful work to keep WIOA participants fully occupied during work hours;
- 2) Provide a safe work environment;
- 3) Provide adequate full-time supervision of each WIOA participant by qualified supervisors;
- 4) Notify NCWorks NextGen staff if difficulties arise which the Worksite supervisor and participant are unable to resolve;
- 5) Provide adequate oversight and review of each participant's time and attendance;
- 6) Provide participant with sufficient equipment and/or materials to carry out assignments;
- 7) Maintain this agreement at the Worksite and available for review by federal, state, local area and NCWorks NextGen representatives;
- 8) Allow on-site monitoring visits from the NCWorks NextGen Center, Capital Area Workforce Development, the North Carolina Division of Workforce Development, and /or the US Department of Labor;
- 9) Adhere to existing State and Federal labor standards;
- 10) Assure that the participating worksite has not relocated this establishment and commenced operations in the past 120 days, where the relocation resulted in the loss of employment at the original location; and,
- 11) Assure that no WIOA participant shall be employed or job opening filled (A) when any other individual is on layoff from the same or any substantially equivalent job, or (B) when the Worksite has terminated the employment of any regular employee or otherwise reduced its workforce with the intention of filling the vacancy so created by hiring a participant whose wages are subsidized under this Act.

**Work Activities**

A written job description **must** be attached to this Agreement. The job description must include:

- (1) Job Title
- (2) Accurate description of required duties and responsibilities

If the WIOA participant’s job duties at the Worksite change, the Worksite agrees to notify the NCWorks NextGen staff immediately so that this agreement may be modified.

**Time and Attendance**

Accurate time and attendance records will be kept by the Worksite supervisor for each WIOA participant. Records will reflect the time actually worked by the participant. **Participants will not be paid for time not engaged in work duties, including absences, lunch periods, vacation time, or holidays. Under no circumstances should a WIOA participant work over 40 hours in a week for out-of-school youth and 30 hours in a week for in-school youth.**

**Supervision**

Worksite supervisors must be experienced in the work to be performed by the WIOA participant and in supervising entry-level employees. Worksite supervisors should encourage, and expect participants to demonstrate good work habits, satisfactory job performance, and positive attitudes about work.

**Termination of Agreement**

Both parties agree that this Worksite Agreement may be terminated by either party with a written 5-day notice.

**Authorized Signatures**

**Worksite Representative**

By my signature below, I attest to being an authorized representative of the worksite in a position to commit to the terms of this Worksite Agreement.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Print Title

Worksite Business Name and Address

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

**NCWorks NextGen Center Representative**

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Print Title

NCWorks NextGen Center Name and Address

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

# Capital Area NCWorks Career Center Internship/Work Experience Evaluation Form

Participant Name: \_\_\_\_\_

Supervisor Name: \_\_\_\_\_

## Section 1: Evaluation

Company Name: \_\_\_\_\_

JOB SKILLS OBJECTIVES	MIDPOINT EVALUATION OF SKILLS	MIDPOINT EVALUATION DATE	FINAL EVALUATION OF SKILLS	FINAL EVALUATION DATE
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
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## Section 2: Authorized Signatures

### Midpoint Evaluation

<i>I hereby certify that the above information is accurate.</i>	
SUPERVISOR SIGNATURE:	DATE:
PARTICIPANT SIGNATURE:	DATE:

### Final Evaluation

<i>I hereby certify that the above information is accurate.</i>	
SUPERVISOR SIGNATURE:	DATE:
PARTICIPANT SIGNATURE:	DATE:

- ☐ Having satisfied the requirements of the internship/WEX, the participant has successfully completed the internship/WEX.

## Section 3: Comments (please explain any unsatisfactory evaluation items)


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	<b>PY20-06</b>
	<b>NCWorks Career Center staff</b>
	<b>August 19, 2020</b>
	<b>WIOA Supportive Services Policy</b>

**Purpose:** To rescind policy #PY20-04 and transmit a new WIOA Supportive Services policy for WIOA Adults and Dislocated Workers.

**Background:** On July 22, 2014, President Obama signed the Workforce Innovation and Opportunity Act (WIOA) into law. WIOA includes new provisions that can significantly improve job training and employment for adults and youth.

Under WIOA, funds allocated to a local area for adults under paragraph (2)(A) or (3), as appropriate, of section 133(b), and funds allocated to the local area for dislocated workers under section 133(b)(2)(B), may be used to provide supportive services to adults and dislocated workers, respectively— (A) who are participating in programs with activities authorized in paragraph (2) or (3) of subsection (c); and (B) who are unable to obtain such supportive services through other programs providing such services.

The term “supportive services” means services such as transportation, childcare, dependent care, housing, and needs-related payments, that are necessary to enable an individual to participate in activities authorized under WIOA. Based on funding and other criteria, local areas determine the appropriate supportive services allowed in their area.

**Changes:** Please note the following change(s) to the policy:

- All supportive services may be administered in-person or virtually.
- The Capital Area Service Provider is responsible for employing additional strategies to eliminate the possibility of fraud.
- In addition to documenting supportive services on the Individual Employment Plan (IEP), and as a Supportive Services activity, NextGen Center Staff must also document the need for supportive service(s) in the Objective Assessment and the case notes in NCWorks.

**Action:** Rescind Supportive Services policy PY20-04  
NCWorks Career Center staff will adhere to the attached policy.

**Effective Date:** Immediately

**Expiration:** In effect until rescinded

**Attachment:** Capital Area WIOA Adult and Dislocated Worker Supportive Services Policy  
Attachment A: Finish Line Grant Guidelines  
Attachment B: Supportive Services Authorization Form

## **Capital Area WIOA Adult and Dislocated Worker Supportive Services Policy**

Supportive services are services that are necessary to enable individuals to participate in WIOA authorized activities. Supportive services are outlined in WIOA sec. 3(59) and secs. 134(d)(2) and (3).

NCWorks Career Center staff will use this policy and procedures contained within to determine participant needs related to supportive services and to authorize payments, purchases, and/or reimbursement of allowable supportive services costs. This policy addresses requirements and restrictions for supportive services provided using WIOA Adult and Dislocated Worker formula funds.

In the event that Capital Area receives additional funding through grants or other opportunities that allow for supportive services, additional guidelines may be released for some or all of the following items, as appropriate:

- Allowable expenditures
- Unallowed expenditures
- Reimbursement rates
- Payment methods
- Eligibility criteria

The guidelines issued will be specifically for that grant/opportunity and will be included in this policy as an attachment. The guidelines will follow all rules and regulations under that funding source.

This WIOA Adult/DW Supportive Services policy must be followed for any item listed above that is not specifically addressed in the guidelines for that special funding.

Attachment A: Finish Line Grant Guidelines

### **GENERAL GUIDELINES**

1. All supportive services may be administered in-person or virtually.
2. Capital Area Service Providers are responsible for employing additional strategies to eliminate the possibility of fraud.
3. WIOA funds can only be spent on supportive services for participants enrolled in one or more allowable/appropriate WIOA activity(ies).
4. NCWorks Career Center staff is responsible for making a determination of the supportive services needed for a participant and whether or not the services are available through other resources without using WIOA funds. NCWorks Career Center staff should give consideration to the participant's own resources and family resources as well as those resources that may be provided by other agencies/organizations.
5. All payments for supportive services using WIOA funds must be approved in writing, by authorized NCWorks Career Center staff prior to making the payments. The Talent Development scholarship process and guidelines must be followed prior to approval and payment of supportive services funds.
6. Payment can be issued directly to a vendor or as reimbursement to a participant who has valid receipts for purchases or payments already made. Keep in mind that written approval by authorized NCWorks Career Center staff must precede payment or reimbursement.

7. Workforce Innovation and Opportunity Act (WIOA) funds may be used to provide WIOA enrolled customers with needed supportive services **only if both of the following conditions apply:**
  - a. the individual is unable to obtain supportive services through other programs/organizations providing such services, **and,**
  - b. supportive services are necessary to enable the individual to participate in WIOA activities.
8. NCWorks Career Center staff are responsible for documenting supportive services in NCWorks Online as follows:
  - a. Objective Assessment – Staff must document the need for supportive service(s) in the objective assessment.
  - b. Individual Employment Plan (IEP) – Staff must document the need for supportive service(s) in the IEP.
  - c. Supportive Services activity – Staff must complete a supportive services activity for the individual. Staff must also provide an explanation indicating that “the service(s) are not otherwise available” in the case note section of the supportive services activity.
  - d. Case Notes - Must include the following information:
    - Document the participant’s need for the supportive service, including the specific barrier that the supportive service will address.
    - Document the efforts made to secure the needed supportive service from other community organizations.
    - Document the specific supportive service that is to be provided.
    - Record the obligation amount in NCWorks Online attached to each supportive service case note.

## **ALLOWABLE SUPPORTIVE SERVICES**

### **Transportation Assistance**

Ongoing transportation-related expenses that may be paid with WIOA funds include:

Public/Private Bus Tickets

Carpool/Van Fees

Taxi/Uber/Lyft Fares (limited basis only, as a last resort, maximum \$10 per day)

Parking Fees

Mileage Reimbursement

- to a WIOA participant, or;
- to an individual transporting a WIOA participant

1. Costs for transportation services necessary for a WIOA Adult or DW to participate in WIOA activities such as transportation to and from occupational skills training, and/or a subsidized or unsubsidized job may be paid with WIOA funds.
2. Payment of transportation costs to and from a paid work experience, OJT, or other paid employment activity will be limited to assistance only until the participant receives his/her first paycheck.
3. Payments for on-going transportation services with WIOA funds must be reasonable/not excessive.



4. WIOA participants who drive to and from a training site/school may be reimbursed at a rate not to exceed thirty cents (.30) per mile, or \$10.00 maximum per day, or \$50.00 maximum per week. The total round-trip mileage going to and from a training site/school must be determined and documented prior to authorizing a mileage reimbursement for a participant. Mileage reimbursement for driving to and from a training site/school is limited to one round trip per day to the same training site/school.
5. NCWorks Career Center staff is responsible for ensuring that transportation services are paid only for actual days in school, at work, and/or days of participation in a WIOA activity. The use of a timesheet or other attendance record is required to document attendance and authorize supportive service payments.

### **Exam and Testing Fees**

Exam and testing fees are paid out of supportive services funds.

