**Regional and Local Plan Policy, Change 2**

# **REFERENCE**

Workforce Innovation and Opportunity Act of 2014 (WIOA) Section 106; 20 CFR §§ 679.200, 679.220, 679.500, 679.510, 679.550, and 679.560; [Combined State Plan for Nebraska’s Workforce System, July 1, 2016 through June 30, 2020](http://dol.nebraska.gov/webdocs/WIOAPlans/29/WIOA_NCSP_F01_01OCT2016.pdf) (Combined State Plan)

# **BACKGROUND**

WIOA requires each local workforce development board (local board) to submit a 4-year plan to the Governor for its local workforce development area (local area). If the local area is part of a designated planning region, the local board is also required to submit its plan as part of a regional 4-year plan. This policy provides guidance for the requirements, submission, and approval for each of the three (3) regional and local plans.

# **CHANGES**

This Change 2 implements changes to the Regional and Local Plan Policy, Change 1.

* The last sentence in [Section III(a)](#_Designated_local_areas) has been revised to read as: “The Governor will initiate the subsequent designation process prior to Program Year 2018.” In Change 1, Program Year 2017 was incorrectly referenced.
* [Section V. Criteria for Regional and Local Plan Modifications and Revisions](#_Criteria_for_Regional) has been revised.
* [Section VI. Submission Procedures](#_Submission_Procedures) has been revised.
* [Section VII. Approval Processes](#_Approval_Processes) has been revised.
* [Section VIII. Timelines](#_Timelines) has been revised.
* [APPENDIX IV. All-inclusive Timelines](#_All-inclusive_Timelines) has been added to this policy.
* The example table of contents in the regional and local plan template (provided as [APPENDIX III](#_Regional_and_Local)) has been updated to include references to the Executive Summary and Chapters 1 through 6, which were inadvertently omitted in Change 1.

The remainder of the policy remains unchanged.

# **ACTION**

This policy supersedes and cancels the Nebraska Department of Labor (NDOL) Regional and Local Plan Policy, Change 1 (effective date December 30, 2016).

This policy is final after a 10-day review period. Questions and comments must be submitted in writing to the WIOA policy mailbox at [ndol.wioa\_policy@nebraska.gov](mailto:ndol.wioa_policy@nebraska.gov).

For Program Years 2017 through 2020 (July 1, 2017 through June 30, 2021), each local board must:

* in partnership with the local chief elected official, (CEO[[1]](#footnote-1)), participate in regional planning activities;
* prepare a 4-year regional and local plan based on the requirements established in this policy;[[2]](#footnote-2)
* ensure that its regional and local plan compliment and align with the Combined State plan, including the vision, guiding principles, goals and strategies; and
* submit a 4-year regional and local plan no later than March 15, 2017.[[3]](#footnote-3)

# **POLICY**

This policy identifies the:

* vision, guiding principles, goals and strategies for Nebraska’s workforce system as established in the Combined State Plan;
* designated planning regions;
* designated local areas; and
* assignment of local areas to planning regions.

This policy establishes the:

* requirements for preparation and submission of a regional and local plan;
* criteria for regional and local plan modifications and revisions;
* submission procedures for:
  + the regional and local plan; and
  + regional and local plan modifications and revisions;
* approval process for:
  + the regional and local plan; and
  + regional and local plan modifications and revisions;
* timelines for the regional and local plan and required modifications and revisions.

This policy is organized into eight (8) sections and includes four (4) appendices.

[Section I. Purpose of the Regional and Local Plan 3](#_Toc473204647)

[Section II. Combined State Plan for Nebraska’s Workforce System 4](#_Toc473204648)

[Section III. Local Areas and Planning Regions 6](#_Toc473204653)

[Section IV. Requirements for Development of the Regional and Local Plan 8](#_Toc473204657)

[Section V. Criteria for Regional and Local Plan Modifications and Revisions 12](#_Toc473204662)

[Section VI. Submission Procedures 13](#_Toc473204666)

[Section VII. Approval Processes 15](#_Toc473204670)

[Section VIII. Timelines 16](#_Toc473204674)

[APPENDIX I. Map of WIOA Planning Regions showing Areas of Economic Concentration 18](#_Toc473204676)

[APPENDIX II. List of Areas of Economic Concentration 19](#_Toc473204677)

[APPENDIX III. Regional and Local Plan Template 21](#_Toc473204678)

[APPENDIX IV. All-inclusive Timelines 140](#_Toc473204762)

## **Purpose of the Regional and Local Plan**[[4]](#footnote-4)

The regional and local plan is a single document that combines the required regional and local planning elements to meet WIOA requirements. The regional and local plan serves as a 4-year action plan to:

* develop, align, and integrate service delivery strategies regionally and locally; and
* support the vision, guiding principles, goals, and strategies established in the Combined State Plan.

The regional and local plan establishes the strategies for:

* directing investments in economic, education, and workforce training programs to focus on providing relevant education and training to ensure that:
  + individuals, including youth and individuals with barriers to employment, have the skills to compete in Nebraska’s job market; and
  + employers have a ready supply of skilled workers;
* applying job-driven strategies in the one-stop delivery system;
* enabling economic, education, and workforce partners to build a skilled workforce through innovation in, and alignment of, employment, training, and education programs; and
* coordinating resources among local boards within the region.

WIOA requires that NDOL establish and disseminate to local boards a policy that establishes:

* the requirements for development and submission of the regional and local plan; and
* timelines for development and submission of the regional and local plan.

This policy satisfies that requirement.

## **Combined State Plan for Nebraska’s Workforce System**

The Combined State Plan establishes the vision, guiding principles, goals, and strategies for Nebraska’s workforce system, all of which were developed by Combined State Plan Partners and adopted by the Nebraska Workforce Development Board.

The Combined State Plan Partners involved in the development of the Combined State Plan are:

* WIOA Core Partners
  + Adult, Dislocated Worker, and Youth programs (WIOA Title I)
  + Adult Education and Family Literacy Act programs (WIOA Title II)
  + Wagner-Peyser Employment Service program (WIOA Title III)
  + Nebraska Commission for the Blind and Visually Impaired (WIOA Title IV)
  + Nebraska Vocational Rehabilitation Program (WIOA Title IV)
* Additional Combined State Plan Partners and Programs
  + Jobs for Veterans State Grant (JVSG) program
  + Senior Community Service Employment Program (SCSEP)
  + Temporary Assistance for Needy Families (TANF) program
  + Trade Adjustment Assistance (TAA) program
  + Unemployment Insurance (UI) program

### Vision[[5]](#footnote-5)

Nebraska’s workforce system delivers statewide **coordinated**, **proactive**, and **responsive** **and** **adaptable** services for jobseekers and employers to maximize opportunities for earning, learning, and living.

### Guiding Principles[[6]](#footnote-6)

**Coordinated**:

* The Combined State Plan strategies are **coordinated** – with partners working collaboratively, sharing information, and aligning policies across programs to ensure efficiency and enhanced access.
  + common intake procedures
  + aligning terminology
  + integrating technology
  + targeted outreach
  + enhancing access to available services
  + improving data sharing and analysis
  + sharing knowledge to facilitate referrals
  + increasing co-enrollment of partner-program participants

**Proactive**:

* The Combined State Plan strategies are **proactive** – anticipating future problems, needs, and changes.
  + coordinating policy development
  + public sector partnerships
  + developing and implementing sector strategies
  + promoting and targeting high wage, high skill, and high demand jobs
  + developing career pathways
  + aligning education, credentialing, and placement
  + expanding work-based learning opportunities
  + planning for the impacts of disruptive technology and innovation
  + increasing school careers and workforce professionals’ knowledge and exposure to the job opportunities in Nebraska

**Responsive** **and** **Adaptable**:

* The Combined State Plan strategies are **responsive** **and** **adaptable** – continuously improving to meet the changing needs of jobseekers and employers.
  + coordinating funding streams
  + assessing systems collaboratively to ensure continuous improvement
  + coordinating with local and regional areas
  + targeted distribution of available funding streams
  + targeted acquisition of new funding streams and other resources
  + working closely with each WIOA-designated region
  + promoting career readiness
  + continuous improvement of workforce development strategies
  + continued development and dissemination of online resources

### Goals[[7]](#footnote-7)

In support of Nebraska’s vision for a **coordinated**, **proactive**, and **responsive** **and** **adaptable** approach to workforce development, the Combined State Plan identifies four (4) goals to prepare an educated and skilled workforce that meets the needs of employers. These four (4) goals articulate a coordinated approach and seek to establish an economic climate that serves employers, workers and those communities where these stakeholders operate and work. In addition, these goals:

* respond to the identified capacity gaps and weaknesses within Nebraska’s workforce system as described in the Combined State Plan;
* build upon the strengths of the partnering programs;
* meet present and anticipated challenges and labor needs;
* account for the unique workforce characteristics within Nebraska and its workforce regions; and
* establish a climate that serves workforce system key stakeholders, including the preparation of an educated and skilled workforce and meeting the workforce needs of Nebraska’s employers.

1. Nebraska *will* enhance coordination between plan partners and other key stakeholders at all stages of the workforce development spectrum to ensure jobseekers and businesses are provided highly coordinated and seamless services, reducing duplication of effort, better understanding the needs of employers and workers, and maximizing the resources available to the state’s workforce partners.
2. Nebraska *will* increase workforce participation by expanding access, support and service to assessment, education, training, employment services and other forms of assistance that prepare Veterans, low-income individuals, English Language Learners, single parents, farmworkers, in-school and out-of-school youth, the unemployed and other disadvantaged populations for rewarding careers within the state.
3. Nebraska *will* enhance employer engagement between secondary and post-secondary education institutions and training programs to better meet employers’ workforce needs through industry-driven strategies. These strategies will incorporate the proactive use of available workforce and industry data to help determine future industry needs, potential workforce disruptions, and to ensure the availability of a skilled workforce to drive growth within the state’s high-wage, high-skill and high-demand industries and occupations.
4. Nebraska *will* promote self-sufficiency among Nebraska’s disadvantaged populations by eliminating barriers to employment and providing coordinated services that lead to family-sustaining employment.

### Strategies

As stated above, the vision for Nebraska’s workforce system is a workforce system that meets the needs of both employers and workers. In support this vision, the Combined State Plan Partners developed twenty-eight (28) strategies to operationalize each of the four (4) goals listed in Section (c) above. The strategies are listed under their respective goals in Section II.c.1. of the [Combined State Plan](http://dol.nebraska.gov/webdocs/WIOAPlans/29/WIOA_NCSP_F01_01OCT2016.pdf).

## **Local Areas and Planning Regions**

### Designated local areas

The Governor has designated local workforce development areas (local areas).[[8]](#footnote-8) The purpose of the local area is to serve as a jurisdiction for the administration of workforce development activities and execution of Adult, Dislocated Worker, and Youth program funds allocated by NDOL.[[9]](#footnote-9)

Currently, Nebraska has three (3) designated local areas:

1. Greater Omaha Local Workforce Development Area (Greater Omaha), serving Douglas, Sarpy, and Washington counties;
2. Greater Lincoln Local Workforce Development Area (Greater Lincoln), serving Lancaster and Saunders counties; and
3. Greater Nebraska Local Workforce Development Area (Greater Nebraska), serving the remaining 88 Nebraska counties.

The Governor will initiate the subsequent designation process prior to Program Year 2018.

### Designated planning regions

The Governor has designated three (3) planning regions.[[10]](#footnote-10) The purpose of identifying regions is to align workforce development activities and resources with larger regional economic development areas and available resources to provide coordinated and efficient services to both job seekers and employers.[[11]](#footnote-11) Nebraska’s three (3) regional planning areas are outlined below and depicted in [APPENDIX I. Map of WIOA Planning Regions showing Areas of Economic Concentrations](#_Map_of_WIOA):[[12]](#footnote-12)

1. Metro Region - covers Dodge, Douglas, Cass, Sarpy, Saunders, and Washington counties, with Douglas County being the focal county;
2. Southeast Region - covers Fillmore, Gage, Jefferson, Johnson, Lancaster, Nemaha, Otoe, Pawnee, Richardson, Saline, Seward, Thayer, and York counties, with Lancaster County being the focal county; and
3. Greater Nebraska Region - covers the remaining seventy-four (74) counties in Nebraska and includes ten (10) focal counties: Adams, Buffalo, Cheyenne, Hall, Holt, Lincoln, Madison, Platte, Red Willow, and Scotts Bluff counties.

