

**ALABAMA WORKFORCE INVESTMENT SYSTEM**

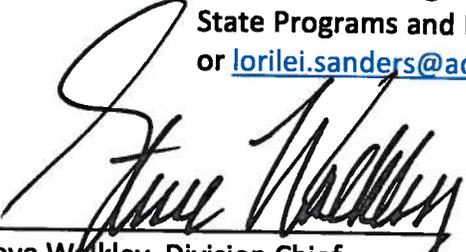
**Department of Economic and Community Affairs  
Workforce Development Division  
401 Adams Avenue  
Post Office 5690  
Montgomery, Alabama 36103-5690**

March 21, 2014

**GOVERNOR'S WORKFORCE DEVELOPMENT DIRECTIVE NO. PY2013-05, Change 1**

**SUBJECT:** PY 2014/FY 2015 Local Workforce Investment Area Plans

- 1. Purpose.** To provide Local Workforce Investment Boards with an updated grant agreement package for the development and submission of their respective PY 2014/FY 2015 Local Area Plans.
- 2. Discussion.** Subsequent to issuance of the Program Year 2014/Fiscal Year 2015 planning guidance via GWDD Number PY 2013-05 on February 3, 2014, it has been determined that parts of the planning package (required for the submittal of local area plans) should be updated to reflect updates due to the State's Immigration Law (Clause X). Also, Clause N was updated to reflect current procedures for dispute resolution, and other assurance and certification clauses have been added to incorporate recent issuances. Additionally, the entire package has been revised to accommodate all of the WIA waivers granted to the State for local workforce area use.
- 3. Action.** Each local board shall use the attached documents when preparing/submitting its respective PY 2014/FY 2015 Local Area Plans. Local Area Plans should be received at the Workforce Development Division by June 3, 2014 as noted in GWDD PY 2013-05.
- 4. Contact.** Any questions regarding this Directive should be referred to Lorilei Sanders, State Programs and Divisional Budget Management Section at (334) 353-1632 or [lorilei.sanders@adeca.alabama.gov](mailto:lorilei.sanders@adeca.alabama.gov).

  
Steve Wakley, Division Chief  
ADECA, Workforce Development Division

3/21/2014  
Date

Attachments:

Grant Agreement Package

## **Grant Agreement Package**

The WIA Grant Agreement package depicts a local area's planned WIA Youth, Dislocated Worker, and Adult participant training services (Basic Skills, Classroom Training, Individual Referrals, ITAs, OJT contracting, etc.), proposed 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:
  - a. Participants' career goals.
  - b. The appropriate array of available core/intensive services which may be provided to participants in order to help achieve these goals.
  - c. Initial assessment session may also consider whether participant goal achievement is likely to require additional occupational training or retraining services.
  - d. Determination of what additional support services participants may require to adequately address their human services and 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.

**B. Planned Participant Post – Assessment Services:**

Indicate (with an "X") the available Youth, Dislocated Worker and Adult WIA individual services, and whether these services are delivered by WIA partners through the Career Center network.

<b>Planned Services:</b>	<b>Delivered Through:</b>		
<b>Youth (14 – 21)</b>	<b>Available</b>	<b>Career Center</b>	<b>Other</b>
Basic Education Skills	_____	_____	_____
Remedial	_____	_____	_____
GED Preparatory	_____	_____	_____
Work Readiness Skills	_____	_____	_____
Occupational Skills	_____	_____	_____
Individual Referrals	_____	_____	_____
Other:_____	_____	_____	_____
<b>Dislocated Workers</b>			
Individual Training Accounts	_____	_____	_____
On-the-Job Training	_____	_____	_____
Other Training	_____	_____	_____
<b>Adults (18+)</b>			
Individual Training Accounts	_____	_____	_____
On-the-Job Training	_____	_____	_____
Other Training	_____	_____	_____

**NOTE:** On a separate sheet, please separately indicate specific area, if any, in which Youth, Dislocated Worker and Adult Occupational Skills Training and On-the-Job Training programs are conducted.

**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) provides for Youth Program services that 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:**

The State has been granted a waiver through June 30, 2017 that allows the State to replace the seventeen performance measures under WIA Section 136(b) with the common measures. The common measures assess performance of Youth (including both Younger Youth and Older Youth) and Adults (including both Adults and Dislocated Workers) served through WIA. Local Workforce Investment Areas should provide their respective proposed performance goals for the Adult, Dislocated Worker, Younger Youth and Older Youth programs in their grant agreement documents for consideration. The State office will be in contact with each local area to negotiate goals as Plans are reviewed.

