

ALABAMA WORKFORCE INVESTMENT SYSTEM

Office of Workforce Development
401 Adams Avenue
Post Office Box 5690
Montgomery, Alabama 36103-5690

February 6, 2006

GOVERNOR'S WORKFORCE DEVELOPMENT DIRECTIVE NO. PY2004-14, Change 3

SUBJECT: LWIA PY2005/06 Local Plan / PY2005 Grant Agreement Package

1. **Purpose.** To provide Local Workforce Investment Boards with guidance regarding the development and submission of minor modifications to their respective WIA grant agreement packages.
2. **Discussion.** Procedures currently in effect for local areas' preparation and submission of any required modifications to local areas' originally submitted Grant Agreement Packages do not provide for any streamlining of such procedures in those instances where the changes in local area funding, performance goals, planned activity, or other factors necessitating the Grant modification may be considered minor in scope.
3. **Action.** The potential of this omission for needlessly saddling both local area and State-level planning/fiscal staff with undue administrative burdens is considerable.

Therefore, the following alternate procedures for the preparation and submission of minor modifications to local area Grant Agreement packages have been developed:

- 1) A local area Grant Agreement Package modification submission indicating a reduction or an increase in overall local area program year/fiscal year funding amount of \$50,000 or less, any changes to previously approved program year/fiscal year performance goal measures of less than five percent, or the addition/deletion of up to two planned program year/fiscal year participant activities, is considered a minor Grant modification.
- 2) Submitted local area Grant Agreement Package minor modifications will not require prior review/approval by all signatories to the originally submitted Grant Agreement Package. That is, it will not be necessary for the local area to submit another signed WIA-59 WIA Grant Agreement document along with the minor modification. Rather, a notation reflecting the new local area program year/fiscal year funding level, signed by a local area representative and the Division Director, Workforce Development Division, will be attached to the original WIA-59 WIA Grant Agreement document, effectively becoming an addendum to that original WIA-59 WIA Grant Agreement document.

In order to further ease the administrative burden inordinately placed upon local area staff, in those instances where local area Grant minor modifications are precipitated by State-initiated actions, State staff will provide local areas with copies of all WIA-60 Grantee Budget Summary documents, as well as other Grant narrative information, made necessary by the modification(s).

State approval/certification of local area Grant Agreement Package minor modifications will not require the Governor's signature. A Notice of Governor's Action documents currently accompanies all State-approved Grant Agreement Packages/Modifications. State approval of minor local area Grant Agreement Package modifications will be indicated by a Notice of Action document, under signature of the Division Director, Workforce Development Division.

Copies of approved, local area Grant Agreement Package minor modifications will be provided to each local area, with appropriate copies to the local area workforce investment board representative(s).

4. **Contact.** Any questions regarding this Directive should be addressed to Charles Terry at (334) 242-5883.



Steve Walkley, Division Director
Workforce Development Division

Attachments

Mr. Bill Johnson, Director
Alabama Department of Economic and
Community Affairs
P.O. Box 5690
Montgomery, Alabama 36130

Dr. Tim Alford, Director
Office of Workforce Development
P.O. 5690
Montgomery, Alabama 36130

Pursuant to the conditions outlined in the attached Governor's Workforce Development Directive No. PY2004-14, Change 3, the Workforce Development Division requests that approval authority for minor modifications to local areas' approved Workforce Investment Act Grant Agreement Packages be formally delegated to the Division Director, Workforce Development Division.

As noted within the text of GWDD No. PY2004-14, Change 3, a local area Grant Agreement Package minor modification would typically encompass any actions or series of local area actions with a collective impact upon local area obligation authority of \$50,000, or less. We anticipate that such a delegation of signature/approval authority would provide significant administrative relief to the existing, somewhat burdensome process applicable to the full range of local area Grant Agreement Package modifications.