The term *area of economic concentration* refers to one (1) or more areas in a planning region where economic activities area concentrated.[[13]](#footnote-13) Each planning region has at least one (1) area of economic concentration.

The term *focal county* refers to the main county or counties in an area of economic concentration to which employees from other counties commute for work. Each region has at least one (1) focal county.

[APPENDIX II. List of Areas of Economic Concentration](#_List_of_Areas) provides a listing of areas of economic concentration in Nebraska and identifies the counties in each area and includes the population for the counties as well as the number of worksites in the counties.[[14]](#footnote-14)

### Local area assignments to planning regions

The Governor has assigned each WIOA local area to a planning region.[[15]](#footnote-15) Under Nebraska’s regional configuration, local areas are assigned to the planning regions as described in Table 1. For each planning region, one (1) local board is designated as the “lead local board.”

*Table 1. Lead Local Boards and Responsibilities*

| Planning Region | | Lead Local Board | Lead Local Board Responsibilities |
| --- | --- | --- | --- |
| Metro | | Greater Omaha Workforce Development Board | 1. coordinating the Metro regional planning activities, including collaborating with the:    1. one-stop and workforce system partners, which must include representatives from the Greater Nebraska and Greater Lincoln Workforce Development Area WIOA Title I (Adult, Dislocated Worker, and Youth programs) service providers in Cass, Dodge, and Saunders counties; and    2. one-stop and workforce system partners, which must include representatives from the Greater Nebraska and Greater Lincoln Workforce Development Area WIOA Title I (Adult, Dislocated Worker, and Youth programs) service providers in Cass, Dodge, and Saunders counties; and 2. preparing and submitting the Metro and Greater Omaha regional and local plan. |
| Southeast | | Greater Lincoln Workforce Development Board | 1. coordinating the Southeast regional planning activities, including collaborating with the:    1. one-stop and workforce system partners, which must include representatives from the Greater Nebraska Workforce Development Area WIOA Title I (Adult, Dislocated Worker, and Youth programs) service providers in Fillmore, Gage, Jefferson, Johnson, Nemaha, Otoe, Pawnee, Richardson, Saline, Seward, Thayer, and York counties; and    2. Greater Nebraska Workforce Development Board, which has oversight of Fillmore, Gage, Jefferson, Johnson, Nemaha, Otoe, Pawnee, Richardson, Saline, Seward, Thayer, and York counties; and 2. preparing and submitting the Southeast and Greater Lincoln regional and local plan. |
| Greater Nebraska | Greater Nebraska Workforce Development Board[[16]](#footnote-16) | | 1. coordinating the Greater Nebraska in regional planning activities, including collaborating with the:    1. WIOA Title I (Adult, Dislocated Worker, and Youth programs) service providers in the remaining 74 counties in Nebraska; and    2. Workforce system representatives in each of the 10 focal counties; and 2. preparing and submitting the Greater Nebraska regional and local plan. |

## **Requirements for Development of the Regional and Local Plan**

### Required Planning Activities

Requirements for regional and local planning are defined in Table 2.[[17]](#footnote-17) The lead local board must act as strategic leader and convener of regional planning activities.

*Table 2. Required planning activities*

| Activity |
| --- |
| 1. Each local board must participate in a regional planning process that results in: 2. preparation of the regional components of the regional and local plan; 3. establishment of regional workforce system including service strategies, including: 4. staff development; 5. common intake; 6. co-enrollment; 7. co-case management; and 8. referral and follow-up services; and 9. development and implementation of sector initiatives for in-demand industry sectors or high wage, high skill, high-demand (H3) occupations for their assigned planning region, including coordinated business services; 10. collection and analysis of regional labor market data; including: 11. economic conditions including existing and emerging in-demand industry sectors and occupations; and 12. employment needs of employers in existing and emerging in-demand industry sectors and occupations; 13. establishment of administrative cost arrangements, including the pooling of funds for administrative costs, as appropriate, for the region; 14. coordination of transportation and other supportive services as appropriate; 15. coordination of services with regional economic development services and providers, including 16. review of local applications submitted under WIOA Title II (Adult Education and Family Literacy Act programs) by eligible service providers seeking a grant or contract for the provision of adult education and literacy activities to determine whether such applications are consistent with the local plan 17. establishment of an agreement concerning how the planning region will collectively negotiate and reach agreement with the Governor on regional levels of performance for, and report on, the performance accountability measures for the planning region (see [Section IV(a)(1). Important Notes regarding Regional Planning Activities](#_Important_Notes_regarding), for information on regional levels of performance); and 18. collaboration with the WIOA Title I (Adult, Dislocated Worker, and Youth programs) service provider(s) for counties in the planning region that *are not* part of the lead local board’s local area; and 19. collaboration with other required one-stop partners providing services in the region (see Table X in Section III(b)2 of this policy for a list of required one-stop partners). |
| 1. Each local board must participate in a local planning process that results in: 2. preparation of the local components of the regional and local plan; 3. identification of the local area WIOA Title IB (Adult, Dislocated Worker, and Youth programs) policies, procedures, and activities that are carried out in the local area, which must be consistent with WIOA, the final WIOA rules, the Combined State Plan, and NDOL’s WIOA policies. |
| 1. The lead local board must provide an opportunity for public comment on the development of the regional and local plan (and subsequent plan modifications) prior to submission of the regional and local plan to NDOL, including: 2. making information about the plan available to the public on a regular basis through electronic means and open meetings; 3. making copies of the proposed plan available to the public through electronic and other means, including public hearings and local news media; 4. providing an opportunity for comment on the plan by members of the public, including representatives of business, labor organizations, and education; and 5. providing no more than a 30-day period for comment on the plan before submission of the regional plan to NDOL, beginning on the date on which the regional plan is made available for public comment. |
| 1. The lead local board must prepare, submit, and obtain approval of the regional and local plan. |

#### Important Notes regarding Regional Planning Activities

1. If a planning region includes more than one (1) area of economic concentration (defined in Section III(b) of this policy), the lead local board:
   1. must prepare a regional plan for at least one (1) area of economic concentration; and
   2. must prepare a regional plan for each of the remaining areas of economic concentration in the planning region, which will be incorporated into the regional and local plan at the end of the first 2-year period of the plan through the plan modification process; and
   3. must include the regional and local plan a timeline for preparation of the regional plans for the remaining areas of economic concentration; and
   4. is not required to prepare a regional plan that involves any area of economic concentration having a population of 15,000 or less;[[18]](#footnote-18) however, the lead local board is encouraged to prepare a regional plan for these areas of economic concentration if the local one-stop centers and economic development partners deem it valuable to establish a regional plan for the area;
2. NDOL has not established regional levels of performance for Program Years 2017 and 2018 (July 1, 2017 – June 30, 2019); however, the Governor reserves the right to establish regional performance levels beginning Program Year 2019.

### Required Content

The required format for the regional and local plan contains seven (7) components:

1. Executive Summary;
2. Economic and Workforce Analysis – Regional Component;
3. Vision, Goals, and Strategies – Regional Component;
4. Workforce System - Integration of Strategies and Services – Regional Component;
5. Operating Systems and Policies – Local Component (WIOA Title IB Only) (Adult, Dislocated Worker, and Youth programs)
6. Performance Goals and Evaluation – Local Component (WIOA Title IB Only) (Adult, Dislocated Worker, and Youth programs)
7. Technical Requirements and Assurances – Regional and Local Components

The regional and local plan template is provided as [ATTACHMENT III](#_Regional_and_Local). NDOL will provide a working version of the template to each local board.

### Public Comment and Accessibility

As stated in Table 2 of Section IV(a), the lead local board responsible for the planning region must:

1. make copies of the proposed plan available to the public through electronic and other means, such as public hearings and local news media: and
2. provide an opportunity for public comment on the development of the regional and local plan and all subsequent plan modifications and revisions before submitting the plan to the Governor;[[19]](#footnote-19) including providing:
   1. an opportunity for comment on the plan by members of the public, including representatives of business, labor organizations, and education; and
   2. no more than a 30-day period for comment on the plan before its submission to the Governor, beginning on the date on which the proposed plan is made available; and
3. provide a summary of all comments received that express disagreement with the plan through electronic and other means; and
4. make information about the regional and local plan available to the public on a regular basis through electronic means and open meetings;[[20]](#footnote-20) and
5. ensure that all open meetings are held in compliance with the Nebraska Open Meetings Act;[[21]](#footnote-21) and
6. make the regional and local plan easily accessible to the public, including people with disabilities.

#### Important Notes regarding Accessibility

1. “Easily accessible” means that proposed and final versions of the regional and local plan, as well as the summary of comments received, and other information about the regional and local plan must be:
2. made available in Section 508-compliant format;[[22]](#footnote-22) and
3. accessible through a hyperlink displayed prominently on the home page of the local board’s or local area’s website; and
4. if the local board’s or local area’s website is part of a larger website, accessible through a hyperlink displayed prominently on the home page of the larger website and must involve no more than three (3) clicks to access the materials.
5. Proposed and final versions of the regional and local plan must be provided as a single document that includes all sections of the plan.
6. The lead local board must use the following format for the hyperlink leading to the *proposed* regional and local plan:
   1. Greater <insert local area name> Workforce Development Board Regional and Local Plan, July 1, 2017 – June 30, 2021 (Draft).
7. The lead local board must use the following format for the hyperlink leading to the *final* regional and local plan:
   1. Greater <insert local area name> Workforce Development Board Regional and Local Plan, July 1, 2017 – June 30, 2021 (Final).

### Technical assistance

Upon written request, NDOL will provide technical assistance and labor market data, as needed by local boards or designated local area staff, to assist with regional planning, local area plan development, and subsequent service delivery efforts.

For technical assistance with labor market data, the local board or its designee must contact NODL’s Office of Labor Market Information by email to Mary Findlay, Research Analyst at mary.findlay@nebraska.gov.

For technical assistance with all other aspects of the regional and local plan, the local board or its designee must contact NODL’s Office of Employment and Training by email to:

* Joan Modrell, Director at joan.modrell@nebraska.gov; and
* the WIOA policy mailbox at ndol.wioa\_policy@nebraska.gov.

## **Criteria for Regional and Local Plan Modifications and Revisions**

### Modification of Regional Components

Modification of regional components is required at the end of the first 2-year period (before Program Year 2019) of the 4-year regional and local plan. The lead local board within a planning region, in partnership with the CEO, must review and approve the regional components and prepare and submit modifications to the regional components to reflect changes:

1. in regional labor market and economic conditions; and
2. other factors affecting the implementation of the regional plan, including but not limited to changes in the financing available to support WIOA Title I and partner-provided WIOA services.

NDOL will provide a template for modification of regional components of the July 1, 2017 through June 30, 2021 plan.

### Modification of Local Components

Ongoing modifications to the local plan required the review and approval of the local board and CEO. Conditions requiring a modification to the local area plan include:

1. transfer of allocated funds between WIOA Title IB Adult and Dislocated Worker programs;[[23]](#footnote-23)
2. for any twenty-five (25) percent change (decrease or increase) to the projected, cumulative number of WIOA Title IB (Adult, Dislocated Worker, and Youth programs) participants;
3. allocation of WIOA Title IB (Adult, Dislocated Worker, and Youth programs) program year and fiscal year funds;
4. allocation of any additional funds from NDOL;
5. for any change of fifteen (15) percent or more of the funds available for one (1) or more of the individual WIOA Title IB programs (Adult, Dislocated Worker, or Youth);
6. changes in labor market and economic conditions;
7. other factors affecting the implementation of the local area plan, including but not limited to:
   1. significant changes in local economic conditions;
   2. the financing available to support the WIOA Title I (Adult, Dislocated Worker, and Youth programs) and partner-provided WIOA services; and
   3. local board structure; or
   4. a need to revise strategies to meet performance goals.