**Program:**

**Performance Goal:**

**Adult**

Entered Employment Rate  
Employment Retention Rate  
Average Earnings

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

**Dislocated Worker**

Entered Employment Rate  
Employment Retention Rate  
Average Earnings

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

**Youth (14-21)**

Literacy and Numeracy Gains  
Placement in Employment or Education  
Attainment of a Degree or Certificate

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

As indicated in Governor's Workforce Development Directive No. PY06-04, dated February 2, 2007, "...local areas are responsible for the design and development of WIA participant training programs which meet the applicable requirements of USDOL TEG L No. 17-05, as appropriate to accommodate local labor market conditions..."

Each local area must provide a narrative description of adopted WIA credentialing/certificate programs and procedures in sufficient detail to indicate reasonable compliance with the applicable requirements of TEG L No. 17-05 and any subsequent additions or changes to TEG L No. 17-05.

**D. 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.

Specify any and all activities in which you plan to engage in this program year, including youth and incumbent worker training programs.

Please note that the State requested and was granted a waiver to permit an increase in employer reimbursement for on-the-job training through a sliding scale based on the size of the business. Under the waiver, the following reimbursement amounts will be permitted: 1) up to 90 percent for employers with 50 or fewer employees, and 2) up to 75 percent for employers with 51 – 250 employees. For employers with more than 250 employees, the current statutory requirements (50 percent reimbursement) continue to apply. The State has been granted this waiver through June 30, 2017.

The State also requested and was granted a waiver to allow up to 10 percent of local Dislocated Worker funds and up to 10 percent of local Adult funds for incumbent worker training only as part of a lay-off aversion strategy. Use of Adult funds must be restricted to serving low-income adults under this waiver. All training delivered under this waiver is restricted to skill attainment activities. Local areas must continue to conduct the required local employment and training activities at WIA section 134(d), and the State is required to report performance outcomes for any individual served under this waiver in the Workforce Investment Act Standardized Record Data System (WISARD). The State has been granted this waiver through June 30, 2017.

**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 December 5, 2012, USDOL/ETA has granted Alabama's requested waiver permitting an increase in the transferable amount between the Adult and Dislocated Worker funding streams. The State has been granted this waiver through June 30, 2017. Under the waiver, transfer authority is limited to 50 percent.

Any such LWIA funds transfer request must be submitted in the Grant Agreement document or 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 Incentive/Capacity Building funds awarded the LWIA.

Using the allocations for Program Year 2014 WIA Adult, Youth, and Dislocated Worker programs, which can be found in the annual allocation directive upon receipt of funding amounts from the USDOL/ETA and allocation by the State Office, complete a 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 budgeted 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 Chief, 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 Chief, Workforce Development Division. The Notice of Action will summarize local area WIA funding obligation authority.

Note: Definitions constituting a minor modification can be found in GWDD PY2004-14, Change 3. 1) A reduction or an increase in overall local area program year/fiscal year funding amount of \$50,000 or less, 2) any changes to previously approved program year/fiscal year performance goal measures of less than five percent, or 3) the addition/deletion of up to two planned program year/fiscal year participant activities.

**H. Forms and Instructions:**

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

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

The Workforce Development Division has furnished each LWIA an electronic copy of each form suitable for use in their Grant Agreement submissions. Additional copies may be requested by contacting Lorilei Sanders, Workforce Development Division, State Planning at (334) 353-1632.

**Alabama Department of Economic and Community Affairs (ADECA)  
Workforce Investment Act  
Grant Agreement**

<b>A. Plan No.:</b>	<b>Modification:</b>	<b>Revision:</b>	<b>Effective Date:</b>
<b>B. Grant Recipient</b>		<b>C. Administration Entity</b>	
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	
<b>D. Program/Fiscal Year Proposed Funding:</b> WIA Funds		<b>E. Grant Period</b>  Start:                      End:	
<b>II. ASSURANCES AND CERTIFICATIONS:</b>		Assurances/Certifications on page 2 are part of this Grant Agreement.	
<b>III. LOCAL AREA SUBMISSION (Attach any comments on a separate sheet):</b>			

Name/Title	Signature	Date
<b>Grant Recipient</b>		
<b>Chair, Local Workforce Investment Board</b>		
<b>Director, ADECA</b>		
<b>Governor</b>		

**Alabama Department of Economic and Community Affairs (ADECA)**  
**Workforce Investment Act**  
**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. As a condition of the award of financial assistance from the Department of Labor under Title I of WIA , 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 Investment Act of 1988 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I - financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color, and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; the Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The grant applicant also assures that it will comply with 29 CFR part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I - financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I - financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

- H. Comply with the Americans with Disabilities Act of 1990, Title II, Subtitle A.
- I. Comply with the OSHA work place requirements.
- J. Comply with the WDD Procurement policy (includes all subrecipient/contractor levels).
- K. Comply with the ADECA Audit Policy, and with OMB Circular A-133.
- L. Certify that systems and procedures are in effect which parallel those described within the local area plan.
- M. Comply with other applicable statutes as related to workforce development programs.
- N. 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 contract, the parties hereto agree, in compliance with the recommendations of the Governor and Attorney General, when considering settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation.