- If an individual does not pass a test/exam on the first try, supportive service funds can be used for them to retake the test/exam one time.
- Participants can be reimbursed for additional exam and testing fees if they pass **and** provide verification of the credential or certification received.

### **OTHER ALLOWABLE SUPPORTIVE SERVICES**

Based on an assessment of individual needs, personal and family resources, and assistance available from other organizations/agencies, staff may authorize WIOA funds for other supportive services as follows:

- Clothing and other items (tools, etc.) required for an interview, employment and/or training
- Reasonable accommodations for Persons with Disabilities (special services, supplies, assistive technology, etc.)
- Records required for employment (birth certificate, background check, etc.)
- Other employment-related needs

### **UNALLOWED SUPPORTIVE SERVICES**

- Dependent care costs
- Penalties
- Court costs
- Other related criminal fees
- Set up fees for utilities, rent, or rent down payment

### **SPECIAL APPROVAL SUPPORTIVE SERVICES**

Exceptions to the supportive services policy may be requested on a case-by-case basis by e-mailing the Capital Area Adult Coordinator with the following information.

- a. Name of participant
- b. Type of support requested
- c. Time frame support needed
- d. Dollar amount of support expected
- e. Reason for the request

After review of the information provided, the Adult Coordinator will respond by e-mail, within ten business days with a determination. If denied, the determination will include justification for the decision.

## **Capital Area Finish Line Grant Supportive Services Expenditures Guidelines**

Finish Line Grant expenditures fall under the heading of supportive services in WIOA Title I. see WIOA sec. 3(59) and secs. 134(d)(2) and (3). Supportive services are services that are necessary to enable individuals to participate in WIOA authorized activities.

Capital Area Workforce Development (CAWD), under WIOA, has the authority to make policy and administrative decisions and the flexibility to tailor the public workforce system to the needs of the local community. CAWD has the discretion to provide the supportive services deemed appropriate subject to the limited conditions prescribed by WIOA. Decisions about the provision of Finish Line Grant funds, including the duration, timing, and type, are made by CAWD.

These expenditures must be reasonable, allowable, necessary, and address a financial need that will enable the student to continue training. Care must be given to be sure that the expenditure solves a short-term problem and not simply applies a “down payment” on a chronic financial problem. All efforts should be made to disburse the grant funds to the provider of a service, instead of to the student. Examples would include paying a mechanic directly for auto repairs, or an eyeglasses provider for a new pair of glasses for a student.

In the Capital Area, there is a limit of one grant award, up to \$1,000, per student per semester.

### **Examples of Allowable Expenditures for Finish Line Grants**

**Transportation.** Transportation assistance may be provided to assist the student to get to the community college or other places that support WIOA activities. Transportation assistance may be paid in advance based on a plan for the transportation cost. Examples are bus passes and gasoline assistance. *Mileage will be paid at the Federal reimbursement rate.*

**Auto Repairs.** Auto repair payments that allow a participant to participate in educational and training activities are allowed. This includes repairs of an immediate need. Normal vehicle maintenance costs are not allowed. If a participant is repairing a personal vehicle, Finish Line Grant funds may be used to purchase the parts. Auto repair may not exceed the amount of the vehicle. Capital Area staff and NCWorks Career Center staff should take into consideration if public transportation would be a more feasible option for the participant and, if so, Finish Line Grant funds will not be required.

**Child Care.** Child care assistance for children ages 12 and under who reside in the home of the student are allowed if other resources are not available. Expenditures may be limited to a daily maximum per child. Birth certificates may be required to verify the ages of children.

Payments for child care may be required by the provider for a space to be maintained for the child even when the child is not in attendance for sickness or holidays. If this is the policy of the child care center, the provider may be required to provide verification of that for the day(s) in question.

**Dependent Care.** Dependent care assistance may be utilized to help a participant meet their family care needs during participation in their educational activities. Dependent care service providers should be selected by the student. Capital Area staff and NCWorks Career Center staff should ensure that Finish Line Grant funds do not duplicate dependent care assistance available from another source.

**Housing Assistance.** Housing assistance provided to students allows students to maintain or obtain adequate or temporary shelter while participating in educational activities. Finish line Grant funds may not pay for rental deposits or mortgage payments. Students needing housing assistance should be referred to community housing assistance programs if applicable. Capital Area staff and NCWorks Career

Center staff must ensure WIOA Title I funds do not duplicate housing assistance from another source.

**Accommodations for Individuals with Disabilities.** Finish Line Grant funds may be utilized to assist a student who needs accommodations to enable them to participate in their educational activities. Capital Area staff and NCWorks Career Center staff should ensure that grant do not duplicate funds provided by another source. A referral to Vocational Rehabilitation may be appropriate and, if so, Finish Line Grant funds would not be required.

**Utility Bills.** Students may obtain assistance in paying for utility bills, including water, gas and electric bills. Care should be taken to ensure that the grant funds do not duplicate assistance from another source.

**Internet.** Finish Line Grants may be used to pay an internet service bill or to set up internet service needed for current course work. In some cases, it may be difficult to avoid payment for “bundled services” that include cable television, etc., rather than solely internet service. Capital Area and NCWorks Career Center staff should be mindful that often the entire bundled service must be paid to keep internet functioning, and therefore, should not disqualify students from receiving a FLG due to bundled service.

**Referrals to Health Care.** Students in need of medical or counseling services should be referred to other community medical resources if applicable. Capital Area staff and NCWorks Career Center staff should ensure Finish Line Grant funds do not duplicate medical assistance available from another source. The referrals include DOT physicals, drug screens, required immunizations, dental, ophthalmologist, drug and alcohol counseling, mental health counseling, behavioral counseling, etc.

**Assistance with Books and School Supplies.** Grant funds may be utilized to assist a student attending approved education classes with books, fees, school supplies, and other necessary items related to their education.

**Assistance with Tuition and Fees.** In the context that the student has an emergency financial challenge that has negatively impacted the student’s ability to pay for tuition and fees, then Finish Line Grant funds may be used to pay tuition and fees, however, it is not the intent of the grant program to function solely as a scholarship for a student’s tuition and fees.

### **Examples of Unallowed Expenditures for Finish Line Grants**

Finish Line Grant funds are **not** to be used for student expenses that are not allowed as supportive services including:

- Titled or deeded items or when recovery of the expense is anticipated (e.g. rent or housing deposits, mortgage payments, property taxes, fines and late fees)
- Purchase of vehicles
- Business startup costs
- Computer purchases
- Car payments
- Phone bills



## **SUPPORTIVE SERVICES AUTHORIZATION FORM**

Through a comprehensive and objective assessment of each customer's individual needs, NCWorks Career Center staff will assess the supportive services necessary for customers to participate in, and successfully complete services (Intensive, Training, Youth Service Elements, and/or Follow Up).

NCWorks Career Center staff is responsible for making a determination of the supportive services needed for a customer and whether or not the services are available through other resources. NCWorks Career Center staff should give consideration to the participant's own resources and family resources as well as those resources that may be provided by other agencies/organizations prior to authorizing funding.

NCWorks Career Center staff will complete the information below to authorize supportive services. A new authorization form must be completed to record changes in amounts or the kind of WIOA assistance provided.

\_\_\_\_\_  
*Print Customer's Name and Last 4 digits of Social Security Number*

\_\_\_\_\_  
*Program and Activity Name/Type*

\_\_\_\_\_  
*Training Site (If Applicable)*

### **Authorization of Payment for Day Care**

\$ \_\_\_\_\_  
*Amount per Day or Week*

\_\_\_\_\_  
*Effective Date*

### **Authorization of Payment for Transportation /Mileage Reimbursement**

\$ \_\_\_\_\_  
*Amount per Mile or Day*

\_\_\_\_\_  
*Effective Date*

### **Authorization for Other Transportation Assistance**

\_\_\_\_\_  
*Specify type (Bus Tickets etc.) and Amount Approved*


\_\_\_\_\_  
*Effective Date*

### **Authorization for Other Allowable Supportive Services**

\_\_\_\_\_  
*Specify type (car repair, rent, etc.) and Amount Approved*

\_\_\_\_\_  
*Effective Date*

\_\_\_\_\_  
NCWorks Career Center Staff Signature and Date

	<b>PY20-05</b>
	<b>NCWorks NextGen staff</b>
	<b>August 19, 2020</b>
	<b>WIOA Youth Supportive Services Policy</b>

**Purpose:** To rescind policy #PY20-01 and transmit a new WIOA Supportive Services policy for Youth.

**Background:** On July 22, 2014, President Obama signed the Workforce Innovation and Opportunity Act (WIOA) into law. WIOA includes new provisions that can significantly improve job training and employment for adults and youth.

Under WIOA, youth funds used to support the attainment of a secondary school diploma or its recognized equivalent, entry into postsecondary education, and career readiness for participants through youth programs shall consist of fourteen elements including supportive services.

The term “supportive services” means services such as transportation, child care, dependent care, housing, and needs-related payments, that are necessary to enable an individual to participate in activities authorized under WIOA. Based on funding and other criteria, local areas determine the appropriate supportive services allowed in their area.

**Changes:** Please note the following change(s) to the policy:

- All supportive services may be administered in-person or virtually.
- The Capital Area Service Provider is responsible for employing additional strategies to eliminate the possibility of fraud.
- In addition to documenting supportive services on the Individual Service Strategy (ISS), and as a Supportive Services activity, NextGen Center Staff must also document the need for supportive service(s) in the Objective Assessment and the case notes in NCWorks.

**Action:** Rescind Youth Supportive Services policy #20-01  
NCWorks NextGen staff will adhere to the attached policy.

**Effective Date:** Immediately

**Expiration:** In effect until rescinded

**Attachment:** Capital Area WIOA Youth Supportive Services Policy  
Attachment A: Finish Line Grant Guidelines

## **Capital Area WIOA Youth Supportive Services Policy**

NCWorks NextGen Center staff will use this policy and procedures to determine participant needs related to supportive services and to authorize payments, purchases, and/or reimbursement of allowable supportive services costs. This policy addresses requirements and restrictions for supportive services provided using WIOA Youth formula funds.