Your agreement with and approval of the terms and conditions establishing the actions constituting a local area Workforce Investment Act Grant Agreement Package "minor" modification, and your agreement to delegate approval authority for all such local area Workforce Investment Act "minor" modifications to the Division Director, Workforce Development Division, is attested by your below signatures.



Bill Johnson, Director,
Alabama Department of Economic and Community Affairs

2/7/06
Date



Tim Alford, Director,
Office of Workforce Development

2-6-06
Date



Eddie Davis, General Counsel
Alabama Department of Economic and Community Affairs

Date

Grant Agreement Package

The WIA Grant Agreement package depicts a local area's planned WIA Younger Youth, Older Youth, Dislocated Worker, and Adult participant training services (Basic Skills, Classroom Training, Individual Referrals, ITAs, OJT contracting, etc.), performance goals, supportive services, fund transfer activity, and program budgets.

- A. Participant Intake Services and Ongoing Assessment Activities:** Briefly describe local area systems for providing, and the general sequence of events related to:
1. Initial participant - case manager assessment session, to include processes for determining participants' career goals, and the appropriate array of available core/intensive services which may be provided to participants in order to help achieve these goals. Initial assessment session may also consider whether participant goal achievement is likely to require additional occupational training or retraining services. Further, determination of what additional support services participants may require to adequately address their human services and social support needs may be accomplished within this initial session;
 2. Participant initial assignment/progression through core/intensive services, training activities, with specific attention to case manager methods for determining individuals' readiness to move ahead to the next level;
 3. Describe local area systems for ensuring adequate and appropriate contact between case managers and individuals receiving Individual Referral/Individual Training Account services, indicating the frequency of such contacts, and otherwise describing the case workers' continued involvement in these individuals' pursuit of improved educational and employment opportunities;
 4. Indicate what post-termination services are available, and how the local area determines which of these services are required; and
 5. Local area procedures for ensuring appropriate oversight of case manager activities as related to both the degree and effectiveness of their continuing interaction with WIA participants.

Planned Participant Post- Assessment Services: Indicate (with an “X”) the available Younger Youth, Older Youth, Dislocated Worker, and Adult WIA individual services, and whether these services are delivered by WIA partners through the Career Center network.

Planned Services:	Delivered Through:		
	Available	Career Center	Other
Younger Youth (14-18 yrs.)			
Basic Education Skills	_____	_____	_____
Remedial	_____	_____	_____
GED Preparatory	_____	_____	_____
Work Readiness Skills	_____	_____	_____
Occupational Skills	_____	_____	_____
 Older Youth (19-21)			
Basic Education Skills	_____	_____	_____
Remedial	_____	_____	_____
GED Preparatory	_____	_____	_____
Work Readiness Skills	_____	_____	_____
Individual Referrals	_____	_____	_____
 Dislocated Workers			
Individual Training Accounts	_____	_____	_____
Indicate Field(s)			
On-the-Job Training	_____	_____	_____
Other Training	_____	_____	_____
 Adults			
Individual Training Accounts	_____	_____	_____
Indicate Field(s)			
On-the-Job Training	_____	_____	_____
Other Training	_____	_____	_____

NOTE: On a separate sheet, please separately indicate specific areas, if any, in which Younger Youth, Older Youth, Dislocated Worker, and Adult occupational skills training, on-the-job training, and/or other training programs are conducted.

Priority Services to Veterans

Section 2.(d) of the Jobs for Veterans Act, transmitted under Governor's Workforce Development Directive No. PY2002-12, dated November 22, 2002, establishes requirements that veterans be afforded priority of service in federally-funded employment and training programs, to include programs funded under the Workforce Investment Act. Additional guidance concerning appropriate Veterans' service strategies are outlined in GWDD No. PY2002-12, Change 1.

Indicate how LWIA program participant outreach and recruitment efforts are structured to help ensure veteran representation in Workforce Investment Act programs is "... in proportion to the representation of veterans in the labor market...."