NDOL will provide a template for modification of local components of the July 1, 2017 through June 30, 2021 plan.

### Revision of Regional and Local Plan Components

Revision of the regional and local plan components is required for any change that:

* does not meet the modification criteria listed in [Section V(a)](#_Modification_of_Regional) or [Section V(b)](#_Modification_of_Local); or
* is not defined as a substantial deviation from the Combined State Plan, such as changes to program design.

Examples of local plan revisions include, but are not limited to:

* updates to local board membership;
* change of service provider;
* redistribution of funds between WIOA Title IB Youth program budgets for out-of-school youth and in-school youth program activities;
* change of EEO (Equal Employment Opportunity) officer;
* change in service delivery structure; and
* change in AJC status or location.

NDOL will provide a template for revision of regional and local components of the July 1, 2017 through June 30, 2021 plan.

## **Submission Procedures**

Each regional and local plan and all modifications and revisions of regional and local plans must be submitted electronically, by email to:

* Joan Modrell, Director, Office of Employment and Training at [joan.modrell@nebraska.gov](mailto:joan.modrell@nebraska.gov); and
* the WIOA policy mailbox at [ndol.wioa\_policy@nebraska.gov](mailto:ndol.wioa_policy@nebraska.gov).

### Regional and Local Plans

Procedures for submission of regional and local plans will be provided through an issuance from NDOL. Timelines for submission of the regional and local plan are provided in [Section VIII](#_Timelines_for_Regional) of this policy

### Required 2-year Modification of Regional and Local Plans

Procedures for submission of required 2-year modification of regional and local plans will be provided through an issuance from NDOL. Timelines for submission of the required 2-year modification of regional and local plans are provided in [Section VIII](#_Timelines_for_Regional) of this policy.

### Submission of All Other Modifications and Revisions of Regional and Local Plans

Submission of modifications, other than the required 2-yeaar modification (described in subsection (b) above), must occur thirty (30) days prior to the scheduled date of the Nebraska Workforce Development Board meeting during which the modifications may be considered for approval.

Submission of revisions must occur thirty (30) days prior to the proposed effective date of each revision.

Each submission must include:

1. a cover letter providing:
   1. the reason for the modification or revision;
   2. an explanation of how the modification or revision benefits the regional and local workforce system;
   3. the proposed effective date of the modification or revision;
   4. a description of the modified or revised sections of the regional or local plan;
   5. a description of any deletions from the original regional and local plan; and
   6. identification of the applicable program year and fiscal year;
2. dated and signed regional and local plan signature pages indicating joint submission and approval by the lead local board Chair and other local board Chair, CEO of the lead local area and the other local area CEO;
   1. Note: All local area plan modifications must be approved by the applicable local board and must follow all applicable review processes described in the local area CEO agreement.
3. newly prepared regional and local plan assurances;
4. all modified or revised pages of the regional and local plan;
5. if applicable, updated regional and local plan attachments, including *Budget, Participant, and Exit Summary* attachments to the effected local component;
6. any public comments that express disagreement with the regional and local plan modification or revision; and
7. an assurance that hard copies of the complete modification or revision package, including signature pages, will be:
   1. kept on file at the lead local board’s administrative office; and
   2. will be promptly available to the public through electronic means, including websites, and in written form and through whatever other means the local board and one-stop partners use to disseminate information to the public.

## **Approval Processes**

### Approval of the Regional and Local Plan

The Nebraska Workforce Development Board and the Governor must review each submitted regional and local plan. The regional and local plan will be considered approved ninety (90) days after receipt unless the Governor notifies the lead local board in writing that:

1. there are deficiencies in workforce investment activities that have been identified through audits and the local area has not made acceptable progress in implementing plans to address deficiencies; or
2. the plan(s) does not comply with applicable provisions of WIOA and the WIOA regulations, including the required consultations and public comment provisions, and the nondiscrimination requirements of 29 CFR part 38 (Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act); or
3. the plan(s) does not align with the Combined State Plan, including the:
   1. vision, guiding principles, goals, and strategies; and
   2. alignment of the core programs to support the strategies identified in the Combined State Plan.

### Approval of Modifications to the Regional and Local Plan

The Nebraska Workforce Development Board and the Governor must review each submitted modification of the regional and local plan, including modifications for transfer of Adult and Dislocated Worker Funds.

Modifications of the regional and local plan are not approved until NDOL notifies the lead local board in writing that the modification is approved.

### Approval of Revisions of the Regional and Local Plan

NDOL must review each submitted revision of the regional and local plan.

NDOL will notify the local board, or its designee, of any known issues related to the revision and ask for clarification or correction. After review, NDOL will provide acceptance notification to the local board or its designee, as appropriate.

## **Timelines**

Timelines for regional and local plan submission, review, and approval are provided in Table 3. Each local board must adhere to the timelines established in Table 3. The “Deadline” dates provided in Table 3 represent the date range or latest possible date by which the named event can occur. Because of their interrelatedness, an all-inclusive timeline for regional and local plans, MOUs and annual funding agreements, and certification of comprehensive AJCs and evaluation of local workforce delivery systems is provided as Table 4 in [APPENDIX IV](#_All-inclusive_Timelines).[[24]](#footnote-24)

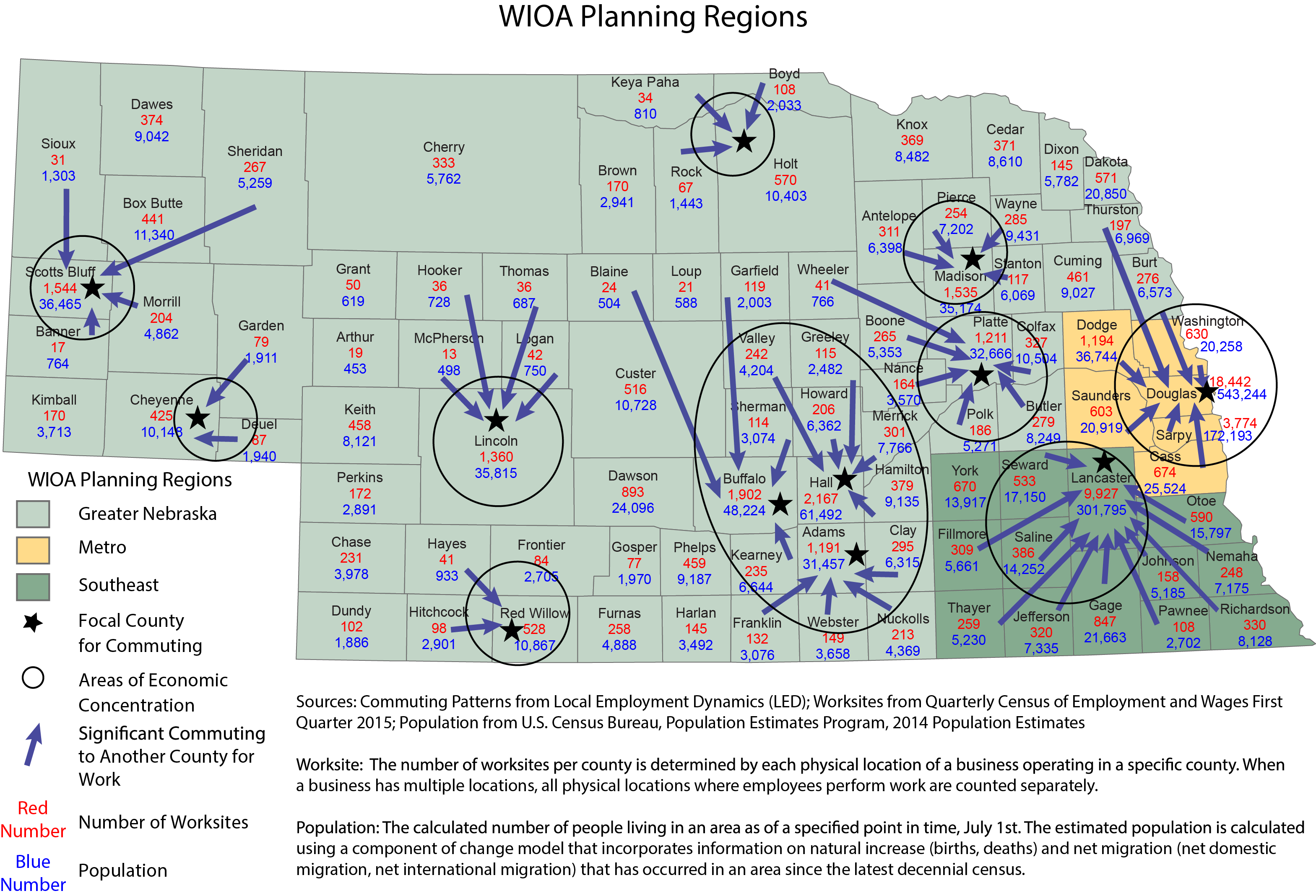
*Table 3. Timelines*

| *Responsible Party* - Event | Deadline |
| --- | --- |
| *WIOA Core Partners -* sponsor regional planning sessions | October 2016 - December 2016 |
| *NDOL -* release interim policy on Regional and Local Plans | Wednesday, November 23, 2016 |
| *NDOL -* release policy on Regional and Local Plans, Change 1 | Friday, December 30, 2016 |
| *Local boards -* must submit regional and local plans to NDOL | Wednesday, March 15, 2017 |
| *NDOL* - review of regional and local plans for compliance | Thursday, March 16, 2017 –  Saturday, April 15, 2017 |
| *NDOL* - provides feedback to local boards on regional and local plans, identifying deficiencies that must be addressed | no later than April 15, 2017 |
| *Local boards* – must resubmit to NDOL revised regional and local plans with (1) deficiencies addressed and (2) fully-executed MOUs, including comprehensive budgets, with each required one-stop partner incorporated | Monday, May 15, 2017 |
| *System Alignment Committee, Nebraska Workforce Development Board* - review of local plans | Wednesday, May 24, 2017 |
| *Strategic Direction Committee, Nebraska Workforce Development Board -* review of regional plans | Thursday, June 8, 2017 |
| *Local Boards -* must provide any additional information requested by the Strategic Direction and System Alignment Committees following review of regional and local plans | Monday, June 12, 2017 –  Friday, June 16, 2017 |
| *Nebraska Workforce Development Board* - review of regional and local plans | Friday, June 23, 2017 |
| *Governor -* must notify local boards of determinations on regional and local plans | Friday, June 30, 2017 |
| *Local boards* - must submit modifications to regional and local plans to incorporate fully-signed annual funding agreements (based on either the local funding mechanism or the state funding mechanism) which include the comprehensive budget | Friday, December 15, 2017 |

# **DISCLAIMER**

This policy is based on NDOL’s reading of the applicable statutes, regulations, rules and guidance released by the U.S. Government and the State of Nebraska. This policy is subject to change as revised or additional statutes, regulations, rules and guidance are issued.

# **Map of WIOA Planning Regions showing Areas of Economic Concentration**



**Area 1**

**Area 2**

**Area 3**

**Area 4**

**Area 10**

**Area 5**

**Area 9**

**Area 6**

**Area 8**

**Area 7**

# **List of Areas of Economic Concentration**

1. Red text indicates Focal Counties (the first county listed in each table).
2. Highlighted areas (Areas 2, 4, and 10) indicate areas of economic concentration that are optional for initial regional planning purposes (areas of economic concentration with a population of 15,000 or less, see Section IV(a)1. of the policy).