In the event that Capital Area receives additional funding through grants or other opportunities that allow for supportive services, additional guidelines may be released for some or all of the following items, as appropriate:

- Allowable expenditures
- Unallowed expenditures
- Reimbursement rates
- Payment methods
- Eligibility criteria

The guidelines issued will be specifically for that grant/opportunity and will be included in this policy as an attachment. The guidelines will follow all rules and regulations under that funding source.

This WIOA Youth Supportive Services policy must be followed for any item listed above that is not specifically addressed in the guidelines for that special funding.

Attachment A: Finish Line Grant Guidelines

### **GENERAL GUIDELINES**

1. All supportive services may be administered in-person or virtually.
2. Capital Area Service Providers are responsible for employing additional strategies to eliminate the possibility of fraud.
3. WIOA funds can only be spent on supportive services for WIOA participants enrolled in one or more allowable/appropriate WIOA activity(ies).
  - a. For WIOA youth, this means that the youth is registered in NCWorks Online and has a WIOA activity that triggers participation.
  - b. Youth who receive WIOA supportive services must also be active in the WIOA youth activity for which the youth needs supportive services.
  - c. In addition, federal regulations allow supportive services to be provided as a part of the required WIOA youth follow-up activities after exit.
4. NCWorks NextGen Center staff is responsible for making a determination of the supportive services needed for a participant and whether or not the services are available through other resources without using WIOA funds. Staff should give consideration to the participant's own resources and family resources as well as those resources that may be provided by other agencies/organizations.

5. All payments for supportive services using WIOA funds must be approved in writing by authorized WIOA staff prior to making any payments. The authorization form must include the activity that the supportive service is related to. Keep in mind that a new authorization form must be completed when supportive services for a WIOA participant changes. (For example, a youth's residence changes causing the mileage reimbursement to change.)
6. Payment can be issued directly to a vendor or as a reimbursement to a participant who has valid receipts for purchases or payments already made. Keep in mind that written authorization by WIOA staff must precede payment or reimbursement.
7. WIOA funds may be used to provide WIOA participants with needed supportive services **only if both of the following conditions apply:**
  - a. the individual is unable to obtain supportive services through other programs/organizations providing such services, **and**,
  - b. supportive services are necessary to enable the individual to participate in WIOA activities.
8. WIOA staff are responsible for documenting supportive services in NCWorks Online as follows:
  - a. Objective Assessment – Staff must document the need for supportive service(s) in the objective assessment.
  - b. Individual Service Strategy (ISS) – Staff must document the need for supportive service(s) in the ISS.
  - c. Supportive Services activity – Staff must complete a supportive services activity for the individual. Staff must also provide an explanation indicating that “the service(s) are not otherwise available” in the case note section of the supportive services activity.
  - d. Case Notes – Must include the following information:
    - Document the participant's need for the supportive service, including the specific barrier that the supportive service will address.
    - Document the efforts made to secure the needed supportive service from other community organizations.
    - Document the specific supportive service that is to be provided.
    - Record the obligation amount in NCWorks Online attached to each supportive service case note.

## ALLOWABLE SUPPORTIVE SERVICES

### **Transportation Assistance**

One-time transportation-related expenses that may be paid with WIOA funds include:

- North Carolina Vehicle Registration Fee
- Vehicle Inspection Fee
- Vehicle License Plate
- North Carolina Driver's License

1. Payment of each of the above transportation costs is limited to one time per WIOA participant.

2. Payments for any of the above transportation-related needs are limited to the WIOA participant, i.e., payments for vehicle registration or inspection fee must be for a vehicle owned by the WIOA participant.
3. WIOA funds cannot be used to lease or purchase a vehicle or for a down payment toward the purchase of a vehicle.

Ongoing transportation-related expenses that may be paid with WIOA funds include:

- Public/Private Bus Tickets
  - Carpool/Van Fees
  - Taxi/Uber/Lyft Fares (limited basis only, as a last resort, maximum \$30 per day)
  - Parking Fees
  - Mileage Reimbursement
    - to an individual transporting a WIOA participant
    - to a WIOA participant
1. Costs for transportation services necessary for a WIOA youth to participate in WIOA activities such as transportation to and from occupational skills training, and/or a subsidized or unsubsidized job may be paid with WIOA funds.
  2. Payment of transportation costs to and from a paid work experience, OJT, or other paid employment activity will be limited to assistance only until the participant receives his/her first paycheck.
  3. Payments for on-going transportation services with WIOA funds must be reasonable/not excessive.
  4. WIOA participants who drive to and from a training site/school may be reimbursed at a rate not to exceed thirty cents (.30) per mile, or \$10.00 maximum per day, or \$50.00 maximum per week. The total round trip mileage going to and from a training site/school must be determined and documented prior to authorizing a mileage reimbursement for a participant. Mileage reimbursement for driving to and from a training site/school is limited to one round trip per day to the same training site/school.
  5. NextGen Center staff is responsible for ensuring that transportation services are paid only for actual days in school, at work, and/or days of participation in a WIOA activity. The use of a timesheet or other attendance record is required to document attendance and authorize supportive service payments.

### **Child/Dependent Care Assistance**

Based on a needs assessment of the child care costs necessary for a WIOA youth to participate in WIOA activities, and research of other potential child care resources, WIOA funds may be used to reimburse all or a portion of the participant's documented childcare expenses. The guidelines also apply to dependent care costs for a participant's parent or other senior family member provided that documentation is obtained to verify the dependent status of the parent or other senior family member and to verify the need for a caregiver.



1. All WIOA participants must provide written documentation from Wake and Johnston County childcare subsidy services verifying application for services.
2. The maximum rate of reimbursement for **licensed** child/dependent care supportive services is \$50 per child per day or the actual cost per day if less than \$50 per day. WIOA participants must provide written documentation from a daycare center or provider to substantiate actual costs and license/certification prior to authorization for WIOA supportive services.
3. WIOA funds may be used to pay child/dependent care expenses for a day care center/preschool or after-school program.
4. Child/dependent care supportive services may include one-time payments for registration fees.
5. WIOA staff is responsible for ensuring that child/dependent care supportive services are generally paid only for actual days in school, at work, and/or days of participation in a WIOA activity. The use of a timesheet or other attendance record is required to document attendance and authorize supportive service payments.
6. Some **licensed** daycare providers may have a policy that requires continued payment of the regular weekly or daily daycare charge during school breaks/holidays. Payment of WIOA supportive services childcare funds is allowable during scheduled school breaks such as semester breaks and holidays. The amount of payment during break periods will be the same as during regular school days. WIOA staff should discuss this with WIOA participants at the time childcare assistance is requested so that all required documentation is in place when the supportive services are authorized by staff.
7. Payment is allowable for a full week if the youth is attending GED, classroom training, or work-based learning activities classes 3 days per week, only if payment is required to retain the childcare “slot” at a daycare center.

## OTHER ALLOWABLE SUPPORTIVE SERVICES

Based on an assessment of individual needs, personal and family resources, and assistance available from other organizations/agencies, Staff may authorize WIOA funds for other supportive services as follows:

- Emergency housing, rent, utilities, car repairs, etc.
  - Clothing needed for an interview
  - Clothing and other items (tools, etc.) required for employment and/or training
  - Reasonable accommodations for persons with disabilities (special services, supplies, assistive technology, etc.)
  - Records required for employment (birth certificate, background check, etc.)
  - Other employment-related needs
1. Payment of supportive services for emergency needs such as emergency housing, utility payments, car repairs, etc. is limited to a **maximum** of \$750 per enrollment

year per WIOA participant and not to exceed \$2,250 over the course of enrollment in WIOA.

2. WIOA funds for emergency housing assistance should generally not include payments for stays at a hotel. More appropriate housing options should be used whenever possible.
3. Payment of supportive services for housing assistance and utilities may not include 'set up' of utilities, rent, or rent down payment.
4. Emergency housing situation (participant has no place to live) may qualify for utilities and/or rent/down payment assistance. The participant must have a documented budget plan in their file prior to payment.
5. Supportive services for emergency needs such as for housing, rent, utilities, car repairs, etc., may not be paid to a youth who has not actively participated in a WIOA activity within the last 30 days.
6. WIOA staff is responsible for obtaining written verification of the actual costs for all of the above supportive services prior to authorizing any WIOA funds to assist with these expenses.
7. All payments must be approved in writing by authorized WIOA staff and can be issued as payment directly to a vendor or as reimbursement to a WIOA participant who has valid receipts for purchases or payments already made. Keep in mind that written authorization by WIOA staff must precede payment or reimbursement.
8. Supportive service payments may be used for late fees or reconnect fees associated with delinquent client utility bills.

## **UNALLOWED SUPPORTIVE SERVICES**

- Penalties
- Court costs
- Other related criminal fees
- Set up fees for utilities, rent, or rent down payment

## **SPECIAL APPROVAL SUPPORTIVE SERVICES**

Exceptions to the supportive services policy may be requested on a case-by-case basis by e-mailing the Capital Area Youth Coordinator with the following information.

- a. Name of participant
- b. Type of support requested
- c. Time frame support needed
- d. Dollar amount of support expected
- e. Reason for the request

After review of the information provided, the Capital Area Youth Coordinator will respond by e-mail, within ten business days with a determination. If denied, the determination will include justification for the decision.

## **Capital Area Finish Line Grant Supportive Services Expenditures Guidelines**

Finish Line Grant expenditures fall under the heading of supportive services in WIOA Title I. see WIOA sec. 3(59) and secs. 134(d)(2) and (3). Supportive services are services that are necessary to enable individuals to participate in WIOA authorized activities.

Capital Area Workforce Development (CAWD), under WIOA, has the authority to make policy and administrative decisions and the flexibility to tailor the public workforce system to the needs of the local community. CAWD has the discretion to provide the supportive services deemed appropriate subject to the limited conditions prescribed by WIOA. Decisions about the provision of Finish Line Grant funds, including the duration, timing, and type, are made by CAWD.

These expenditures must be reasonable, allowable, necessary, and address a financial need that will enable the student to continue training. Care must be given to be sure that the expenditure solves a short-term problem and not simply applies a “down payment” on a chronic financial problem. All efforts should be made to disburse the grant funds to the provider of a service, instead of to the student. Examples would include paying a mechanic directly for auto repairs, or an eyeglasses provider for a new pair of glasses for a student.

In the Capital Area, there is a limit of one grant award, up to \$1,000, per student per semester.