Youth Performance Incentives

Additionally, briefly describe any youth participant program participation/program performance strategies the local area plans to implement within their PY 2003 Younger Youth/Older Youth programs. Further specifics regarding such Youth program strategies are provided within Governor's Workforce Development Directive No. PY 2002-16 (Youth Program Participation/Performance Incentives).

Required Elements of Youth Program

Briefly discuss local area strategy for providing the following WIA Youth program elements, as required under Section 129(c)(2):

1. Tutoring, study skills training, and instruction leading to completion of secondary school, including dropout prevention strategies;
2. Alternative secondary school services;
3. Summer employment opportunities that are directly linked to academic and occupational learning;
4. Paid and unpaid work experience, including internships and job shadowing;
5. Occupational skill training;
6. Leadership development opportunities;
7. Supportive services;
8. Adult mentoring;
9. Follow-up services for not less than twelve months after completion of program participation; and
10. Comprehensive guidance and counseling services.

Where the above-required Youth program elements are delivered through appropriate "other agency" referral, so indicate, describing local area case manager follow-up measures undertaken to ensure these referral services are satisfactorily delivered to the affected WIA participants.

Youth Program Services to Non-Economically Disadvantaged Persons

WIA Section 129(c)(2) Youth Program services are generally targeted for youth satisfying income eligibility requirements. However, Section 129(c)(5) indicates that up to five percent of a local area's Youth Program participants need not meet relevant income criteria if they belong to one or more specified hardship categories (Section 129(c)(5)(A - G)), or the optional local board - designated "serious barriers as identified by the local board" category (Section 129(c)(5)(H)).

Indicate whether the local area Youth Program plans to extend Section 129 services to non - economically disadvantaged persons, per Section 129(c)(5), and whether the local board has identified Section 129(c)(5)(H) other "serious barriers".

C. LWIA Adult, Youth, Dislocated Worker Performance Goals

Attached to these instructions are the PY 2006 negotiated local workforce investment area performance goals for the Adult, Dislocated Worker, and Youth programs. Local areas should enter in their grant agreement documents the appropriate Adult, Dislocated Worker, Older Youth, and Younger Youth performance goal.

ADULT PROGRAM

Performance Goal

- 1. Entered Employment Rate
- 2. Employment Retention Rate
- 3. Earnings Change in Six Months
- 4. Employment and Credential Rate

DISLOCATED WORKER PROGRAM

Performance Goal

- 1. Entered Employment Rate
- 2. Employment Retention Rate
- 3. Earnings Replacement Rate
- 4. Employment and Credential Rate

YOUTH PROGRAM

Youth (14-18 yrs.)

Performance Goal

- 1. Skill Attainment Rate
- 2. Diploma or Equivalent Attainment Rate
- 3. Retention Rate

Youth (19-21 yrs.)

Performance Goal

- 1. Entered Employment Rate
- 2. Employment Retention Rate
- 3. Earnings Change in Six Months
- 4. Credential Rate

Adult, Dislocated Worker Program On-the-Job Training, Customized Training Activities

WIA Section 134(d)(4)(G)(ii) indicates that a local area may provide on-the-job training and/or customized training services "...pursuant to a contract for services in lieu of an individual training account ..." if the local board determines 1) there are insufficient numbers of eligible providers of training in the local area to accomplish the purposes of a system of individual training accounts, or 2) there is a program of demonstrated effectiveness offered by a community-based organization or other private organizations specifically serving segments of the local area participant population which face multiple employment barriers.

Indicate whether the local area will directly contract on-the-job training and/or customized training programs, pursuant to Section 134(d)(4)(G). If applicable, indicate the local area basis for determination of an otherwise insufficient number of potential individual training account service providers, and/or local area criteria which establish a prospective on-the-job training/customized training provider's demonstrated effectiveness.

E. Participant Payment Systems

Describe the local area's planned delivery system for supportive services, including financial supportive services, to WIA Adult, Dislocated Worker, and Youth participants.