- O. **Veterans Priority Provisions:** This program, funded by the U.S. Department of Labor is subject to the provisions of the "Jobs for Veterans Act" (JVA), Public Law 107-288 (38 USC 4215), as implemented by 20 CFR Part 1010. The JVA provides priority of service to veterans and spouses of eligible veterans for the receipt of employment, training, and placement services. Agreement by a program operator to implement priority of service is a condition of receipt of DOL funds. The Planning Guidance (either the Stand-Alone Planning Guidance at 73 FR 72853 (December 1, 2008)) or the Unified Planning Guidance at 73 FR 73730 (December 3, 2008) requires states to describe the policies and strategies in place to ensure, pursuant to the Jobs for Veterans Act and the regulations, that priority of service is provided to veterans (and certain spouses) who otherwise meet the eligibility requirements for all employment and training programs funded in whole or in part by the U.S. Department of Labor. In addition, the states are required to provide assurances that they will comply with the Veterans' Priority of Service Provisions established by the Jobs for Veterans Act (38 USC

4215) and TEGL 10-09 (issued November 10, 2009). TEGL 10-09 is available at [http://wr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

- P. **Buy American Notice Requirement:** It is the sense of Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under the Workforce Investment Act should be American made. See WIA Section 505 – Buy American Requirements.
- Q. **Salary and Bonus Limitations:** In compliance with Pub. L. 111-117 (Division D, sec. 107), none of the funds appropriated in the Act under the heading 'Employment and Training' shall be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation shall not apply to vendors providing goods and services as defined in OMB Circular A-133. Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative costs-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment & Training Administration programs. See Training and Employment Guidance Letter number 5-06 for further clarification.
- R. **Intellectual Property Rights:** The Federal Government reserves a paid-up, nonexclusive and irrevocable licenses to reproduce, publish or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the grantee, subgrantee or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. Federal funds may not be used to pay any royalty or licensing fee associated with such copyrighted work, or the cost of acquiring by purchase a copyright in a work, although they may be used to pay costs for obtaining a copy which is limited to the developer/seller costs of copying and shipping. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income is added to the grant and must be expended for allowable grant activities.
- If applicable, the following needs to be on all products developed in whole or in part with grant funds:  
This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it. Internal use, by an organization and/or personal use by an individual for non-commercial purposes, is permissible. All other uses require the prior authorization of the copyright owner."
- S. **WIA PY2013 Agreement Transparency Act:** Federal Funding Accountability and Transparency Act of 2006 Pub. L. 109-282 as amended by section 6202 of Pub. L. 110-252 ("FFATA"). Grantees must ensure that they have the necessary processes and systems in place to comply with the reporting requirements of FFATA. See Training and Employment Guidance Letter (TEGL) No. 11-10 (issued November 15, 2010) <http://wdr.doleta.gov/directives/attache/TEGL/TEGL11-10acc.pdf> (and upcoming Change 1), and Attachment A to this agreement. (Note: ADECA's Workforce Development Division is responsible for issuing reporting guidelines for compliance and all local workforce areas should follow those guidelines to comply with Public Law 109-282 as awarded.)
- T. **Executive Order 13333:** This agreement may be terminated without penalty, if the grantee or any subgrantee, or the contractor or any subcontractor (i) engages in severe forms of trafficking in persons or has procured a commercial sex act during the period of time that the grant, contract, or cooperative agreement is in effect, or (ii) uses forced labor in the performance of the grant, contract, or cooperative agreement." (22 U.S.C. § 7104(g))
- U. **Special Requirement for Conferences and Conference Space:** Grantee must obtain prior approval from the Grantor before holding any conference (which includes meeting, retreat, seminar, symposium, training activity or similar event held in either federal or non-federal space), or any activity related to holding a conference, including, but not limited to, obligating or expending Grantor funds, signing contracts for space or services, announcing Grantor's involvement in any conference, and using Grantor official's name or Grantor's name or logo. Grantor retains the right to obtain information from the Grantee about any conference that is funded in whole or in part with Grantor funds.
- V. **Seat Belts:** Pursuant to Executive Order (EO) 13043 (April 16, 1997), Increasing the Use of Seat Belts in the United States, recipients are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating vehicles, whether organizationally owned or rented or personally owned.