### **Examples of Allowable Expenditures for Finish Line Grants**

**Transportation.** Transportation assistance may be provided to assist the student to get to the community college or other places that support WIOA activities. Transportation assistance may be paid in advance based on a plan for the transportation cost. Examples are bus passes and gasoline assistance. *Mileage will be paid at the Federal reimbursement rate.*

**Auto Repairs.** Auto repair payments that allow a participant to participate in educational and training activities are allowed. This includes repairs of an immediate need. Normal vehicle maintenance costs are not allowed. If a participant is repairing a personal vehicle, Finish Line Grant funds may be used to purchase the parts. Auto repair may not exceed the amount of the vehicle. Capital Area staff and NCWorks Career Center staff should take into consideration if public transportation would be a more feasible option for the participant and, if so, Finish Line Grant funds will not be required.

**Child Care.** Child care assistance for children ages 12 and under who reside in the home of the student are allowed if other resources are not available. Expenditures may be limited to a daily maximum per child. Birth certificates may be required to verify the ages of children.

Payments for child care may be required by the provider for a space to be maintained for the child even when the child is not in attendance for sickness or holidays. If this is the policy of the child care center, the provider may be required to provide verification of that for the day(s) in question.

**Dependent Care.** Dependent care assistance may be utilized to help a participant meet their family care needs during participation in their educational activities. Dependent care service providers should be selected by the student. Capital Area staff and NCWorks Career Center staff should ensure that Finish Line Grant funds do not duplicate dependent care assistance available from another source.

**Housing Assistance.** Housing assistance provided to students allows students to maintain or obtain adequate or temporary shelter while participating in educational activities. Finish line Grant funds may

not pay for rental deposits or mortgage payments. Students needing housing assistance should be referred to community housing assistance programs if applicable. Capital Area staff and NCWorks Career Center staff must ensure WIOA Title I funds do not duplicate housing assistance from another source.

**Accommodations for Individuals with Disabilities.** Finish Line Grant funds may be utilized to assist a student who needs accommodations to enable them to participate in their educational activities. Capital Area staff and NCWorks Career Center staff should ensure that grant do not duplicate funds provided by another source. A referral to Vocational Rehabilitation may be appropriate and, if so, Finish Line Grant funds would not be required.

**Utility Bills.** Students may obtain assistance in paying for utility bills, including water, gas and electric bills. Care should be taken to ensure that the grant funds do not duplicate assistance from another source.

**Internet.** Finish Line Grants may be used to pay an internet service bill or to set up internet service needed for current course work. In some cases, it may be difficult to avoid payment for “bundled services” that include cable television, etc., rather than solely internet service. Capital Area and NCWorks Career Center staff should be mindful that often the entire bundled service must be paid to keep internet functioning, and therefore, should not disqualify students from receiving a FLG due to bundled service.

**Referrals to Health Care.** Students in need of medical or counseling services should be referred to other community medical resources if applicable. Capital Area staff and NCWorks Career Center staff should ensure Finish Line Grant funds do not duplicate medical assistance available from another source. The referrals include DOT physicals, drug screens, required immunizations, dental, ophthalmologist, drug and alcohol counseling, mental health counseling, behavioral counseling, etc.


**Assistance with Books and School Supplies.** Grant funds may be utilized to assist a student attending approved education classes with books, fees, school supplies, and other necessary items related to their education.

**Assistance with Tuition and Fees.** In the context that the student has an emergency financial challenge that has negatively impacted the student’s ability to pay for tuition and fees, then Finish Line Grant funds may be used to pay tuition and fees, however, it is not the intent of the grant program to function solely as a scholarship for a student’s tuition and fees.

### **Examples of Unallowed Expenditures for Finish Line Grants**

Finish Line Grant funds are **not** to be used for student expenses that are not allowed as supportive services including:

- Titled or deeded items or when recovery of the expense is anticipated (e.g. rent or housing deposits, mortgage payments, property taxes, fines and late fees)
- Purchase of vehicles
- Business startup costs
- Computer purchases
- Car payments
- Phone bills

	<b>PY18-10</b>
	<b>WIOA One-Stop Operator(s)</b> <b>WIOA Adult/DW Service Provider(s)</b> <b>WIOA Youth Service Provider(s)</b>
	<b>August 31, 2018</b>
	<b>Capital Area Self-Attestation Policy</b>

**Purpose:** To rescind Policy #PY16-10 and transmit a new Self-Attestation Policy for Capital Area's WIOA One-Stop Operator(s), WIOA Adult/DW Service Provider(s) and WIOA Youth Service Providers.

**Background:** Much of the documentation necessary to meet the multiple WIOA eligibility requirements is readily available through various agencies and other sources. In some cases, definitive documentation is required, e.g., eligibility to work and Selective Service registration for males.

U.S. Department of Labor Employment and Training allows for self-attestation to document those items that in some cases are not verifiable or may cause undue hardship for individuals to obtain. Self-attestation can be used only after all practical attempts to secure other documentation have failed. Self-attestation may be used for items as indicated in NCWorks Online in the list of allowed verification sources.

**Action:** Staff will discontinue use of the Adult and Youth Self-Attestation forms under Policy #PY16-10 and use the new forms provided with this policy.

**Changes:** Providing new updated Adult and Youth Self-Attestation forms. No changes to the policy.

**Effective Date:** September 1, 2018

**Expiration:** In effect until rescinded.

**Contact:** Jane P. Sterner  
jsterner@wakegov.com  
919.856.6117

**Attachments:** Capital Area Workforce Development Self-Attestation Policy  
Adult/DW Self-Attestation Form  
Youth Self-Attestation Form

## **Capital Area Workforce Development Self-Attestation Policy**

Self-attestation allows customers a means to self-certify to those WIOA eligibility items that, in some cases, are not verifiable or may cause an undue hardship for individuals to obtain. Every practical attempt will be made to collect the required documents for eligibility and intake. Self-attestation should be used as a last resort and should not take place of gathering documentation/verification when available from other sources. Center staff should assist customers as needed to obtain appropriate documentation required for enrollment. If these documents cannot be obtained or if obtaining the document(s) may cause undue hardship for an individual, then self-attestation may be used.

Eligibility items allowed to be verified by self-attestation are identified in the WIOA application in NCWorks Online. Attached are Capital Area Self-Attestation forms (Adult/DW & Youth) that may be used by center staff to accurately capture self-attestation. Use of these forms is optional. However, for written self-attestation, any document used must contain all of the following components:

- 1) The participant's full name
- 2) A clear statement of the issue being documented
- 3) The applicant's signature
- 4) Staff's signature (will serve as witness to all self-attestation documents)
- 5) Date signed (for both participant and staff)

Documents must be typed or written in ink. The use of white-out is prohibited. Errors should be lined through, initialed and the correct information added.

In order to validate accuracy of self-attestation, a random sampling of self-attestations used for eligibility is required for local areas. During regular Quality Assurance Reviews, Capital Area staff will select a random sample of participant files that have used self-attestation for eligibility verification. Service providers will be required to collect and/or provide additional supporting documentation of eligibility by obtaining additional allowable sources of verification. The number of files sampled for self-attestation validation will be based on a percentage of total programmatic files reviewed during Quality Assurance reviews and determined at the beginning of the program year when the Capital Area Quality Assurance process and schedule is released.

Eligibility sampling of self-attestation is not intended to be a hardship but to serve as a method to ensure validity of verification sources used and to ensure the enrollment of eligible individuals.

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## WIOA Adult/DW Applicant Statement

Applicant Information	
Applicant's Name	Last 4 digits of Social Security number <span style="border: 1px solid black; display: inline-block; width: 20px; height: 20px; vertical-align: middle;"></span> <span style="border: 1px solid black; display: inline-block; width: 20px; height: 20px; vertical-align: middle;"></span> <span style="border: 1px solid black; display: inline-block; width: 20px; height: 20px; vertical-align: middle;"></span> <span style="border: 1px solid black; display: inline-block; width: 20px; height: 20px; vertical-align: middle;"></span>
WIOA Staff	
Applicant Written Self Attestation	
<b>School Status and Education Level</b> <input type="checkbox"/> In-School, High School or less <input type="checkbox"/> In-School, Post High School <input type="checkbox"/> Not Attending School, or High School Dropout <input type="checkbox"/> Not Attending School, High School Graduate/GED <input type="checkbox"/> Some College <input type="checkbox"/> Associate's Degree <input type="checkbox"/> Bachelor's Degree <input type="checkbox"/> Master's Degree <input type="checkbox"/> Doctorate <input type="checkbox"/> Specialized Degree	Highest Grade Completed:  Last School Attended:  Last Date Enrolled in School:
<b>*Employment Status</b> <input type="checkbox"/> Not Employed Last day of employment: _____ Receiving unemployment benefits? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Exhausted Last Employer's name: _____ Most recent rate of pay: _____  <input type="checkbox"/> Underemployed <i>Applicable if you are currently working in a temporary or part-time job or a position that has no/few benefits and/or pays at a rate less than \$13.00/hour</i> Employer's Name: _____ Rate of Pay: _____ Average hours worked per week in the last 6 months: _____  <b>*Additional documentation required for verification</b>	<input type="checkbox"/> Employed with notice of termination/military separation        <input type="checkbox"/> Dislocated Worker Annualized Family Income Verification  Annualized Family Income for last 12 months: _____
Family Size (Complete this section when determining family size for individual entering WIOA services. Not necessary for those receiving food stamps.)	
The size of the family is determined by counting and identifying the number of persons living in a single residence at the time of application who are related by blood, marriage, or decree of court and who are included in one or more of the following categories: a husband, wife, and dependent children; a parent and dependent children; a guardian and dependent children; a husband and a wife, and Not a family member (Family size is "one"). I certify that I reside with other family member(s) in my household as listed below:	
Family Member's Name	Relationship to Applicant
Self-Support (Complete this section as proof of income if necessary.)	
I hereby certify that I have resided with and received some assistance (food, shelter, other _____) from family and friends during the last six months (_____ to _____). I have not been a dependent of any individual during this period. During this period, I received \$_____ in income from cash gifts, odd jobs, and/or self-employment.	
<i>By signing below, I attest that the information stated above is true and accurate, and understand that the above information, if misrepresented or incomplete, may be grounds for immediate termination of WIOA-funded services and/or penalties as specified by law.</i>	
Applicant's Signature	Date
WIOA Staff Signature	Date