F. Transfer of Funds

Per correspondence of June 30, 2005, USDOL/ETA has granted Alabama's requested waiver of the WIA Section 133(b)(4) Adult Program-Dislocated Worker Program funds transfer authority from a maximum of fifty percent of the Program/Fiscal Year allocation to a maximum of one hundred percent of the Program/Fiscal Year allocation.

Any such LWIA funds transfer request must be submitted in the form of a Grant Agreement Modification, and must further be accompanied by appropriate justification, clearly indicating why the request is being made, and how granting of the request will benefit local area delivery of workforce development services.

Any local workforce investment area funds transfer should observe relevant provisions of the Act.

G. Budget Summary

Each LWIA Grant Agreement Package includes a Grantee Budget Summary (WIA-60) showing the program year funds allocated for each of the funding streams, transfers between the Adult and Dislocated Worker allocations, and the net amounts available for expenditure. In addition, the budget form shows how the funds are planned for expenditure between the administrative and program categories.

Each LWIA will have one year to obligate WIA funds and one additional year to expend the funds, subject to the first year 80 percent obligation requirement and to any subsequent year reallocations. A modification to the Grant WIA-60 will be necessary to depict any increase or decrease in LWIA allocation (net) amounts resulting from such fund reallocations. A modification to the Grant WIA-60 will also be required to document any Governor's 15 Percent (Incentive/Capacity Building) Funds awarded the LWIA.

As applicable, and from the instructions contained on pages 11 and 12, complete a single Grantee Budget Summary (WIA-60) form, depicting LWIA Adult/Dislocated Worker/Youth funding for the grant period, and attach it to the Grant Agreement Package. This WIA-60 budget document will be a part of the Grant Agreement Package until such time as depicted funds have been fully expended.

Note that it is not necessary for local areas to obtain the respective chief local elected official and LWIA Chair signatures when submitting a minor modification to their Grant Agreement Package. Rather, a third page may be attached to the original WIA-59 WIA Grant Agreement Summary. This additional page will indicate the revised WIA-59 Part E. proposed funding, and carry the signature of the local area Grant Recipient representative. Upon State approval of the minor modification, this same page will be countersigned by the Division Director, OWD Workforce Development Division, and attached to the signed WIA Grant Agreement accompanying the originally submitted local area Grant Agreement Package.

The approved local area Grant Agreement Package minor modification will be transmitted back to the local area under a Notice of Action, signed by the Division Director, Workforce Development Division. The Notice of Action will summarize local area WIA funding obligation authority.

H. Forms and Instructions

The following forms and instructions are to be used in the preparation of LWIA Grant Agreement Package:

Item	Form Title/Number	Adult	Dislocated Worker	Youth
A.	Grant Agreement Sheet (WIA-59)	X	X	X
B.	Grantee Budget Summary (WIA-60)	X	X	X
C.	Notice of Governor's Action (WIA-55)/ Notice of Action (WIA-55A) (Plan Approval Documents - for WDD Use Only)	X	X	X

The OWD Workforce Development Division has furnished each LWIA a computer disk containing copies of each form suitable for use in their Grant Agreement submissions.

WORKFORCE DEVELOPMENT DIVISION
Alabama Office of Workfore Development (OWD)

WIA GRANT AGREEMENT

I. WORKFORCE INVESTMENT AREA						A. Plan No.:			
B. Action:		Initial Grant:		Modification:		Revision:			
C. Grant Recipient					D. Administration Entity				
1. Name					1. Name				
2. Organization					2. Organization				
3. Address					3. Address				
4. City					4. City				
5. Zip					5. Zip				
6. Contact					6. Contact				
7. Telephone #					7. Telephone #				
8. E-Mail					8. E-Mail				
E. Proposed Funding									
<u>WIA Funds</u>						\$ _____			
F. Grant Period		Start:			End:			Effective Date	
		Year	Mnth	Day	Year	Mnth	Day		
II. ASSURANCES AND CERTIFICATIONS: Assurances/Certifications on page 2 are part of this Grant Agreement.									
III. LOCAL AREA SUBMISSION (Attach any comments on a separate sheet)									
Name/Title					Signature			Date	
Grant Recipient									
LWIB Chair									
Chief Local Elected Official									
Governor's Designee									
Governor's Designee									