**AREA 1**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Scotts Bluff County** | **36,465** | **1,544** |
| Banner County | 764 | 17 |
| Morrill County | 4,862 | 204 |
| Sheridan County | 5,259 | 267 |
| Sioux County | 1,303 | 31 |
| **Total** | **48,653** | **2,063** |

**AREA 2**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Cheyenne County** | **10,148** | **425** |
| Deuel County | 1,940 | 87 |
| Garden County | 1,911 | 79 |
| **Total** | **13,999** | **591** |

**AREA 3**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Lincoln County** | **35,815** | **1,360** |
| Hooker County | 728 | 36 |
| Logan County | 750 | 42 |
| McPherson County | 498 | 13 |
| Thomas County | 687 | 36 |
| **Total** | **38,478** | **1,487** |

**AREA 4**

| *County Name* | *Population* | *Number of Worksites* |
| --- | --- | --- |
| **Red Willow County** | **10,867** | **528** |
| Hayes County | 933 | 41 |
| Hitchcock County | 2,901 | 98 |
| **Total** | **14,701** | **667** |

**AREA 5**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Adams County** | **31,457** | **1,191** |
| Clay County | 6,315 | 295 |
| Franklin County | 3,076 | 132 |
| Nuckolls County | 4,369 | 213 |
| Webster County | 3,658 | 149 |
| **Buffalo County** | **48,224** | **1,902** |
| Blaine County | 504 | 24 |
| Garfield County | 2,003 | 119 |
| Kearney County | 6,644 | 235 |
| Sherman County | 3,074 | 114 |
| **Hall County** | **61,492** | **2,167** |
| Greeley County | 2,482 | 115 |
| Hamilton County | 9,135 | 379 |
| Howard County | 6,362 | 206 |
| Merrick County | 7,766 | 301 |
| Valley County | 4,204 | 242 |
| **Total** | **200,765** | **7,784** |

**AREA 6**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Platte County** | **32,666** | **1,211** |
| Boone County | 5,353 | 265 |
| Butler County | 8,249 | 279 |
| Colfax County | 10,504 | 327 |
| Nance County | 3,570 | 164 |
| Polk County | 5,271 | 186 |
| Wheeler County | 766 | 41 |
| **Total** | **66,379** | **2,473** |

**AREA 7**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Lancaster County** | **301,795** | **9,927** |
| Fillmore County | 5,661 | 309 |
| Gage County | 21,663 | 847 |
| Jefferson County | 7,335 | 320 |
| Johnson County | 5,185 | 158 |
| Nemaha County | 7,175 | 248 |
| Otoe County | 15,797 | 590 |
| Pawnee County | 2,702 | 108 |
| Richardson County | 8,128 | 330 |
| Saline County | 14,252 | 386 |
| Seward County | 17,150 | 533 |
| Thayer County | 5,230 | 259 |
| York County | 13,917 | 670 |
| **Total** | **425,990** | **14,685** |

**AREA 8**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Douglas County** | **543,244** | **18,442** |
| Burt County | 6,573 | 276 |
| Cass County | 25,524 | 674 |
| Dodge County | 36,744 | 1,194 |
| Sarpy County | 172,193 | 3,774 |
| Saunders County | 20,919 | 603 |
| Thurston County | 6,969 | 197 |
| Washington County | 20,258 | 630 |
| **Total** | **832,424** | **25,790** |

**AREA 9**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Madison County** | **35,174** | **1,535** |
| Antelope | 6,398 | 311 |
| Pierce County | 7,202 | 254 |
| Stanton County | 6,069 | 117 |
| Wayne County | 9,431 | 285 |
| **Total** | **64,274** | **2,502** |

**AREA 10**

| *County* | *Population* | *No. of Worksites* |
| --- | --- | --- |
| **Holt County** | **10,403** | **570** |
| Boyd County | 2,033 | 108 |
| Keya Paha County | 810 | 34 |
| Rock County | 1,443 | 67 |
| **Total** | **14,689** | **779** |

# **Regional and Local Plan Template**

Each local board must use the template detailed in this Appendix.

NDOL will provide a working version of the template to each local board.

For technical assistance with the template (formatting questions or issues, etc.), email [ndol.wioa\_policy@nebraska.gov](mailto:ndol.wioa_policy@nebraska.gov).

Tap to choose the name of your planning region

Tap to choose the name of your local workforce development area

**Workforce Innovation and Opportunity Act**

**Regional and Local Plan**

**July 1, 2017 through June 30, 2021**

**Contents**

[Executive Summary](#_Toc474399298)

[Chapter 1. Economic and Workforce Analysis – Regional Component](#_Toc474399299)

[Chapter 2. Vision, Goals, and Strategies – Regional Component](#_Toc474399300)

[Chapter 3. Workforce System – Integration of Strategies and Services – Regional Component](#_Toc474399301)

[Chapter 4. Operating Systems and Policies – Local Component (WIOA Title IB Only)](#_Toc474399302)

[Chapter 5. Performance Goals and Evaluation – Local Component (WIOA Title IB Only)](#_Toc474399303)

[Chapter 6. Technical Requirements and Assurances – Regional and Local Components](#_Toc474399304)

[Attachment 1. Signature Sheet – Regional and Local Plan](#_Toc474399305)

[Attachment 2. Agreement among Local Area CEOs](#_Toc474399306)

[Attachment 3. Agreement between Local Board and CEO](#_Toc474399307)

[Attachment 4. Assurances](#_Toc474399308)

[Attachment 5. Lead Local Board Bylaws](#_Toc474399338)

[Attachment 6. Lead Local Board Membership Roster](#_Toc474399339)

[Attachment 7. Lead Local Board Membership Optimum Policymaking Authority](#_Toc474399340)

[Attachment 8. Lead Local Board Standing Committees](#_Toc474399341)

[Attachment 9. Lead Local Area Organizational Chart](#_Toc474399342)

[Attachment 10. List of Required and Optional One-stop Partners](#_Toc474399343)

[Attachment 11. Memorandums of Understanding](#_Toc474399344)

[Attachment 12. One-stop Operator Sole-source Procurement Process Documentation](#_Toc474399345)

[Attachment 13. One-stop Operator Agreement](#_Toc474399346)

[Attachment 14. Proof of Publication of the Public Notice](#_Toc474399347)

[Attachment 15. Public Comments on Plan](#_Toc474399348)

[Attachment 16. WIOA Grant Agreement](#_Toc474399349)

[Attachment 17. WIOA Grant Agreement Signature Sheet](#_Toc474399350)

[Attachment 18. WIOA Title IB (Adult, Dislocated Worker, and Youth) Program Budget, Participant, and Exit Summaries](#_Toc474399351)

[Attachment 19. Policies and Procedures for WIOA Title IB (Adult, Dislocated Worker, and Youth) Programs](#_Toc474399356)

[Attachment 20. Continuity-of-service plan](#_Toc474399380)

## **Executive Summary**

1. Provide an executive summary that includes items (1) through (4).
2. an overview of this regional and local plan

<insert content here>

1. a description of the regional planning process undertaken to produce the regional plan, including a description of how all required and optional one-stop partners providing services in the region were afforded the opportunity to participate in the regional planning process, including WIOA Title 1B (Adult, Dislocated Worker, and Youth programs) providers from other local areas responsible for serving counties in the region

<insert content here>

1. a description of the on-going processes that will keep the workforce system partners engaged

<insert content here>

1. identification of regional workforce system partners, including:
   1. required one-stop partners;
   2. optional one-stop partners, if applicable; and
   3. and other regional partners with whom the local board has implemented or plans to implement cooperative agreements, if applicable (see also Chapter 3, Sections (a)(1)(J) and (g))

<insert content here>

## **Economic and Workforce Analysis – Regional Component**

1. Provide analyses of regional labor market data that include an analysis of items (1) through (6).
2. economic conditions in the region, including existing and emerging in-demand industry sectors and occupations

<insert content here>

1. employment needs of employers in existing and emerging in-demand industry sectors and occupations

<insert content here>

1. regional outlook for high wage, high skill, high demand (H3) occupations

<insert content here>

1. knowledge and skills necessary to meet the employment needs of the employers in the region, including employment needs in in-demand industry sectors and occupations that meet the H3 criteria

<insert content here>

1. workforce in the region, including:
2. current labor force employment and unemployment data;
3. information on labor market trends; and
4. educational and skill levels of the workforce, including individuals with barriers to employment

<insert content here>

1. workforce development activities in the region, including:
2. education and training activities in the region;
3. strengths and weaknesses of workforce development activities in the region; and
4. regional capacity to provide the workforce development activities to address the education and skill needs of the workforce, including the needs of:
   * 1. individuals with barriers to employment; and
     2. employers

<insert content here>

## **Vision, Goals, and Strategies – Regional Component**

1. Provide a description of the regional vision, goals, and strategies to support regional economic growth and economic self-sufficiency, which must include goals and strategies that address items (1) through (3).

<insert content here>

1. preparing an educated and skilled workforce, including youth and individuals with barriers to employment

<insert content here>

1. achieving performance accountability measures for WIOA Title IB (Adult, Dislocated Worker, and Youth) programs, based on the performance indicators described in WIOA Sec. 116(b)(2)(A)

<insert content here>

1. alignment with the goals and strategies outlined in the [Combined State Plan for Nebraska’s Workforce System (July 1, 2016 – June 30, 2020)](http://dol.nebraska.gov/webdocs/WIOAPlans/29/WIOA_NCSP_F01_01OCT2016.pdf)

<insert content here>

## **Workforce System – Integration of Strategies and Services – Regional Component**

1. Describe the local board’s plan for integration of strategies and services that will be delivered at the American Job Center sites and through technology, including items (1) through (7).
2. establishment of regional service strategies which must include:
3. integration of and access to the entire set of services available in the local one-stop delivery system;
4. enhancing the provision of services to individuals with disabilities, Veterans, youth, and other priority population groups;
5. cross-training of staff, technical assistance, use and sharing of information, cooperative efforts with employers;
6. other efforts at cooperation, collaboration, and coordination;
7. existing service delivery strategies that will be expanded, streamlined, or eliminated;
8. new service strategies necessary to address regional education and training needs;
9. strategies to address geographic advantages and disadvantages;
10. strategies to connect the unemployed with work-based learning opportunities;
11. strategies to integrate existing regional planning efforts among core partners and one-stop partners; and
12. if applicable (see also Chapter 3, Section (g)), cooperative agreements between local area entities and the local office of the:
13. Nebraska Vocational Rehabilitation Program; and
14. Nebraska Commission for the Blind and Visually Impaired

<insert content here>

1. development and implementation of sector initiatives for in-demand industry sectors or occupations for the planning region, which must include consideration of:
2. current in-demand industry sectors and occupations within the region;
3. the status of regional collaboration in support of the sector initiatives;
4. current sector based partnerships within the region;
5. which sectors are regional priorities, based upon data-driven analysis;
6. the extent of business involvement in current initiatives; and
7. other public-private partnerships in the region that could support sector strategies

<insert content here>

1. establishment of administrative cost arrangements, including the pooling of funds for administrative costs for the region, as appropriate, which must include consideration of:
2. current or proposed resource leveraging agreements; and
3. establishing a process to evaluate cost sharing arrangements

<insert content here>

1. coordination of transportation and other supportive services within the region, as appropriate, which must include consideration of:
2. whether the provision of transportation or other supportive services could be enhanced, and if so, how;
3. what organizations currently provide or could provide supportive services; and
4. establishing a process to promote coordination of supportive services delivery

<insert content here>

1. coordination of services with regional economic development services and providers, which must include consideration of:
2. current economic development organizations engaged in regional planning;
3. education and training providers involved with economic development;
4. current businesses involved with economic development organizations; and
5. targeted businesses from emerging sectors/industries

<insert content here>

1. establishment of an agreement between the lead local area and WIOA Title 1B (Adult, Dislocated Worker, and Youth programs) providers from other local areas responsible for serving counties in the region concerning how the planning region will collectively negotiate and reach agreement with NDOL on regional levels of performance for, and report on, the performance accountability measures for the planning region

Note: NDOL has not established regional levels of performance for Program Years 2017 and 2018 (July 1, 2017 – June 30, 2019); however, NDOL reserves the right to establish regional performance levels starting with Program Year 2019

<insert content here>

1. collaboration with the WIOA Title IB (Adult, Dislocated Worker, and Youth programs) providers for counties in the planning region that are not part of the lead local board’s local area and with other required one-stop partners providing services in the region.