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# WIOA Youth Applicant Statement

Applicant Information	
<i>I hereby certify, under penalty of perjury, that the following information is true:</i>	
Applicant's Name (Printed)	Last 4 digits of Social Security number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
WIOA Staff	
Applicant Self-Attestation	
<b>Youth Offender</b> <input type="checkbox"/> I am currently court involved <input type="checkbox"/> I have been subject to a stage of the criminal justice system <input type="checkbox"/> I am an individual who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction	
<b>Pregnant/Parenting</b> <input type="checkbox"/> I am currently pregnant <input type="checkbox"/> I am providing custodial care for one or more dependent children under the age of 18. (Males included. Custodial care implies a custodial agreement in which the child resides with the parent for some percentage of time. It can be full or partial custody and does not necessarily require a legal arrangement. Financial support alone does not meet the definition of custodial care.)	
<b>School Status</b> <input type="checkbox"/> In-School, High School or less <input type="checkbox"/> In-School, Alternative School <input type="checkbox"/> In-School, Post High School	<input type="checkbox"/> Not Attending School, or High School Dropout <input type="checkbox"/> Not Attending School, High School Graduate <input type="checkbox"/> Not Attending School, College Graduate Highest Grade Completed:
<b>Employment Status</b> <input type="checkbox"/> Employed <input type="checkbox"/> Not Employed	<input type="checkbox"/> Employed with notice of termination/military separation <input type="checkbox"/> Minimal/No Work History
<b>Other</b> <input type="checkbox"/> Requires Additional Assistance (In-school) <input type="checkbox"/> Requires Additional Assistance (Out-of-School) <input type="checkbox"/> Out of Home Placement <input type="checkbox"/> Currently Receives/Eligible for Free Lunch	<input type="checkbox"/> Homeless <input type="checkbox"/> Runaway <input type="checkbox"/> Displaced Homemaker <input type="checkbox"/> Eligible under Section 477 of the Social Security Act
Family Size (Complete this section when determining family size for individual entering WIOA services. Not necessary for those receiving food stamps.)	
I certify that I reside with ____ other family member(s) in my household. The individual names and relationships are below:	
Name	Relationship
Self-Support (Complete this section as proof of income, if applicable.)	
I hereby certify that I have resided with and received some assistance (food, shelter, other _____) from family and friends during the last six months (_____ to _____). I have not been a dependent of my parent or any other individual during this period. During this period, I received \$ _____ in income from cash gifts, odd jobs, and/or self-employment.	
<i>By signing below, I attest that the information stated above is true and accurate, and understand that the above information, if misrepresented or incomplete, may be grounds for immediate termination of WIOA-funded services and/or penalties as specified by law.</i>	
Applicant's Signature	Date
Parent Guardian Signature (Required if applicant is under age 18)	Date
WIOA Staff	Date

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	<b>PY19-18</b>
	<b>Capital Area Staff, NCWorks Career Center Staff and NextGen Staff</b>
	<b>October 18, 2019</b>
	<b>Incumbent Worker Policy</b>

**Purpose:** To rescind policy #PY19-15 and transmit a new Incumbent Worker policy.

**Background:** WIOA became law on July 22, 2014 and supersedes Titles I and II of the Workforce Investment Act (WIA) of 1998 and amends the Wagner-Peyser Act and the Rehabilitation Act of 1973. The Departments of Labor and Education published the Final Rules in the Federal Register on August 19, 2016, which became effective October 18, 2016.

Under WIOA, the Local Board may reserve and use not more than 20 percent of the funds allocated to the local area involved under section 133(b) to pay for the Federal share of the cost of providing training through a training program for incumbent workers carried out in accordance with WIOA.

Catalyst 20/20, Capital Area Workforce Development Board's Incumbent Worker Training program, seeks to drive growth in industry through the learning and development of an organization's existing workforce. Through this effort, regional businesses: gain a competitive edge, retain key talent and expertise, and reduce employee turnover. Through this initiative, we support our mission of providing innovative solutions to match workforce skills with employer needs.

**Changes:** Please note the following change(s) to the policy:

- Each business is limited to one grant per any 12-month period and an annual maximum award amount of \$10,000.
- Three key sectors were removed from the focus list for training as follows:
  - Life Sciences and Bioscience
  - Energy, Utilities and Clean Tech
  - Professional Services
- Reimbursable expenses were modified as follows:
  - Textbooks and manuals used 100% for the training activities
  - Training that results in participants obtaining an industry-recognized certification or credential. Includes training preparation for certification exams. *(Both training and exam are to be completed within 12-month contract).*
- The following additional non-reimbursable expenses were added:
  - Training that the company or an entity on the company's behalf already provides to its employees
  - Training that a company is mandated to provide on a regular basis to its employees by federal, state or local laws

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- Continuing Education Units (CEUs) and other training that is specifically required for an employee to maintain licensure, certification or accreditation
- Costs associated with conferences
- Courses that are part of a trainee's pursuit of an educational degree

**Action:** All Capital Area Staff, NCWorks Career Centers and NextGen Centers must adhere to the procedures outlined in this policy, for Workforce Innovation Opportunity Act (WIOA) funded activities for Incumbent Worker training. Please share with staff as appropriate. This policy replaces the WIOA Incumbent Worker Policy PY19-15 sent out on June 14, 2019. Please share with staff as appropriate.

**Effective Date:** September 16, 2019

**Expiration:** In effect until rescinded

**Contact:** Kimberly Wheeler  
Business Engagement Director  
kimberly.Wheeler@wakegov.com  
919.856.6046

**Attachments:** Catalyst 20/20 – Capital Area Incumbent Worker Training Policy  
Catalyst 20/20 – Grant Information  
Catalyst 20/20 – Grant Application  
Catalyst 20/20 – Grant Application Assessment  
Catalyst 20/20 – Grant Program Report

**CATALYST 20/20**  
**CAPITAL AREA**  
**INCUMBENT WORKER TRAINING POLICY**

**A. OVERVIEW**

Catalyst 20/20, developed by Capital Area Workforce Development (CAWD), seeks to drive growth in industry through the learning and development of an organization's existing workforce. Through this effort, regional businesses:

- *Gain competitive edge*
- *Retain key talent and expertise*
- *Reduce employee turnover*

**B. PROJECT FUNDING**

Funds for this program are made available through the Workforce Innovation and Opportunity Act (WIOA) Adult and Dislocated Worker programs. These funds are received from the U.S. Department of Labor and passed through the N.C. Department of Commerce - Division of Workforce Solutions. Local grants are administered by Capital Area Workforce Development Board.

CAWD will make available up to 20% of its annual Adult and Dislocated Worker allocations for Incumbent Worker Training for Catalyst 20/20 activities that are programmatic in nature. Funding for any fiscal year is subject to the availability of WIOA funding, and/or Board priorities in that year, but will not exceed 20%. This is a rolling fund allowing for grants to be issued throughout the year as the budget allows. Catalyst 20/20 funds cannot be used to pay administrative activities. These activities must be paid for out of Capital Area's administrative funds.

- Grants of up to \$20,000 will be awarded to businesses in Wake and/or Johnston Counties.
- Each business is limited to one (1) grant per any 12-month period and an annual maximum award amount of \$10,000.
- Companies may reapply for funding in subsequent years.
- A lifetime maximum of \$50,000 may be awarded to any individual business.

**C. LOCAL PROGRAM FOCUS AND PRIORITIES**

Catalyst 20/20 supports learning and development initiatives including, but not limited to:

- Technical training
- Certifications
- Leadership development
- Soft skills
- Professional development

Training may be for individual contributors, leaders, departments and/or teams.

## **Focus and Priority for Selection**

In support of our mission in workforce development, CAWD has established four primary areas of focus and priority when considering award recipients. CAWD will reevaluate program focus and priorities for funding on an annual basis.

### **1. Employee and Employer Improvement**

- Deploying new technologies
- Diversifying into new lines of business to strengthen competitive position in market
- Developing high potentials and succession planning
- Advancing employee skills to foster career progression
- Retaining critical talent
- Averting layoffs

### **2. Training in Key Industry Sectors, including, but not limited to:**

- Information Technology
- Construction/Skilled Trades
- Healthcare
- Advanced manufacturing

### **3. Businesses owned by minorities, women, individuals with disabilities, and socially and economically challenged individuals.**

### **4. Companies located in designated vulnerable communities.**

## **D. ELIGIBILITY REQUIREMENTS**

When determining an employer's eligibility for participating in Catalyst 20/20, Capital Area staff must consider the following factors:

- the characteristics of the individuals in the program;
- the relationship of the training to the competitiveness of a participant and the employer; and,
- Other such factors as Capital Area may determine to be appropriate, which may include:
  - the number of employees participating in the training;
  - the wage and benefit levels of those employees (at present and anticipated upon completion of the training);
  - the existence of other training and advancement opportunities provided by the employer;
  - the credentials and skills gained as a result of the training;
  - layoffs averted as a result of the training;
  - utilization as part of a larger sector and/or career pathway strategy; or
  - employer size

### **1. Business applicant requirements:**

- Have operation(s) located in Wake and/or Johnston County
- Have operated in Wake and/or Johnston County for the last twelve (12) months

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- Have an employer-employee relationship with at least five (5), but not more than, 250 employees that are located in Wake and/or Johnston County
- Be current on all federal, state and local tax obligations
- Provide participant data as required
- Meet nonfederal share requirements

*Exceptions to the "250 employees" requirement may be considered based on economic development projects and/or other special circumstances deemed appropriate by Capital Area staff.*

## **2. Training participant requirements:**

- Be at least 18 years of age
- Be a current employee of the business, per the Fair Labor Standards Act (FLSA)
- Have established, documented employment with employer for six months or more
- Work within a Wake and/or Johnston County facility
- Be a citizen of the US or a non-citizen whose status permits employment in the US

## **3. Additional Guidelines**

- Six-month employment history may include time spent as a temporary or contract worker performing work for the employer receiving Catalyst 20/20 funds.
- If the Incumbent Worker training is being provided to a cohort of employees, not every employee in the cohort must have an established employment history with the employer for six months or more, as long as, a majority of those employees being trained meet the employment history requirement.
- An incumbent worker does not have to meet the eligibility requirements for career and training services for adults and dislocated workers under WIOA, unless they are also enrolled as a participant in the WIOA adult or dislocated worker program.
- Generally, Catalyst 20/20 funds should be provided to private sector employers; however, there may be instances where non-profit and local government entities may be the recipients of IWT funds. For example, Catalyst 20/20 funds may be used in the health care industry where hospitals are operated by non-profit or local government entities and a nursing upskilling opportunity is available.
- Catalyst 20/20 applications for funds may be submitted from a collaborative group of employers. The collaborative must designate a lead employer to be the point of contact for Capital Area staff. The lead employer must have employees included in the training.
- Catalyst 20/20 funds can be used for underemployed workers. For example, workers who would prefer full-time work but are working part-time for economic reasons.
- Capital Area encourages an upskill/backfill strategy in the company with other WIOA participants. As incumbent workers advance with the employer, the employer then provides an opportunity to fill these now vacant positions with local WIOA participants.