WIA-59

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WORKFORCE DEVELOPMENT DIVISION
Alabama Office of Workforce Development (OWD)

WIA GRANT AGREEMENT

Assurances and Certifications

- A. Signatories assure this Grant Agreement will be executed in accordance with the Workforce Investment Act of 1998 applicable federal regulations, State law, and Governor's Directives, pursuant to WIA , as published and amended.
- B. Liability for funds under this grant rests with the local workforce investment area grant recipient/signatory.
- C. Modifications to this initial grant become effective only after approval by the Governor's Designee. Plan modifications must adhere to advance publication requirements and be submitted according to directive procedures. Funding is contingent on actual appropriations by Congress.
- D. This grant is comprised of planned performance/ payment systems narrative and a grantee budget summary.
- E. The ADECA Workforce Development Division, acting for the Governor, will monitor for performance and require such reports as may be necessary to carry out this responsibility.
- F. Parties to this agreement certify to the best of their knowledge and belief that information contained in the attached plan/modification is a reasonably accurate depiction of WIA-funded planned activities. Signatories to the Agreement further attest that the LWIA and the LWIB will comply with the WIA assurances attached to the LWIA 5 Year Plan.
- G. Comply with the WDD Procurement policy (includes all subrecipient/contractor levels).
- H. Comply with the ADECA Audit Policy, and with OMB Circular A-133.
 - I. Certify that systems and procedures are in effect which parallel those described within the local area plan.
 - J. Comply with other applicable statutes as related to workforce development programs.
- K. It is agreed that the terms and commitments contained herein shall not be constituted as a debt of the State of Alabama in violation of Article 11, Section 213 of the Constitution of Alabama, 1901, as amended by Amendment No. 26. It is further agreed that if any provision of this grant shall contravene any statute or Constitutional provision or amendment, either now in effect or which may, during the course of this grant, be enacted, then that conflicting provision in the grant shall be deemed null and void. The grant's sole remedy for the settlement of any and all disputes arising under the terms of this agreement shall be limited to the filing of a claim with the Board of Adjustments for the State of Alabama.

For any and all disputes arising under the terms of this grant , the parties herto agree, in compliance with the recommendations of the Governor and the Attorney General, whoen considering settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution, including, but not limited to, mediation by and through the Attorney General's Office fo Administrative Hearings, or , where appropriate, private mediators.

WORKFORCE DEVELOPMENT DIVISION
Alabama Department of Economic and Community Affairs (ADECA)
WIA GRANT AGREEMENT

Minor Modification, Revised Funding

E. Proposed Funding WIA Funds	\$ _____
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Grant Recipient

Date

Division Director,
Workforce Development Division

Date

WORKFORCE DEVELOPMENT DIVISION
Alabama Department of Economic and Community Affairs (ADECA)

NOTICE OF ACTION FOR LWIA PLANS

1. LOCAL WORKFORCE INVESTMENT AREA GRANTEE:		2 GRANT TYPE:			
NAME: _____		Plan No. _____			
ADDRESS: _____		<input type="checkbox"/> Modification _____			
_____		3. Effective Date of Action:			
_____ (State) _____ (Zip)					
4. Summary:					

5. Explanation of Funding:					
Source:	Reference:	Adult	Dislocated Worker	Youth	Total
Allocation	GWDD _____	_____	_____	_____	_____
Reallocation	GWDD _____	_____	_____	_____	_____
Incentive Av	GWDD _____	_____	_____	_____	_____
Transfers	Plan _____	_____	_____	_____	_____
Total PY Funds Available:		_____	_____	_____	_____
6. Review:					
_____ Staff		_____ Staff		_____ Supervisor, State Planning	
7. Concurrence:					

Division Director, Workforce Development					