<insert content here>

1. If a planning region includes more than one (1) area of economic concentration, the lead local board:
2. must prepare a regional plan for at least one (1) area of economic concentration;
3. must prepare a regional plan for each of the remaining areas of economic concentration in the planning region, which will be incorporated into the regional and local plan at the end of the first 2-year period of the plan through the plan modification process;
4. must include the regional and local plan a timeline for preparation of the regional plans for the remaining areas of economic concentration; and
5. is not required to prepare a regional plan that involves any area of economic concentration having a population of 15,000 or less; however, the lead local board is encouraged to prepare a regional plan for these areas of economic concentration if the local one-stop centers and economic development partners deem it valuable to establish a regional plan for the area;

Note: If your planning region does not meet the criteria described above, enter “Not Applicable.”

<insert content here>

**NDOL has designated the following local plan elements as common response elements relating to shared regional responsibility.**

1. Provide a description of the local area one-stop delivery system that lists the required and optional one-stop partners and programs included in the regional/local workforce delivery system, including:
2. the physical address(es) where career services and other program services will be accessible for each of the following centers located in the local and regional area:
3. comprehensive one-stop center;
4. affiliate one-stop center;
5. network of eligible one-stop partners; and
6. specialized centers;
7. the physical address(es) of the AJC(s) located in any other local area that is part of the local area’s region; and
8. electronic methods implemented to provide career services and other program services

<insert content here>

1. Describe how the local board will address items (1) through (4).
2. supporting the vision, goals, and strategies established in Sections II.a. and II.b. of the [Combined State Plan for Nebraska’s Workforce System (July 1, 2016 – June 30, 2020)](http://dol.nebraska.gov/webdocs/WIOAPlans/29/WIOA_NCSP_F01_01OCT2016.pdf)

<insert content here>

1. working with the Combined State Plan partners carrying out core programs and other workforce development programs, including programs of study authorized under the Carl D. Perkins Career and Technical Education Act of 2006 to support service alignment, including:
2. Adult, Dislocated Worker, and Youth programs (WIOA Title IB, core partner program);
3. Adult Education and Family Literacy Act programs (WIOA Title II, core partner program);
4. Wagner-Peyser Employment Service programs (WIOA Title III, core partner program);
5. Nebraska Commission for the Blind and Visually Impaired (WIOA Title IV, core partner program);
6. Nebraska Vocational Rehabilitation Program (WIOA Title IV, core partner program)
7. Jobs for Veterans State Grant programs (plan partner program);
8. Unemployment Insurance (plan partner program);
9. Senior Community Service Employment Program (SCSEP) (plan partner program);
10. Temporary Assistance for Needy Families (TANF) employment and training programs (plan partner program);
11. Trade Adjustment Assistance (TAA) program (plan partner program);
12. Career Technical Education programs (workforce system partner program); and
13. other local workforce delivery system partner programs (must be clearly identified including a description of the program(s))

<insert content here>

1. ensuring the continuous improvement of eligible providers of services through the system and ensuring that such service providers will meet the employment needs of local employers, workers, and job seekers

<insert content here>

1. facilitate access to services provided through the one-stop delivery system, including in remote or less populated areas, through the use of technology and other means

<insert content here>

1. Describe how the local board will work with the following Combined State Plan core partner programs to address items (1) through (3):Adult, Dislocated Worker, and Youth programs (WIOA Title IB, core partner program); Adult Education and Family Literacy Act programs (WIOA Title II, core partner program); Wagner-Peyser Employment Service programs (WIOA Title III, core partner program); Nebraska Commission for the Blind and Visually Impaired (WIOA Title IV, core partner program); and Nebraska Vocational Rehabilitation Program (WIOA Title IV, core partner program)
2. expand access to employment, training, education, and supportive services for eligible individuals, particularly eligible individuals with barriers to employment

<insert content here>

1. facilitate the development of career pathways and co-enrollment, as appropriate, in core programs

<insert content here>

1. improve access to activities leading to a recognized postsecondary credential (including a credential that is an industry-recognized certificate or certification, portable, and stackable)

<insert content here>

1. Describe the strategies and services that will be used in the local area to address items (1) through (5).
2. to facilitate engagement of employers in workforce development programs, including small employers and employers in in-demand industry sectors and occupations

<insert content here>

1. to support a local workforce development system that meets the needs of businesses in the local area

<insert content here>

1. to better coordinate workforce development programs and economic development

<insert content here>

1. to strengthen linkages between the one-stop delivery system and unemployment insurance programs

<insert content here>

1. implementation of initiatives that support the strategies described in this section (d), 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 regional employers

<insert content here>

1. Provide information regarding the local board’s coordination of services, including information that addresses items (1) through (6).
2. coordination of local workforce investment activities with regional economic development activities that are carried out in the local area and the promotion of entrepreneurial skills training and microenterprise services

<insert content here>

1. coordination of relevant secondary and postsecondary education programs and activities with education and workforce investment activities to coordinate strategies, enhance services, and avoid duplication of services

<insert content here>

1. coordination of WIOA Title IB workforce investment activities with adult education and literacy activities under WIOA Title II, which must include a description of how the local board will:
2. carry out the review of local applications submitted under WIOA Title II by eligible service providers seeking a grant or contract for the provision of adult education and literacy activities to determine whether such applications are consistent with the local plan, including:
3. a description of the process the local board will follow in its review of the local applications; and
4. make recommendations to the eligible agency to promote alignment with this plan

<insert content here>

1. maximizing coordination, improve service delivery, and avoid duplication of Wagner-Peyser Act (29 U.S.C. 49 et seq.) services and other services provided through the one-stop delivery system

<insert content here>

1. coordination of WIOA Title IB (Adult, Dislocated Worker, and Youth program) activities with:
2. Vocational Rehabilitation services under WIOA Title IV; and
3. the provision of transportation and other appropriate supportive services in the local area

<insert content here>

1. a description of the referral process within the one-stop delivery system, including:
2. the roles and responsibilities of the one-stop operator, including coordinating referrals among one-stop delivery system partners;
3. identification of the entities among which the referrals will occur, including an explanation of the method(s) that will be used to refer participants among programs;
4. definition of the roles and responsibilities of one-stop delivery system partners relating to referrals;
5. description of the method of tracking referrals;
6. description of specific arrangements to assure that individuals with barriers to employment, including individuals with disabilities, can access available services

<insert content here>

1. If applicable, provide copies of executed cooperative agreements between the local board or other local entities and the Nebraska Vocational Rehabilitation Program or the Nebraska Commission for the Blind and Visually Impaired which define how all local service providers will carry out the requirements for integration of and access to the entire set of services available in the local one-stop system with respect to efforts that will enhance the provision of services to individuals with disabilities, such as:
2. cross training of staff;
3. technical assistance;
4. use and sharing of information;
5. cooperative efforts with employers; and
6. other efforts at cooperation, collaboration, and coordination

<insert content here>

1. For programs carried out under WIOA and by one-stop partners, describe how the local area one-stop center(s) is developing and implementing integrated, technology-enabled systems for:
2. common intake;
3. co-enrollment;
4. co-case management; and
5. referral and follow-up

<insert content here>

## **Operating Systems and Policies – Local Component (WIOA Title IB Only)**

1. Provide a description of the local area one-stop delivery system that addresses items (1) through (7).
2. identifies the members of the local board and how each member’s appointment complies with the membership requirements established in WIOA Sec. 107(b), including each board member’s:
3. name;
4. title;
5. contact information, including physical address, phone, and email address;
6. business or agency affiliation;
7. role in business or agency qualifying for appointments; and
8. role on the local board (i.e., chair) including roles on committees or subcommittees

<insert content here>

1. identifies the procured one-stop operator, including:
2. name;
3. title;
4. complete business address (if different than the address of the comprehensive one-stop center);
5. direct phone number;
6. email address

<insert content here>

1. describe the local board’s continuity of service plan to be initiated in the event that the AJC(s) is not certified, which must include reasonable timelines for competitive selection of the new one-stop operator

<insert content here>

1. describe the process followed by the local board for selection of the one-stop operator, including:
2. if the one-stop operator was selected through a competitive process, describe how the competitive process complied with the statutory requirements of the procurement standards of the Uniform Guidance set out at 2 CFR § 200.317 – 200.326); or
3. if the one-stop operator was selected on a sole-source basis:
4. describe how the local board determined that sole-source procurement was necessary and reasonable;
5. provide an assurance that written documentation has been prepared and was and will be maintained concerning the entire process of making the selection;
6. provide documentation for the entire sole-source procurement process;
7. provide an assurance that the sole-source selection process included appropriate conflict of interest policies and procedures that conform to the specifications in 20 CFR § 679.430 for demonstrating internal controls and preventing conflict of interest, which require that:
   1. the one-stop operator must develop a written agreement with the local board and CEO to clarify how the one-stop operator will carry out its responsibilities while demonstrating compliance with WIOA and corresponding regulations, relevant Office of Management and Budget circulars, and NDOL’s conflict of interest policy; and
   2. the local board must provide a copy of the written agreement between the local board and CEO

<insert content here>

1. describe how the local board will:
2. comply with program-specific requirements and assurances for WIOA Title IB (Adult, Dislocated Worker, and Youth) programs established in Section VI of the [Combined State Plan for Nebraska’s Workforce System (July 1, 2016 – June 30, 2020)](http://dol.nebraska.gov/webdocs/WIOAPlans/29/WIOA_NCSP_F01_01OCT2016.pdf); and

<insert content here>

1. describe how entities within the local workforce delivery system, including one-stop operators and the one-stop partners, will comply with:
2. WIOA non-discrimination provisions (WIOA Sec. 188); and
3. applicable provisions of the Americans with Disabilities Act of 1990 regarding the physical and programmatic accessibility of facilities, programs and services, technology, and materials for individuals with disabilities, including providing staff training and support for addressing the needs of individuals with disabilities

<insert content here>

1. the roles and resource contributions of the required and optional one-stop partners as evidenced in the MOUs among the local board, CEO, and required and optional one-stop partners, including:
2. the career services and other program services to be provided by each one-stop partner;
3. how the comprehensive one-stop center provides on-demand access to the required career services in the most inclusive and appropriate setting and accommodations through:
4. the physical presence of partner program staff who provide information to customers about the programs, services, and activities available through partner programs; or
5. direct linkage to program staff who can provide meaningful information or services through technology; and
6. the methods for coordinated service delivery among the one-stop operator and one-stop delivery system partners

<insert content here>

1. Describe how the local area will provide Adult and Dislocated Worker employment and training activities and Youth activities, including items (1) through (8).
2. a description and assessment of the type and availability of adult and dislocated worker employment and training activities in the local area

<insert content here>

1. a description and assessment of the type and availability of youth workforce investment activities in the local area including activities for youth who are individuals with disabilities, which must include an identification of successful models of such activities

<insert content here>

1. a description of how the local board will coordinate workforce investment activities carried out in the local area with statewide rapid response activities

<insert content here>

1. a description of how Individual Employment Plans (IEPs) for adults and dislocated workers will be used by local area career planners as an ongoing strategy to identify employment goals, achievement objectives, and an appropriate combination of services for the participant to achieve the employment goals

<insert content here>

1. a description of how an Individual Services Strategy (ISS) for youth will be used by local area staff and based on the needs of each youth participant that is directly linked to one or more indicators of performance described in WIOA sec. 116(b)(2)(A)(ii), that identifies career pathways that include education and employment goals, that considers career planning and the results of the objective assessment and that prescribes achievement objectives and services for the participant

<insert content here>

1. describe how the local area will determine an individual’s eligibility for Adult and Dislocated Worker program services

<insert content here>

1. a description of the design framework for the Youth program and the local area’s strategy for ensuring access to all 14 elements within that framework