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## **E. NCWORKS ONLINE**

NCWorks Online is the case management tool used by Capital Area Workforce Development to track participants.

- Applicants for Catalyst 20/20 funding must create an account in NCWorks Online.
- At a minimum, the following data for each training participant must be entered into NCWorks Online:
  - Social Security Number
  - Complete name and Contact Information
  - Gender
  - Date of Birth
  - Citizenship (Right to Work Status)
  - Selective Service Compliance
  - Disability Status
  - Ethnicity and Race
  - Highest Education Level Attained
- All participant information must be entered into NCWorks Online before the first day of training.

## **F. PROGRAM OUTCOME MEASURES**

Applicants must outline their projected program outcomes using goals that are specific, measurable, attainable, realistic and timely. These goals must be directly tied back to business performance.

Upon completion of the training and before final reimbursements are issued, a final report must be submitted by the business to show actual results of the initiative. As part of the summary, Capital Area will capture the following data from the participating organizations:

- Participants Wage Gain
- Participants Employment Retention
- Participants Training Completion

## **G. APPLICATION PROCESS**

The Catalyst20/20 application will be made available on the Capital Area web site at [www.capitalareawdb.com](http://www.capitalareawdb.com). Questions and inquiries should be directed to the Business Engagement Team at Capital Area. Applications must be submitted by e-mail at [catalyst2020@wakegov.com](mailto:catalyst2020@wakegov.com). All resulting questions and processing will be managed by the CAWD Business Engagement team. Award recipients will be notified of a decision within 14 business days of receipt of the application.

For Collaborative Incumbent Worker applications, the process is the same as above except a lead employer will be designated by the collaborative to submit the application on behalf of the group. If the application is approved, the contract will be written with the lead employer. The lead employer is responsible for collecting and submitting all reports and invoices. Reimbursement will go directly to the lead employer. It is the lead employer's responsibility to disperse the funds to the remaining members of the collaborative.

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## H. REIMBURSABLE AND NON-REIMBURSABLE COSTS

### Reimbursable Expenses:

Only expenses specifically included in the final contract budget will be allowable and may include:

- Instructor/trainer fees, tuition and/or registration expenses
- Textbooks and manuals used 100% for the training activities
- Training that results in participants obtaining an industry-recognized certification or credential. Includes training preparation for certification exams. (*Both training and exam are to be completed within 12-month contract*). Training materials and supplies directly related to training

### Non-Reimbursable Expenses

- Training-related software or equipment to provide the training
- Employee wages or fringe benefits
- Compensation for third party preparation and/or management of proposals/ contracts or for consulting fees
- Expenses incurred prior to the start date of the contract
- Capital improvements, purchase of real estate, and construction or renovation costs
- Business relocation expenses
- Employment or training in sectarian activities
- Costs associated with in-house company trainers
- Travel expenses
- Curriculum design or development expenses
- General office supplies not specific to the training itself
- Non-personnel service costs such as postage and copying expense
- Website design, development, or upgrade expenses
- Membership fees or dues
- Training that the company or an entity on the company's behalf already provides to its employees
- Training that a company is mandated to provide on a regular basis to its employees by federal, state or local laws
- Continuing Education Units (CEUs) and other training that is specifically required for an employee to maintain licensure, certification or accreditation
- Costs associated with conferences
- Courses that are part of a trainee's pursuit of an educational degree

## I. INVOICING AND EVALUATION

- Invoices for activities will be on a cost-reimbursement basis only.
- Documentation must be sufficient to justify the requested payment. Only items identified in the contract budget will be reimbursed.
- As training course(s) are completed, employer will submit an invoice to CAWD for review and processing.
- Reimbursements will be issued within 30 days of receipt.
- A final invoice must be submitted within 45 days of project completion date.
- The final reimbursement will not be distributed until receipt of the final report.

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- Grant funding must be used within 12 months of award notification.

Monitoring of the project will be conducted by CAWD staff at least once during the term of the contract, to include evaluating compliance with the Non-Federal Share requirement.

## **J. DEFINITIONS**

### **1. Incumbent Worker**

An Incumbent Worker is:

- at least 18 years of age and a paid employee of the applicant business or businesses;
- in a relationship that meets the Fair Labor Standards Act requirements for an employer-employee;
- an employee with an established employment history with the employer for six (6) months or more;
- a citizen of the United States or a non-citizen whose status permits employment in the United States; and,
- an employee to be trained who works at a facility located in Wake and/or Johnston County

### **2. Employer-Employee Relationship**

An Employer-Employee Relationship must exist between the worker and the employer. Workers who are economically dependent on the business of the employer and will receive a W-2 form for tax filing purposes have an employer-employee relationship.

Individuals who do not meet the definition of employer-employee relationship are:

- those who will receive a 1099 form for tax filing purposes; or
- those who are placed through a temporary agency.

### **3. Eligible Businesses**

The intent of the Capital Area Incumbent Worker Training Policy is to provide services for current workers in established North Carolina businesses.

An Eligible Business will:

- be current on all tax obligations;
- have an employer-employee relationship with at least five (5), but not more than, 250 employees; and,
- have been in operation in Wake and/or Johnston County for twelve (12) or more months.

### **4. Non-federal Share Requirements**

An employer or group of employers must pay for a portion of the cost of providing the training to participants. This portion is defined as the non-federal share. The non-federal share shall be:

- not less than 10% of the cost for employers with no more than 50 employees;

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- not less than 25% of the cost from employers with more than 50 employees but less than 100 employees; or,
- not less than 50% of the cost for employers with more than 100 employees.

The employer's payment for the non-federal share can be cash payments, fairly evaluated in-kind contributions or both. In-kind contributions may include the wages the employer pays to the trainee while they are attending training. In establishing the employer share of the cost, Capital Area will consider the following:

- number of employees participating in the training;
- wage and benefit levels of the employees (at the beginning and anticipated upon completion of the training);
- relationship of the training to the competitiveness of the employer and employees; and,
- availability of other employer-provided training and advancement opportunities.

# CATALYST 20/20

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## Grant Information

**CATALYST 20/20**, developed by Capital Area Workforce Development, seeks to **drive growth in industry** through the **learning and development of an organization's existing workforce**. Through this effort, regional businesses:

*Gain competitive edge*  
*Retain key talent and expertise*  
*Reduce employee turnover*

Grants of **up to \$10,000** are awarded to eligible businesses in Wake and Johnston counties for training of their workforce in areas including, but not limited to:

- *Technical training*
- *Certifications*
- *Leadership development*
- *Soft skills*
- *Professional development*
- *Other Upskilling?*

Training may be for individual contributors, leaders, departments and/or teams.

Funding available for up to 12 months from time of award notification. Companies may reapply in subsequent years –*lifetime maximum of \$50,000* may be awarded to any individual business.

**Focus and priority given in decision making for the following:**

### 1. Employer and Employee Improvement

- Deploying new technologies; diversifying into new lines of business to gain competitive edge
- Developing high potentials and succession planning
- Advancing employee skills to promote career progression
- Retaining critical talent
- Averting layoffs

### 2. High Growth and In-Demand Industry Sectors

- Advanced manufacturing
- Construction/Skilled Trades
- Healthcare
- Information Technology

### 3. Business Ownership

- Minorities
- Women
- Individuals with disabilities
- Socially/economically challenged individuals

### 4. Businesses Located in Designated Vulnerable Communities.



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# CATALYST 20/20

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## Eligibility Requirements:

- ✓ Employers must have:
  - Operation(s) in Wake and/or Johnston County
  - 5-250 employees in Wake and/or Johnston County
  - Operated in NC for the last twelve (12) months
  - Current status on all state and local tax obligations
  - Ability to pay required % business match  
(*this match is fulfilled with wages paid during training. training equipment purchases, onsite facility usage, employees' food and travel, or lodging*). 10% for employers with 50 employees or less; 25% for employers with 51-100 employees; 50% from employers with 101-250 employees
- ✓ Training participants must:
  - Be at least 18 years of age
  - Be a current employee of the business, per the Fair Labor Standards Act (FLSA)
  - Have established, documented employment with employer for six months or more
  - Work within a Wake and/or Johnston County facility
  - Citizen of the US or a non-citizen whose status permits employment in the US

## Training Providers and Delivery Methods:

Employers select their training provider of choice. Upon request, CAWD will provide recommendations and resources for employers to independently evaluate.

Delivery methods supported include classroom instruction (*onsite or at designated provider location*) and web-based learning,

## Application and Funding:

Contact [catalyst2020@wakegov.com](mailto:catalyst2020@wakegov.com) to request the application and for additional information.

Award recipients will be notified of decision within 14 business days of submitting application. If approved, CAWD will work with employer to complete required documentation and create an account in the NCWorks system.

As training course(s) are completed, employer will submit invoice to CAWD for review and processing. Reimbursements will be issued within 30 days of receipt. Grant funding must be used within 12 months of award notification.