- W. Executive Order 13513: Sec. 4. Text Messaging While Driving by Government Contractors, Subcontractors, and Recipients and Subrecipients. Contractors, subcontractors, and recipients and subrecipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or Government-owned, Government-leased, or Government-rented vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the Government, and to conduct initiatives of the type described in section 3(a) of the Executive Order.**
- X. By signing this contract, grant, or other agreement, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.**

WIA-59

Rev. 03/14

**Alabama Department of Economic and Community Affairs (ADECA)**  
**Workforce Investment Act**  
**Grant Agreement Minor Modification**

**Minor Modification\*, Revised Funding, Goal Revision:**

**F. Program/Fiscal Year Proposed Funding:**  
WIA Funds \$

\_\_\_\_\_  
Grant Recipient

\_\_\_\_\_  
Date

\_\_\_\_\_  
Division Chief,  
Workforce Development Division

\_\_\_\_\_  
Date

\* Note: A 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. Approval authority for minor modifications to local area's approved Workforce Investment Act Grant Agreement Packages are delegated to the Division Director, Workforce Development Division. See GWDD 2004-14, Chg. 3 for additional information regarding minor modification requests.

**Alabama Department of Economic and Community Affairs (ADECA)**

**Workforce Investment Act**

**Grant Agreement Instructions**

**I. GRANT RECIPIENT/DESIGNEE**

**A. Plan No.:**

Enter the two digit local area plan number, per the following:

1st digit - year of WIA funds, e.g., 4 for 2014, 5 for 2015, etc.

2nd digit - local area, e.g., 2 for AWIA, 3 for Jefferson, or 4 for Mobile.\*

**Modification:**

Indicate modification sequence: "0" for initial plan, "A" for first modification, "B" for second modification, etc.

**Revision:**

Revisions should only be used to indicate minor modifications.\*\* Revision sequence: "1" for first minor modification, "2" for second minor modification revision, etc.

For example, 43-0 would be the Jefferson initial PY2014 Plan, 43-A would be the first modification to the Jefferson PY2014 Plan, 43-A Rev. 1 would be the first minor modification revision to the first modification of the Jefferson PY2014 Plan.

**Effective Date:**

This is the date the Plan, modification, or revision takes effect according to the effective date indicated within the corresponding directive. If an effective date is not provided in the directive the directive's release date should be used.

**B. Grant Recipient:**

Enter the name, organization, address, contact person, telephone, and E-mail address of the grant recipient.

**C. Administrative Entity:**

If different from the Grant Recipient, enter the name, organization, address, contact person, telephone number, and E-mail address of the administrative entity; otherwise, leave blank.

**D. Program/Fiscal Year Proposed Funding:**

Indicate the PY/FY time periods and fund origins, e.g., PY14/FY15 WIA Funds. Enter the total amount of actual or estimated LWIA funding for the time period covered by this action. This entry should be identical to that recorded on line 3.d. (Total LWIA Funds) of the accompanying WIA-60 form.

**E. Grant Period:**

Enter the start date and end date of the grant period.

**II. ASSURANCES AND CERTIFICATIONS**

Review the assurances and certifications on page 2 of the WIA-59; these are binding requirements on the LWIA.

**III. LOCAL AREA SUBMISSION**

Enter the typed name and title of each authorized signatory, as appropriate. Enter the signature of each authorized signatory beside the typed name and title.

\* Note: This digit has been modified to coincide with standard Local Area numbering references.

\*\* 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 form, WIA-59 A, may be attached to the original WIA-59 WIA Grant Agreement Summary. The WIA-59 A form 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, the WIA-59 A form will be countersigned by the Division Director, 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.

State of Alabama  
Alabama Office of Workforce Development  
Workforce Development Division

Grantee Budget Summary

<b>1. Grant Recipient:</b>									
Address:									
Contact Person:					E-mail:				
Title:					Phone No.:		Fax No.:		
<b>2. Plan No.:</b>									
Yr. of Funds:									
Grant Period - Adult/D.W.:									
USDOL Grant No.:									
<b>3. Program:</b>									
	Governor's Set Aside	Adult Funds	Youth Funds	Dislocated Worker Funds	d. Total LWIA Funds				
a. CFDA Number		17,258	17,259	17,278					
b. Allocation Year									
c. Fund Allocation/Grant Amount									
<b>4. Cost Categories/Budget:</b>									
a. Administration Funds									
b. Program Funds									
c. Program Fund Transfers									
d. Adjusted Program Funds									
e. Total Funds									
Remarks:									

## **WIA NOTICE OF GOVERNOR'S ACTION FOR LWIA PLANS**

The WIA-55 Notice of Governor Action (NGA) is a LWIA plan approval document. The NGA will be attached to all approved LWIA plans, including the original Five- Year Plan Grant Agreement Package, and each subsequent Plan Modification.

The NGA will be prepared by WDD staff. No LWIA staff action is required.

NGAs will feature details regarding the break down of LWIA available funds beyond that provided by the WIA - 60 Grantee Budget Summary. This detail will include allocations, incentive awards, fund reallocations, and Adult - Dislocated Worker funds transfers.

NGAs will provide an overview of total available PY funds. These documents should prove useful to State and local area staff for fund tracking and identification purposes.