<insert content here>

1. a description of how the local area will provide services to special populations, including:
2. how priority will be given to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient consistent with WIOA 134(c)(3)(E); and
3. the local board will determine priority populations and how to best serve them, along with any other state requirements

<insert content here>

1. Describe the direction given to the one-stop operator by the local board, pursuant to NDOL’s policy on priority populations and priority of service, to ensure priority for adult career and training services will be given to Veterans and recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient, and:
2. provide a copy of the local area policy on priority populations and priority of service (see Chapter 6)

<insert content here>

1. Identify the local area grant recipient responsible for the disbursal of grant funds for WIOA Title IB (Adult, Dislocated Worker, and Youth programs) workforce investment activities, listing the recipient’s:
2. name;
3. title; and
4. contact information, including physical address, phone, and email address

<insert content here>

1. Describe the competitive process that was, has been, or will be used to award the subgrants and contracts for WIOA Title IB (Adult, Dislocated Worker, and Youth) program activities;

<insert content here>

1. Provide a description of training policies and activities in the local area, including descriptions addressing items (1) through (3).
2. how the local areas will encourage the use of work-based learning strategies, including the local area goals for specific work-based learning activities and proposed outcomes related to these activities and must include, but not be limited to:
3. on-the-job training;
4. work experience;
5. pre-apprenticeship;
6. apprenticeship; and
7. internships

<insert content here>

1. how training services for Adults, Dislocated Workers, and Out-of-School Youth (ages 16 – 24 years) will be provided through the use of individual training accounts, including:
2. if contracts for training services will be used, how the use of the contracts will be coordinated with the use of individual training accounts;
3. how the local board will ensure informed customer choice in the selection of training programs regardless of how the training services are to be provided; and
4. any limitations established by local board policies:
5. that is based on the needs identified in the IEP, such as the participant's occupational choice or goal and the level of training needed to succeed in that goal; or
6. to establish a range of amounts and/or a maximum amount applicable to all ITAs;

<insert content here>

1. provide a copy of the local area individual training account policy (see Chapter 6)

<insert content here>

1. Describe the local board’s pay-for-performance contract strategy for WIOA Title IB (Adult, Dislocated Worker, and Youth) programs, if applicable

<insert content here>

1. Describe the process the local board will follow in competitively selecting training providers under a contract for training services (this does not refer to Eligible Training Providers), which must include descriptions that address items (1) through (4):
2. the process the local board will follow to determine there is an insufficient number of eligible training providers in the local area, which must include a public comment period for interested providers of at least 30 days;
3. how the local board will determine that there is a training services program of demonstrated effectiveness offered in the area by a community-based organization or another private organization to serve individuals with barriers to employment, including the criteria the to be used in determining demonstrated effectiveness, particularly as it applies to the individuals with barriers to employment to be served as defined in 20 CFR § 680.320(a) and (b) (see “Note” below regarding individuals with barriers to employment), which should include:
4. financial stability of the organization;
5. demonstrated performance in the delivery of services to individuals with barriers to employment through such means as program completion rate; attainment of the skills, certificates or degrees the program is designed to provide; placement after training in unsubsidized employment; and retention in employment; and
6. how the specific program relates to the workforce investment needs identified in this regional and local plan;
7. how the local board will determine that it would be most appropriate to contract with an institution of higher education or other provider of training services in order to facilitate the training of multiple individuals in in-demand industry sectors or occupations;
8. how the local board will ensure that it has fulfilled the consumer choice requirements for the provision of training services, which must address requirements that:
9. training services, whether under ITAs or under contract, must be provided in a manner that maximizes informed consumer choice in selecting an eligible provider;
10. the local board, through the AJC, must make available to customers the state’s list of eligible training providers, which includes a description of the programs through which the providers may offer the training services, and the performance and cost information about those providers;
11. individuals who have been determined eligible for training services may select a provider described in subsection (B) of this section (4) after consultation with a WIOA Title IB (Adult, Dislocated Worker, and Youth programs) career planner:
12. such individuals must be employed or unemployed adults and dislocated workers who:
    * 1. required one-stop partner, after an interview, evaluation, or assessment, and career planning, are:
         1. 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;
         2. in need of training services to obtain or retain employment leading to economic self-sufficiency or wages comparable to or higher than wages from previous employment; and
         3. have the skills and qualifications to participate successfully in training services;
      2. select a program of training services that is directly linked to the employment opportunities in the local area or the planning region, or in another area to which the individuals are willing to commute or relocate;
      3. are unable to obtain grant assistance from other sources to pay the costs of such training, including such sources as state-funded training funds, Trade Adjustment Assistance (TAA), and Federal Pell Grants established under Title IV of the Higher Education Act of 1965, or require WIOA assistance in addition to other sources of grant assistance, including Federal Pell Grants (provisions relating to fund coordination are found at 20 CFR § 680.230 and WIOA sec. 134(c)(3)(B)); and
      4. if training services are provided through the adult funding stream, are determined eligible in accordance with the state and local priority-of-service system in effect for adults;
13. unless the program has exhausted training funds for the program year, the AJC must refer the individual to the selected provider and establish an ITA for the individual to pay for training which may be carried out by providing a voucher or certificate to the individual to obtain the training;
14. the cost of referral of an individual with an ITA to a training provider is paid by the applicable Adult, Dislocated Worker, or Youth program under Title IB of WIOA;
15. how the local board, through the AJC, may coordinate funding for ITAs with funding from other Federal, state, local, or private job training programs or sources to assist the individual in obtaining training services; and
16. priority consideration must be given to programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area; and
17. provide a copy of the local area policy on contracting with training providers for training services, which must include the local board’s competitive selection process for training providers (see Chapter 6) (this does not refer to Eligible Training Providers)

**Note**: Contracts for services may be used instead of ITAs only when one or more of the following 5 exceptions apply, and the local area has fulfilled the consumer choice requirements described in section (h)(4) above:

1. when the services provided are on-the-job-training (OJT), customized training, incumbent worker training, or transitional jobs;
2. when the local board determines that there are an insufficient number of eligible training providers in the local area to accomplish the purpose of a system of ITAs
3. the determination process must include a public comment period for interested providers of at least 30 days as stated above
4. when the local board determines that there is a training services program of demonstrated effectiveness offered in the area by a community-based organization or another private organization to serve individuals with barriers to employment, as described in paragraph (b) of this section
5. the local board must develop criteria to be used in determining demonstrated effectiveness, particularly as it applies to the individuals with barriers to employment to be served, which should include:
6. financial stability of the organization;
7. demonstrated performance in the delivery of services to individuals with barriers to employment through such means as program completion rate; attainment of the skills, certificates or degrees the program is designed to provide; placement after training in unsubsidized employment; and retention in employment; and
8. a description of how the specific program relates to the workforce investment needs identified in the local plan
9. when the local board determines that it would be most appropriate to contract with an institution of higher education (see WIOA sec. 3(28)) or other provider of training services in order to facilitate the training of multiple individuals in in-demand industry sectors or occupations, provided that the contract does not limit consumer choice.
10. when the local board is considering entering into a Pay-for-Performance contract, and the local ensures that the contract is consistent with § 683.510 of this chapter.

Individuals with barriers to employment include those individuals in one or more of the following categories, as prescribed by WIOA Sec. 3(24):

1. Displaced homemakers;
2. Low-income individuals;
3. Indians, Alaska Natives, and Native Hawaiians;
4. Individuals with disabilities;
5. Older individuals, i.e., those aged 55 or over;
6. Ex-offenders;
7. Homeless individuals;
8. Youth who are in or have aged out of the foster care system;
9. Individuals who are English language learners, individuals who have low levels of literacy, and individuals facing substantial cultural barriers;
10. Eligible migrant and seasonal farmworkers, defined in WIOA sec. 167(i);
11. Individuals within 2 years of exhausting lifetime eligibility under TANF (part A of title IV of the Social Security Act);
12. Single-parents (including single pregnant women);
13. Long-term unemployed individuals; or
14. Other groups determined by the Governor to have barriers to employment.

<insert content here>

1. Describe the public-comment process followed by the local board, including the process for items (1) and (2).

<insert content here>

1. making available copies of the proposed regional and local plan through electronic and other means, such as public hearings and local news media

<insert content here>

1. allowing members of the public, including representatives of business, representatives of labor organizations, and representatives of education to submit comments on the proposed local plan to the local board, not later than the end of the 30-day period beginning on the date on which the proposed local plan is made available

<insert content here>

1. Describe how the local board will ensure its compliance with the WIOA minimum and maximum expenditure requirements and program limitations described in items (1) through (8).
2. 10% administrative costs limitation;
3. no more than 10 percent of the total funds allocated to the local area for a program may be used by the local board involved for the administration costs of carrying out local workforce investment activities for WIOA Title IB programs (Adult, Dislocated Worker, and Youth)

<insert content here>

1. 5% low-income eligibility exception/limit for Youth:
2. up to five (5) percent of all youth (ISY and OSY) enrolled during a given program year do not need to meet the low-income requirement for eligibility

<insert content here>

1. 75% minimum out-of-school youth priority:
2. not less than 75 percent of funds allocated to the local board for the WIOA Title IB Youth program shall be used to provide youth workforce investment activities for out-of-school youth

<insert content here>

1. 10% cap for pay-for-performance contract strategies:
2. not more than 10 percent of the total program funds allocated to the local area may be reserved or used for a pay-for-performance contract strategy for each of the WIOA Title IB Adult, Dislocated Worker, and Youth programs

<insert content here>

1. 20% minimum expenditure requirement for Youth work experiences:
2. not less than 20 percent of funds allocated to the local board for the WIOA Title IB Youth program shall be used to provide Youth work experiences for in-school youth and out-of-school youth

<insert content here>

1. 20% maximum expenditure limit for incumbent worker program:
2. no more than 20 percent of the combined total of the funds allocated to the local area for the Adult and Dislocated Worker programs shall be used to pay for the Federal share of the cost of providing incumbent worker training

<insert content here>

1. 10% maximum expenditure limit for transitional jobs program:
2. no more than 10 percent of the combined total of the funds allocated to the local area for the Adult and Dislocated Worker programs shall be used to pay for transitional jobs training

<insert content here>

1. 50% maximum employer reimbursement rate, or 75% under certain conditions:
2. NDOL establishes a 75% employer reimbursement rate for OJT contracts funded through the statewide employment and training activities; or
3. The local board establishes a 75% employer reimbursement rate in accordance with 20 CFR § 680.320(a)(1)

<insert content here>

1. If one (1) or more counties of the local area are included in a planning region other than the planning region to which the local area is assigned (see Note below), describe how the local board will ensure that:
2. individuals residing in those counties who seek to receive services through the lead local board’s local area one-stop delivery system will receive at least the same level of service through that delivery system as that available through the local board’s one-stop delivery system, including a description of how the local board will monitor the:
3. provision of WIOA Title IB program (Adult, Dislocated Worker, and Youth) activities and services to individuals; and
4. outcomes of participants enrolled in WIOA Title IB programs (Adult, Dislocated Worker, and Youth) in the lead local board’s local area one-stop delivery system

<insert content here>

1. employers operating in those counties that elect to receive services through the lead local board’s local area one-stop delivery system will receive at least the same level of service through that delivery system as that available through the local board’s one-stop delivery system

<insert content here>

1. address cost-sharing with the lead local board in relation to services provided by the lead local board to individuals residing in and employers operating in those counties who seek to receive services through the lead local board’s local workforce delivery system

<insert content here>

Note: This requirement applies to each of the Greater Lincoln and Greater Nebraska Workforce Development Boards.

* Greater Lincoln, the responses must address Sections (k)(1) and (k)(2) in relation to services provided to individuals and employers in Saunders County.
* For Greater Nebraska, the responses must address Sections (k)(1) and (k)(2) in relation to services provided to individuals and employers in Cass, Dodge, and Seward counties.