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## Grant Application

Company Name:			
Mailing Address:			
Physical Address:			
City/State:		Zip:	County:
Primary Contact:		Title:	
Phone:	Ext:	Fax:	
E-Mail Address:		Company Website:	
Employee Headcount in NC:		Total Employee Headcount:	Years in Business:
Company Ownership:	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> Corporation
	<input type="checkbox"/> For-profit	<input type="checkbox"/> Not-for-profit Designation _____	Other: _____
Federal Taxpayer Identification #:			

Is your company current on all North Carolina state taxes? YES NO

Is your company current on all federal taxes? YES NO

Is your company current on all county, city and local taxes? YES NO

Does your company meet the business ownership priority? YES NO

*(Owned by one of the following individuals: minority, woman, individual with a disability, individual who is socially/economically challenged.)*



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# CATALYST 20/20

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**Business Case** *(include attachment with detailed response to questions below)*

1. What are the current challenges your organization is looking to address?
2. What impact have you encountered in your business by not having sufficient skills and/or additional training?
3. Using the SMART method (*specific, measurable, attainable, realistic and timely*), outline your objectives and anticipated outcomes for this initiative. Describe how you will measure success.
4. How will your organization support the training to ensure maximum impact? What will be done to stimulate application of the learning back on the job.



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# CATALYST 20/20

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## Proposed Training Plan

The following details must be completed for each training participant receiving **CATALYST 20/20 funding**.

If a department or team is doing a group session, please include the department and/or team name below. Individual participant information will be collected in final processing.

<b>Participant Name(s):</b>		
<i>If for department or organization – how many individuals will be trained?</i>		
<b>Title:</b>		
<b>Phone number:</b>	<b>Email:</b>	
<b>Course Title:</b>		
<b>Course Description and Learning Objectives: (Attachment B)</b>		
<b>Training Duration (# hours of training):</b>		
<b>Training Start Date:</b>		
<b>Training End Date:</b>		
<b>Training Provider Name:</b>		
<b>Mailing/Physical Address:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip Code:</b>
<b>Primary Contact:</b>		
<b>Telephone:</b>	<b>Email:</b>	
<b>Instructor Name</b> <i>(attach bio with qualifications/credentials relevant to selected course):</i>		



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## **BUDGET**

Application request should reflect only the amount of funds needed to meet immediate training needs. Awarded funds must be utilized within 12 months of notification. The following details must be completed for any training program utilizing **CATALYST 20/20 funding**.

**NOTE:** Funding is for instruction fees only; *Expenses related to training equipment, facility usage, travel expenses/meals and/or trainee wages are not eligible for reimbursement.*

*\*Funding availability is determined by Capital Area Workforce Development Board and is subject to change*

Category	Amount	Provider/Supplier	Line Item Narrative
Instructor Fees/Tuition			
Manuals/Textbooks (itemize)			
Training Certifications, Certificates, Credentials, Licenses, Tests			
Materials/Supplies			
Required Employer Matching Funds *			
Other			
<b>Amount Requested:</b>			

*\*Required business match may include wages paid during training, training equipment purchases, onsite facility usage, employees' food and travel, or lodging*

- 10% for employers with 50 employees or less
- 25% for employers with 51-100 employees
- 50% from employers with 101-250 employees



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## **Reimbursable Expenses:**

Only expenses specifically included in the final contract budget will be allowed and may include:

- ✓ Instructor/trainer fees, tuition and/or registration expense
- ✓ Textbooks and manuals used 100% for the training activities
- ✓ Training that results in participants obtaining an industry-recognized certification or credential. Includes training preparation for certification exams. *(Both training and exam are to be completed within 12-month contract)*
- ✓ Training materials and supplies directly related to training

## **Non-Reimbursable Expenses**

- Employee wages or fringe benefits
- Expenses incurred prior to the start date of the contract
- Training that the company or an entity on the company's behalf already provides to its employees
- Training that a company is mandated to provide on a regular basis to its employees by federal, state or local laws
- Continuing Education Units (CEUs) and other training that is specifically required for an employee to maintain licensure, certification or accreditation
- Costs associated with conferences
- Courses that are part of a trainee's pursuit of an educational degree
- Employment or training in sectarian activities
- Curriculum design or development expense
- Costs associated with in-house company trainers
- Training-related software or equipment to provide the training
- Website design, development, or upgrade expenses
- Capital improvements, purchase of real estate, and construction or renovation costs
- Business relocation expenses
- General office supplies not specific to the training itself
- Membership fees or dues
- Non-personnel service costs such as postage and copying expense
- Compensation for third party preparation and/or management of proposals/contracts or for consulting fees
- Travel expense

Monitoring of the project will be conducted by CAWD during the term of the contract.

A final report and invoice must be submitted within 45 days of project completion date. The final reimbursement will not be distributed until receipt of the final report.



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*Federal requirements mandate that the following data for each training participant must be provided:*

• Social Security Number	• Citizenship (Right-to-Work Status)
• Complete Name and Contact Information	• Selective Service Compliance
• Gender	• Disability Status
• Date of Birth	• Ethnicity and Race
• Highest Level Education Completed	

## **AUTHORIZATION AND CERTIFICATION**

As an authorized representative of **(XYZ company)** submitting this application, I hereby certify that:

- **(XYZ company)** meets the requirements and is eligible to submit this application;
- The information contained in this application is true and accurate and reflects the intentions of the **CATALYST 20/20** Training Program;
- I am aware that any false information, intentional omissions, or misrepresentations may result in rejection of the application and possible disqualification for future funding;
- I am aware that any false information, intentional omissions, or misrepresentations may subject **(XYZ company)** to civil or criminal penalties;
- **(XYZ company)** agrees to adhere to all reporting requirements; and to respond to a Customer Satisfaction Survey(s), if asked: and
- **(XYZ company)** agrees to provide all requested data elements as required for federal reporting and submit copies of verification if needed.

Further, it is against the law for a recipient of this Federal funding to discriminate on the following basis:

- Against any individual in the United States because of race, color, religion, sex (*including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity*), national origin (*including limited English proficiency*), age, disability, or political affiliation or belief.
- Against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I-financially assisted program or activity.

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Print Name

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Title

---

Signature

---

Date



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## Grant Application Assessment

Internal Review completed by:

Organization:

Date of Application:

Summary of Application Request:

QUESTION	ANSWER	COMMENT
The training(s) addresses the skills gaps of an employee or group of employees	<input type="checkbox"/> Strongly agree (5 points) <input type="checkbox"/> Agree (4 points) <input type="checkbox"/> Neutral (3 points) <input type="checkbox"/> Disagree (2 points) <input type="checkbox"/> Strongly Disagree (1 point)	<a href="#">Click here to enter text.</a>
The training(s) will result in increased profitability, competitiveness, sustainability, etc. of the business	<input type="checkbox"/> Strongly agree (5 points) <input type="checkbox"/> Agree (4 points) <input type="checkbox"/> Neutral (3 points) <input type="checkbox"/> Disagree (2 points) <input type="checkbox"/> Strongly Disagree (1 point)	<a href="#">Click here to enter text.</a>
The training topic is clearly aligned to the training need outlined in the application	<input type="checkbox"/> Strongly agree (5 points) <input type="checkbox"/> Agree (4 points) <input type="checkbox"/> Neutral (3 points) <input type="checkbox"/> Disagree (2 points) <input type="checkbox"/> Strongly Disagree (1 point)	<a href="#">Click here to enter text.</a>
The training provider has strong qualifications related to this training topic	<input type="checkbox"/> Strongly agree (5 points) <input type="checkbox"/> Agree (4 points) <input type="checkbox"/> Neutral (3 points) <input type="checkbox"/> Disagree (2 points) <input type="checkbox"/> Strongly Disagree (1 point)	<a href="#">Click here to enter text.</a>
The amount requested is reasonable in terms of the training topic(s) and the non-federal share is fairly evaluated	<input type="checkbox"/> Strongly agree (5 points) <input type="checkbox"/> Agree (4 points) <input type="checkbox"/> Neutral (3 points) <input type="checkbox"/> Disagree (2 points) <input type="checkbox"/> Strongly Disagree (1 point)	<a href="#">Click here to enter text.</a>
Business is owned by minorities, women, individuals with disabilities, and/or socially and economically challenged individuals.	<input type="checkbox"/> Yes (5 points) <input type="checkbox"/> No (0 points)	
Business is located in designated vulnerable community.	<input type="checkbox"/> Yes (5 points) <input type="checkbox"/> No (0 points)	

Total Combined Points: \_\_\_\_\_

☐ Recommended for Award

Recommended Funding Amount: \_\_\_\_\_

☐ Not recommended

**\*Include any additional comments on next page**

# CATALYST 20/20

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## Grant Program Report

**CAWD values this partnership and are committed to your success.**

As you reflect on your goals, *what outcomes are you already experiencing because of training?*

**(ABC Company) Success Metrics:**

- 1.
- 2.
- 3.

*Let's keep the conversation going...* Impact and success may also be more fully recognized over time. Reach out and share your story with us ([catalyst2020@wakegov.com](mailto:catalyst2020@wakegov.com)). The CAWD team will also be in touch in six months to learn more.


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### **\*Required:**

To finalize the grant funding and reporting requirements, please complete the following questions and return to CAWD office - [catalyst2020@wakegov.com](mailto:catalyst2020@wakegov.com).