1. If the lead local board’s planning region includes one (1) or more counties from a local area outside of the lead local board’s local area (see Note below), describe how the lead local board will:
2. ensure that individuals residing in those counties who seek to receive services through the lead local board’s local area one-stop delivery system will receive at least the same level of service through its delivery system as that available through the other local board’s one-stop delivery system, including a description of how the lead local board will support and participate in the other local board’s monitoring of the:
3. provision of WIOA Title IB programs (Adult, Dislocated Worker, and Youth) activities and services to individuals; and
4. outcomes of participants enrolled in WIOA Title IB programs (Adult, Dislocated Worker, and Youth) in the lead local board’s local area one-stop delivery system

<insert content here>

1. employers operating in those counties that elect to receive services through the lead local board’s local area one-stop delivery system will receive at least the same level of service through its delivery system as that available through the other local board’s one-stop delivery system

<insert content here>

1. address cost-sharing with the other local board in relation to services provided by the lead local board to individuals residing in and employers operating in the counties in the region that are located in the other local board’s local area

<insert content here>

Note: This requirement applies to the Greater Omaha Workforce Development Board. The responses must address Sections (l)(1) and (l)(2) in relation to services provided to individuals and employers in Cass, Dodge, and Saunders counties.

## **Performance Goals and Evaluation – Local Component (WIOA Title IB Only)**

1. Describe the local levels of performance negotiated with NDOL to be used to measure the performance of the WIOA Title IB (Adult, Dislocated Worker, and Youth) programs.

<insert content here>

1. Provide information on the how local levels of performance described in section (b) above will be used to measure the performance of:
2. the local fiscal agent, if applicable;
3. eligible providers under WIOA Title IB (*i.e.,* service providers); and
4. the one-stop delivery system in the local area

<insert content here>

1. Describe the actions the local board will take toward becoming a high-performing local board, consistent with the factors developed by the Nebraska Workforce Development Board.

<insert content here>

1. Described how the local board will ensure the continuous improvement of one-stop-operator performance through evaluation and regularly scheduled competitions

<insert content here>

## **Technical Requirements and Assurances – Regional and Local Components**

The regional and local plan must include the following technical requirements and assurances.

Attachment 1. Signature Sheet – Regional and Local Plan

Attachment 2. Agreement among Local Area CEOs

Attachment 3. Agreement between Local Board and CEO

Attachment 4. Assurances

Attachment 5. Lead Local Board Bylaws

Attachment 6. Lead Local Board Membership Roster

Attachment 7. Lead Local Board Membership Optimum Policymaking Authority

Attachment 8. Lead Local Board Standing Committees

Attachment 9. Lead Local Area Organizational Chart

Attachment 10. List of Required and Optional One-stop Partners

Attachment 11. Memorandums of Understanding

Attachment 12. One-stop Operator Sole-source Procurement Process Documentation

Attachment 13. One-stop Operator Agreement

Attachment 14. Proof of Publication of the Public Notice

Attachment 15. Public Comments on Plan

Attachment 16. WIOA Grant Agreement

Attachment 17. WIOA Grant Agreement Signature Sheet

Attachment 18. WIOA Title IB (Adult, Dislocated Worker, and Youth) Program Budget, Participant, and Exit Summaries

Attachment 19. Policies and Procedures for WIOA Title IB (Adult, Dislocated Worker, and Youth) Programs

Policy 1. Accessibility

Policy 2. Administrative Cost Limitations

Policy 3. Audits

Policy 4. Adult Eligibility

Policy 5. Appeals Procedures for Program Participants

Policy 6. Basic Skills Deficiency

Policy 7. Career Planning

Policy 8. Complaints and Grievances of a Non-discriminatory Nature

Policy 9. Conflict of Interest

Policy 10. Contracting with Training Providers for Training Services

Policy 11. Dislocated Worker Eligibility

Policy 12. Eligible Training Providers

Policy 13. Equal Opportunity and Non-discrimination

Policy 14. Individual Training Accounts (ITAs)

Policy 15. Monitoring

Policy 16. On-the-Job Training

Policy 17. Priority Populations and Priority of Service

Policy 18. Procurement Standards and Procedures

Policy 19. Rapid Response Procedures

Policy 20. “Requires Additional Assistance”

Policy 21. Supportive Services

Policy 22. Work-based Learning

Policy 23. Youth Eligibility

Attachment 20. Continuity-of-service Plan

## **Signature Sheet – Regional and Local Plan**

This regional and local plan is signed by and submitted with the agreement of the:

* CEO and Chair of the Tap to choose name of **lead** local board (Lead Local Board), on behalf of the Tap to choose name of **lead** local board and
* CEO and Chair of the Tap to choose name of **partnering** local board, on behalf of the Tap to choose name of **partnering** local board.

| Tap to choose name of **lead** local board, Lead Local Board |  |
| --- | --- |
|  |  |
| Chief Elected Official | Date |

| On behalf of the Tap to choose name of **lead** local board |  |
| --- | --- |
|  |  |
| Chair, Tap to choose name of **lead** local board | Date |

| Tap to choose name of **partnering** local board, Partnering Local Board |  |
| --- | --- |
|  |  |
| Chief Elected Official | Date |

| On behalf of the Tap to choose name of **partnering** local board |  |
| --- | --- |
|  |  |
| Chair, Tap to choose name of **partnering** local board | Date |

## **Agreement among Local Area CEOs**

INSTRUCTIONS: Provide a fully-executed copy of the CEO agreement by and among elected officials in the local area, which must be in effect through June 30, 2021.

<insert content here>

## **Agreement between Local Board and CEO**

INSTRUCTIONS: Provide a fully-executed copy of the agreement between the local board and the current CEO, which must be in effect through June 30, 2021.

<insert content here>

## **Assurances**

The assurances in this Attachment 4 highlight specific requirements under WIOA that apply to Tap here to enter the name of the Grantee (the “Grantee”) and the Tap to choose the name of the local board (the “Local Board”).

The assurances do not limit in any way the responsibilities of the Grantee or the Local Board. The Grantee and the Local Board are subject to all Federal and state laws, rules, regulations, policies, and procedures. The Grantee and Local Board must ensure that all local area subrecipients comply with and adhere to all Federal and state laws, rules, regulations, policies, and procedures.

By signing the following assurances, the Grantee and the Local Board assure the Nebraska Department of Labor (the “Grantor”) that the Grantee, the Local Board, and all local area subrecipients will abide by the following requirements, in addition to all Federal and state laws, rules, regulations, policies, and procedures.

### **Access to Records –**

The Grantee and the Local Board assure that each will give the U.S. Department of Labor or its representatives and the Nebraska Department of Labor, or its representatives, access to, and the right to examine, all documents related to the grant agreement.

### **Administration –**

The Grantee and the Local Board assure that each will fully comply with all Grantor instructions and relating to the administration of funds**.**

### **Administration and Fiscal Systems –**

The Grantee and the Local Board assure that each has adequate administrative and fiscal systems necessary to promote effective use of the grant funds, which comply with the provisions for Fiscal Controls by States in Section 184 of the Workforce Innovation and Opportunity Act of 2014 (WIOA), and the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards in 2 CFR Part 200. This includes, but is not limited to, a financial management system that satisfactorily accounts for and documents the receipt and disbursement of WIOA funds, including information pertaining to subgrants and contract awards, obligations, unobligated balances, assets, expenditures, and income. Effective internal controls must be in place to safeguard assets and ensure their proper use (including property location and usage). All source documentation must be maintained to support accounting records that will permit the tracking of funds to a level of expenditure adequate to establish that funds have not been used in a violation of the applicable restrictions on the use of such funds.

### **Audit Resolution File –**

The Grantee and the Local Board assure that the Local Board will maintain an audit resolution file documenting the disposition of reported questioned costs and corrective actions taken for all findings.

### **Bonding –**

The Grantee and the Local Board assure that all persons and/or subrecipients who are authorized to receive or deposit WIOA funds, or to issue financial documents, checks, or other instruments of payment for WIOA program costs, are bonded in accordance with Federal and state regulatory requirements for protection against loss.

### **Cash Management –**

The Grantee and the Local Board assure that no excess cash will be kept on hand; and procedures are in place for maintaining and monitoring the minimum amount of cash on hand necessary to efficiently improve the timing and control of disbursements.

### **Compliance with Nebraska Revised Statutes §§ 4-108 through 4-112 and 48-114 –**

The Grantee and the Local Board assure that all agreements with contractors must include a certification that the contractor has registered with and is using a Federal immigration verification system, as defined in Neb. Rev. Stat. § 4-114, to determine the work eligibility status of all new employees performing services within the State of Nebraska. Upon reasonable notice, the contractor must provide documentation to the Nebraska Department of Labor proving the contractor is, or was at all times during the term of the contractor’s agreement, in compliance with this assurance. If the contractor is an individual or sole proprietorship, the contractor must complete the U.S. Citizenship Attestation Form, accessible on the Nebraska Department of Administrative Services website at das.state.ne.us. If the contractor indicates on such attestation form that he or she is a qualified alien, the contractor must agree to provide to the U.S. Citizenship and Immigration Services the documentation required to verify the contractor’s lawful presence in the United States using the Systematic Alien Verification for Entitlements (SAVE) Program. Verification of lawful presence in the United States and qualified alien status must also be established, pursuant to Neb. Rev. Stat. §§ 4-111 and 4-112, if the contractor has applied for public benefits, as defined in Neb. Rev. Stat. § 48-108. The Grantor and the Local Board must ensure that the contractor understands that lawful presence in the United States is required and that the contractor may be disqualified or the contract terminated if such lawful presence cannot be verified.

### **Compliance with WIOA –**

The Grantee and the Local Board assure that each will fully comply with the requirements of WIOA.

### **Confidentiality –**

The Grantee and the Local Board assure each will comply with the confidentiality requirements of Section 116(i)(3) of WIOA and Section 444 of the General Education Provisions Act (20 USC § 1232g).

### **Consultation –**

The Grantee and the Local Board assure that this regional and local plan has been developed in consultation with local elected officials, Tap to choose the name of the partnering local board, the business community, labor organizations, and other regional and local area workforce system partners.

### **Expending Funds –**

The Grantee and the Local Board assure that funds will be spent in accordance with the WIOA and the Wagner-Peyser Act and their respective rules and regulations, all written U.S. Department of Labor guidelines, and all other applicable Federal and state laws, rules, and regulations, and statutes, and all state policies.

### **Governor’s Grant Procedures –**

The Grantee and the Local Board assure that all use of funds allocated to the Grantee and the Local Board will comply with the grant procedures prescribed by the Governor that are necessary to enter into grant agreements for the allocation and payment of funds under WIOA. The procedures and agreements will be provided by the Governor and will specify the requirements, terms, conditions, assurances and certifications and must include, but not be limited to, the following:

* 1. General Administrative Requirements:
     1. 2 CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
  2. Assurances and Certifications:
     1. Standard Form 424 B – Assurances - Non-Construction Programs.
     2. 29 CFR Part 2 Subpart D – Equal Treatment in Department of Labor Programs for Religious Organizations.
     3. 29 CFR Part 31 – Nondiscrimination in Federally Assisted Programs of the Department of Labor.
     4. 29 CFR Part 32 – Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance.
     5. 29 CFR Part 93 – New Restrictions on Lobbying.
     6. 2 CFR Part 180 Subparts F, G and H – Suspension and Debarment Actions.
     7. 2 CFR Part 182 – Government-Wide Requirements for Drug-Free Workplace (Financial Assistance).

### **Grievances/Complaints –**

The Grantee and the Local Board assure that each will comply with Federal, state, and local policies and procedures for the handling of grievances and complaints from employees and WIOA Title IB (Adult, Dislocated Worker, and Youth) program participants.

### **Human Trafficking –**

The Grantee and the Local Board understand that the Grantor may terminate the grant award, without penalty, as a result of actions by the Grantee, the Local Board, Grantee’s employees or subrecipients, or local area staff based on noncompliance with the Trafficking Victims Protection Act of 2009, as amended, and as implemented by 2 CFR Part 175.15(b).