### **Complete the following:**

1. Did any trainees retain their employment at your business solely because of the training?  
☐ Yes ☐ No  
Comments:  
[Click here to enter text.](#)
2. Have/will any of the trainees receive additional compensation because of their increased skills?  
☐ Yes ☐ No  
Comments:  
[Click here to enter text.](#)
3. Did any trainee advance to other job positions or perform other advanced job responsibilities because of the training?  
☐ Yes ☐ No  
Comments:  
[Click here to enter text.](#)
4. Do you have additional workforce needs for current or future employees that you would like to discuss with CAWD?  
[Click here to enter text.](#)

	<b>PY20-03</b>
	<b>Capital Area Workforce Development Staff, NCWorks Center Staff and NextGen Staff</b>
	<b>June 14, 2019</b>
	<b>Eligible Training Provider Policy</b>

<b>Purpose:</b>	To rescind Policy PY19-09 and issue a new policy regarding the eligible training provider (ETP) list and approval processes for training providers and programs.
<b>Background:</b>	<p>Under the Workforce Innovation and Opportunity Act (WIOA), the Governor establishes criteria, information requirements, and procedures regarding the eligibility of providers of training services to receive WIOA funds for the provision of training services in local areas in the state. A local board may establish additional criteria and information requirements, or may require higher levels of performance than required for the criteria established by the Governor, for purposes of determining the eligibility of training providers to receive WIOA funds for the provision of training services in their local area.</p> <p>In North Carolina, training providers are required to register on NCWorks Online in order to be considered as an eligible training provider.</p>
<b>Changes:</b>	<p>Please note the following changes to the policy:</p> <ul style="list-style-type: none"> <li>• Changed the business requirement from three years to two years and they must be able to provide at least one year of performance information regarding their training.</li> </ul>
<b>Action:</b>	All Capital Area Workforce Development staff, NCWorks Career Center staff and NCWorks NextGen staff must adhere to the procedures outlined in this policy, for Workforce Innovation Opportunity Act (WIOA) funded activities. This policy rescinds and replaces Policy PY19-09 sent out on June 14, 2019. Please share with all staff, as appropriate.
<b>Effective Date:</b>	July 1, 2020
<b>Expiration:</b>	In effect until rescinded
<b>Contact:</b>	<p>Jane P. Sterner  jsterner@wakegov.com  919.856.6117</p>
<b>Attachments:</b>	Capital Area Eligible Training Provider (ETP) Policy

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***CAPITAL AREA  
ELIGIBLE TRAINING PROVIDER (ETP) POLICY***

Under the Workforce Innovation and Opportunity Act (WIOA), the Governor establishes criteria, information requirements, and procedures regarding the eligibility of providers of training services to receive WIOA funds for the provision of training services in local areas in the state. A local board may establish additional criteria and information requirements, or may require higher levels of performance than required for the criteria established by the Governor, for purposes of determining the eligibility of providers of training services to receive WIOA funds for the provision of training services in their local area.

In North Carolina, training providers are required to register on NCWorks Online in order to be considered as an eligible training provider. Capital Area Workforce Development (CAWD) will use the criteria listed below, at a minimum, in making all decisions regarding eligible training providers and eligible programs. CAWD reserves the right to change a decision at any time based on performance, responsiveness and customer feedback.

**I. Training Provider Approvals**

To consistently review applications, the CAWD has adopted minimum criteria and general guidelines for the approval of training providers.

**Minimum Criteria for Training Providers**

1. Shall be one of the following:
  - a. An institution of higher education that provides a program that leads to a recognized postsecondary credential
  - b. An entity that carries out programs registered under the National Apprenticeship Act
  - c. Another public or private provider of a program of training services, which may include joint labor-management organizations, and eligible providers of adult education and literacy activities under title II if such activities are provided in combination with occupational skills training
2. Has completed NCWorks Online training provider registration.
3. Has been in business for at least two years and be able to provide at least one year of performance information regarding their training.
4. Must meet business registration requirements with the appropriate Secretary of State office, or other government entity, as required.
5. Is licensed, as applicable.
6. Must offer training in a commercial location.
7. Allows CAWD staff to conduct site visit(s), as deemed necessary.
8. Provides additional information as requested.

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## **General Guidelines for Training Provider Reviews:**

1. Training providers must register on NCWorks Online.
2. Once registered, the provider will be contacted by CAWD staff, within ten (10) business days, to collect additional information needed to complete the provider profile. The provider has five (5) business days to respond with the information needed. If the provider does not respond within five (5) business days, the application will remain inactive until further notice.
3. After all of the provider information is collected, the training provider profile will be reviewed and a decision made within ten (10) business days. The decision is then recorded in NCWorks Online and the provider is notified of the decision and next steps.
4. A training provider may be approved, yet have courses that are not approved.
5. Registered Apprenticeship (RA) program sponsors are automatically eligible for inclusion on CAWD's eligible training provider list, as long as the program is registered or until the program sponsor notifies the State that it no longer wants to be included on the list. *Note: Under WIOA, RA programs are not subject to the same application and performance information requirements or to a period of initial or continued eligibility as other providers.*
6. CAWD staff reserves the right to conduct a site visit(s) to assist with the decision-making process for initial or continued eligibility.
7. CAWD staff reserves the right to verify information provided for accuracy. This includes any information provided in the training provider profile and under each program.
8. Upon determination that a provider of training services, or an individual providing information on behalf of the provider, intentionally supplied inaccurate information, the eligibility of the provider to receive funds under WIOA shall be terminated for a period of at least two (2) years. The termination period will be determined by the CAWD Executive Director at the time of the violation.
9. Upon determination that a provider of training services substantially violated any requirement under WIOA, the eligibility of the provider to receive funds under WIOA shall be terminated for a period of at least two (2) years. The termination period will be determined by the CAWD Executive Director.
10. A provider of training services whose eligibility is terminated under items 8 & 9 above shall be liable for the repayment of funds received under WIOA during the period of violation described above.
11. Items 8, 9, and 10 above shall be construed to provide remedies and penalties that supplement, but shall not supplant, civil and criminal remedies and penalties specified in other provisions of law.
12. CAWD may review training providers annually for continuation as an eligible training provider.
13. Training Providers may appeal a denial or termination of eligibility at any time. See Section *IV. Appeals Process* for more details on appealing a decision.

## **II. Program Approvals**

To consistently review programs, the CAWD has adopted minimum criteria and general guidelines for the approval of training provider programs.

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## Minimum Criteria for Program

1. All information for each program is completely and accurately captured in NCWorks Online.
2. Verifiable program-specific performance information for the most recent program year is provided as requested by CAWD staff on an annual basis for all programs.

## General Guidelines for Program Reviews:

1. Completing all information in NCWorks Online, not just required information.
2. CAWD reserves the right to verify information provided for accuracy. This includes information provided for any program. Intentionally supplied inaccurate information will result in the same penalties listed above in Section I. *Training Provider Approvals*, items 8, 9, 10 & 11.
3. A provider may be approved, yet have courses that are not approved.
4. At least eighty percent (80%) of WIOA training dollars spent must lead to an occupation in an in-demand industry as defined by CAWD with an emphasis on the high growth, in-demand, hard-to-fill occupations, and no more than twenty percent (20%) of WIOA training dollars may be for other occupations. CAWD's target industries are provided in the ITA/Voucher policy for WIOA Adult/DW participants and the Occupational Skills Training (OST) policy for WIOA Youth participants.
5. CAWD will not approve programs that are considered to be remediation, professional conduct, motivational classes, and/or pre-employment skills, (courses that do not provide occupational skills training) for WIOA training funds through Individual Training Accounts. Courses and/or programs in human resource development (HRD), Career Readiness Certificate (CRC) preparation, professional conduct, workforce preparation activities, etc. may be provided through WIOA Career Services and do not require program approval in NCWorks Online.
6. If a particular type of training is readily available at an eligible training provider located in Wake or Johnston County, CAWD will not approve, for WIOA training funds, programs offered by training providers located outside of Wake and Johnston Counties. Exceptions will be considered and may include online courses, training sites in adjacent counties and/or those programs approved based on special circumstances and/or special needs of a Capital Area NCWorks Career Center customer. Exceptions may also include programs that are full, have wait lists, or programs that are not offered during the needed semester.
7. CAWD has additional regulations that can affect eligibility and/or suitability for WIOA training funds. For a list of additional regulations such as student performance and other requirements, please refer to the ITA/Voucher policy for WIOA Adult/DW participants and the Occupational Skills Training (OST) policy for WIOA Youth participants.
8. CAWD does not offer 'special or trial approvals' for programs that are not approved or do not appear in NCWorks Online.
9. Programs may periodically be purged from the NCWorks Online system if the program has not been recently WIOA funded. This process is done at the State level and CAWD is not responsible for which programs are, or are not, purged. It is each training provider's responsibility to keep track of their programs in NCWorks Online.

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10. Training Providers may appeal a denial or termination of eligibility for programs at any time. See Section IV. *Appeals Process* for more details on the appeals process.

### **III. Continuation Approvals**

CAWD will assess programs every year at the time of reapplication for continued eligibility. Continuation is based on Board criteria, program performance and customer feedback regarding the program.

#### **Minimum Criteria for Continuation**

1. Training Providers must update all program information and reapply for continuation 30-days prior to the expiration date to allow time to research and review the reapplication. This will help to prevent training programs from expiring and causing a disruption in service to customers.
2. Performance information provided must be for all students who took the program during the reporting time frame, not just WIOA funded students.

#### **General Guidelines for Continuation Reviews:**

1. Continuation reviews will take place within ten (10) business days of reapplication.
2. If the program expiration date occurs, there may be up to a 30-day penalty for continuation review.
3. Training Providers are responsible for knowing when their programs expire. CAWD is not responsible for notifying training providers about any programs that are about to expire, or have expired.
4. CAWD reserves the right to request customer feedback information from current or past students (funded with WIOA funds) regarding any WIOA funded programs in NCWorks Online.
5. CAWD reserves the right to verify information provided for accuracy. This includes information provided for any program for continuation. Intentionally supplied inaccurate information will result in the same penalties listed above in Section I. *Training Provider Approvals*, items 8, 9, 10 & 11.

### **IV. Appeal Process**

Training providers have the right to appeal a denial or termination of eligibility. The appeal request must be submitted in writing to the CAWD Executive Director within ten (10) business days following a decision. The appeal request must include the following information:

- Training provider name
- Person requesting the appeal
- Title
- Contact information (email and phone number)
- Reason for the appeal with as much information as possible, including facts, dates and any correspondence regarding the matter

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After reviewing the information provided by the training provider, in NCWorks Online and provided by CAWD staff, the CAWD Executive Director will issue a decision in writing within ten (10) business days of receipt of the written appeal request. If not satisfied with the decision, the training provider has the right to request an in-person hearing. The hearing request must be submitted in writing to the CAWD Executive Director within ten (10) business days following the written appeal decision. The hearing will be arranged within thirty (30) business days of receipt of the written hearing request at a time convenient to the training provider representative and the Executive Director. After the hearing, the Executive Director will issue a decision in writing within five (5) business days of the hearing. The decision, as a result of the hearing, is final.

## **V. Exceptions**

Exceptions to the Training Provider policy may be requested on a case-by-case basis by e-mailing the Capital Area One-Stop Director with the following information. Exceptions will only be considered for the number of years in business.

- a. Training Provider name
- b. Name of contact person requesting the exception
- c. Phone number of contact person
- d. E-mail address of contact person
- e. Exception being requested
- f. Reason for the request in detail

After review of the information provided, the One-Stop Director will respond by e-mail, within ten business days with a determination. If denied, the determination will include justification for the decision.