### **In-demand Occupations or Industries –**

The Granteeand the Local Board assure that training provided for WIOA Title IB (Adult, Dislocated Worker, and Youth) program participants will be provided only for those occupations that are directly linked to an in-demand industry sector or occupation in the local area or the planning region, as those terms are defined in Sections 3(23), 3(32), and 3(48) of WIOA, or in another local area or planning region to which a WIOA Title IB (Adult, Dislocated Worker, and Youth) program participant is willing to relocate**.**

### **Licensing, Taxation, and Insurance –**

The Grantee and the Local Board assure that each will comply with all Federal, state, or local laws, rules, and regulations governing applicable licensing, taxation, and insurance requirements.

### **Nondiscrimination –**

The Grantee and the Local Board assure that each will comply with the nondiscrimination and equal opportunity provisions of Section 188 of WIOA, which prohibits discrimination:

1. on the basis of race, color, or national origin under Title VI of the Civil Rights Act of 1964;
2. on the basis of age under the Age Discrimination Act of 1975;
3. on the basis of sex under Title IX of the Education Amendments of 1972; and
4. on the basis of disability under Section 504 of the Rehabilitation Act of 1973

The Grantee and the Local Board further assure each will comply with the nondiscrimination and equal opportunity provisions of Section 184 of WIOA, which includes prohibitions against discrimination on the basis of any individual’s participation in programs or activities funded or otherwise financially assisted under WIOA, and discrimination on the basis of citizenship status for certain noncitizens.

### **Patent Rights, Copyrights and Rights in Data –**

The Grantee and the Local Board assure that each understands that NDOL and the U.S. Department of Labor reserve a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal government purposes:

1. the copyright in and to any work developed under a grant, subgrant, or contract under a grant of subgrant; and
2. any rights of copyright to which a grantee, subrecipient, or a contractor purchases ownership with grant support.

### **Regional Planning –**

The Local Board assures that it will participate in regional planning.

### **Reporting –**

The Grantee assures that it will submit complete, accurate, and timely reports as specified by the Governor.

### **Responsibility Matters –**

The Grantee and the Local Board assure that each will enforce standards and procedures to ensure against fraud and abuse, including standards and procedures against nepotism, conflicts of interest, lobbying, kickbacks, drug use, political patronage (Hatch Act) and provisions which govern debarment, suspension, and other responsibility matters.

### **Retention of Records –**

The Grantee and the Local Board assure that each will retain all financial and program records, books of account, and other documents related to the grant agreement for a period of three (3) years after grant closeout.The Grantee and the Local Board also assure that if, prior to the conclusion of the three (3) year retention period, any litigation or an audit has begun, the records, books of account and documents relating to the grant agreement must be maintained until the litigation is complete and audit findings are resolved.

### **Salary and Bonus Limitations –**

The Grantee and the Local Board assure that funds appropriated under WIOA or prior legislation under the heading “Employment and Training Administration” that are available for expenditure on or after June 15, 2006 will not be used by a recipient or subrecipient of such funds to pay the salary and/or bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of the annual rate of basic pay prescribed for level II of the Executive Schedule (WIOA Sec. 194(15)(A)), except as provided under WIOA Sec. 194(15)(B) which states that the limitation must not apply to vendors providing goods and services as defined in 2 CFR Part 200 Subpart B.

### **Sole-source Procurement –**

The Grantee and the Local Board assure that, if the one-stop operator for the local area is procured on a sole-source basis, the Grantee and the Local Board have prepared and will maintain documentation concerning the entire process of making the selection.

### **Special Clauses/Provisions –**

TheGrantee and the Local Board assure that each understands that other special assurances or provisions may be required under Federal law or policy, including specific appropriations legislation, WIOA, or subsequent Executive or Congressional mandates.

### **State Energy Conservation Plan –**

The Grantee and the Local Board assure that each recognizes mandatory standards and policies relating to energy efficiency, which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act of 1975. The Grantee and the Local Board each agree to comply with all applicable standards, orders, or requirements issued under § 306 of the Energy Policy and Conservation Act, § 508 of the Clean Water Act, Executive Order 11738, and the Environmental Protection Agency regulations pertaining to contracts, subcontracts, and subgrants in excess of $100,000 (40 CFR Part 15).

### **Sunshine Provision –**

The Local Board assures that the public, including individuals with disabilities, has and will have access to minutes of its meetings.

### **Union Organizing –**

The Grantee and the Local Board assure that no funds received under WIOA will be used to assist, promote, or deter union organizing.

### **Veterans –**

The Grantee and the Local Board assure that use of funds received under WIOA will comply with the Veterans’ priority provisions established in the Jobs for Veterans Act.

These assurances signed and submitted with the agreement of the:

* CEO and Chair of the Tap to choose the name of the local board, on behalf of the Tap to choose the name of the local board; and

| Tap to choose the name of the local board, Lead Local Board |  |
| --- | --- |
|  |  |
| *Chief Elected Official* | *Date* |

| On behalf of the Tap to choose the name of the local board |  |
| --- | --- |
|  |  |
| *Chair,* Tap to choose the name of the local board | *Date* |

## **Lead Local Board Bylaws**

INSTRUCTIONS: Provide a fully-executed copy of the bylaws for the lead local board.

<insert content here>

## **Lead Local Board Membership Roster**

INSTRUCTIONS:

1. Complete both tables, providing the required information for each member of the lead local board. Membership must comply with the requirements of WIOA Sec. 107 (b)(2) *et seq*.

Tap to choose the name of the **lead** local board – Representatives of Business Categories

|  | First Name | Last Name | Job Title, Company, Location | Subcategory of Representation |
| --- | --- | --- | --- | --- |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
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| 13 |  |  |  |  |

Tap to choose the name of the **lead** local board – Representatives of Other Categories

|  | First Name | Last Name | Job Title, Company, Location | Subcategory of Representation |
| --- | --- | --- | --- | --- |
| 14 |  |  |  |  |
| 15 |  |  |  |  |
| 16 |  |  |  |  |
| 17 |  |  |  |  |
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| 24 |  |  |  |  |
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| 26 |  |  |  |  |

1. Provide documentation demonstrating that each lead local board member meets the criteria established in WIOA Sec. 107(b)(2) for the membership category the member represents.

<insert content here>

## **Lead Local Board Membership Optimum Policymaking Authority**

INSTRUCTIONS:

1. Complete the table below, providing the required information for each member of the lead local board that describes the member’s optimum policy making authority.

Tap to choose name of **lead** local board

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | First Name | Last Name | Job Title and Description | Optimum Policy Making Authority  (Yes or No) | Hiring Authority (Yes or No) |
| 1 |  |  |  |  |  |
| 2 |  |  |  |  |  |
| 3 |  |  |  |  |  |
| 4 |  |  |  |  |  |
| 5 |  |  |  |  |  |
| 6 |  |  |  |  |  |
| 7 |  |  |  |  |  |
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| 23 |  |  |  |  |  |
| 24 |  |  |  |  |  |
| 25 |  |  |  |  |  |
| 26 |  |  |  |  |  |

1. Provide documentation verifying that each lead local board member meets the criteria established in WIOA Sec. 107(b)(5) regarding the member having optimum policymaking authority within the member’s organization, agency, or entity.

<insert content here>

## **Lead Local Board Standing Committees**

INSTRUCTIONS: Complete a table for each standing committee of the Lead Local Board, the formation and activities of which must comply with WIOA Sec. 107(b)(4). Also, provide a description of the roles and responsibilities of each standing committee.

Tap to choose the name of the lead local board – <insert name of committee here> Membership

|  |  |  |
| --- | --- | --- |
|  | First Name | Last Name |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
| 6 |  |  |
| 7 |  |  |
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| 11 |  |  |
| 12 |  |  |
| 13 |  |  |

\* Chair of the <insert name of committee here>

\*\* Vice Chair of the <insert name of committee here>

Tap to choose the name of the lead local board – <insert name of committee here> Roles and Responsibilities

<insert description of roles and responsibilities here>

Tap to choose the name of the lead local board – <insert name of committee here> Membership

|  |  |  |
| --- | --- | --- |
|  | First Name | Last Name |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
| 6 |  |  |
| 7 |  |  |
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| 9 |  |  |
| 10 |  |  |
| 11 |  |  |
| 12 |  |  |
| 13 |  |  |

\* Chair of the <insert name of committee here>

\*\* Vice Chair of the <insert name of committee here>

Tap to choose the name of the lead local board – <insert name of committee here> Roles and Responsibilities

<insert description of roles and responsibilities here>

Tap to choose the name of the lead local board – <insert name of committee here> Membership

|  |  |  |
| --- | --- | --- |
|  | First Name | Last Name |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
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| 12 |  |  |
| 13 |  |  |

\* Chair of the <insert name of committee here>

\*\* Vice Chair of the <insert name of committee here>

Tap to choose the name of the lead local board – <insert name of committee here> Roles and Responsibilities

<insert description of roles and responsibilities here>

Tap to choose the name of the lead local board – <insert name of committee here> Membership

|  |  |  |
| --- | --- | --- |
|  | First Name | Last Name |
| 1 |  |  |
| 2 |  |  |
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| 12 |  |  |
| 13 |  |  |

\* Chair of the <insert name of committee here>

\*\* Vice Chair of the <insert name of committee here>

Tap to choose the name of the lead local board – <insert name of committee here> Roles and Responsibilities

<insert description of roles and responsibilities here>

## **Lead Local Area Organizational Chart**

INSTRUCTIONS: Provide an organizational chart that illustrates staffing in the local area from the Grantee level through the level of program manager(s).

<insert content here>

## **List of Required and Optional One-stop Partners**

INSTRUCTIONS: Provide a list of the required and optional one-stop partners in the lead local board’s local area, including each partner’s:

* agency name;
* program name;
* physical address;
* phone; and
* the name and title of the individual responsible for negotiation of the MOU with the local board and CEO.

Also, provide a list of the AJC(s) located in any other local area that is part of the local area’s region, including:

* agency name;
* physical address;
* phone; and
* the name and title of the one-stop operator for the AJC(s).

<insert content here>

## **Memorandums of Understanding**

INSTRUCTIONS: Provide fully-executed copies of all MOUs with required and optional one-stop partners, which must comply with the requirements of NDOL’s policy on MOUs and funding on one-stop operations.

<insert content here>

## **One-stop Operator Sole-source Procurement Process Documentation**

INSTRUCTIONS: If the lead local board selected its one-stop operator on a sole-source basis, provide documentation for the entire sole-source procurement process.

<insert content here>

## **One-stop Operator Agreement**

INSTRUCTIONS: Provide a fully-executed copy of the written agreement between the local board and CEO and the one-stop operator that clarifies how the one-stop operator will carry out its responsibilities while demonstrating compliance with WIOA and corresponding regulations, relevant Office of Management and Budget circulars, and NDOL’s conflict of interest policy.

<insert content here>

## **Proof of Publication of the Public Notice**

INSTRUCTIONS: Provide proof of publication of the regional and local plan.

<insert content here>

## **Public Comments on Plan**

INSTRUCTIONS: Provide a summary of comments from the public on the proposed regional and local plan that disagree with the proposed plan.

<insert content here>

## **WIOA Grant Agreement**

INSTRUCTIONS: Provide a fully-executed copy of the WIOA Grant Agreement with NDOL.

<insert content here>

## **WIOA Grant Agreement Signature Sheet**

This grant agreement is entered into by the Nebraska Department of Labor on behalf of the State of Nebraska, hereafter referred to as the “Grantor,” by <insert name of Grantee here>, hereafter referred to as the “Grantee,” and by the Tap to choose the name of the **lead** local board.

1. This grant agreement, consisting of the attached Regional and Local Plan and its attachments, in conjunction with Public Law 113-128 (the Workforce Innovation and Opportunity Act of 2014), the rules and regulations promulgated thereunder and therewith, the policies and procedures issued by the Grantor, and the terms and conditions of this grant agreement, constitute the entire agreement among the Grantor, the Grantee, and the Tap to choose the name of the **lead** local board.
2. This one (1) year grant agreement commences on Tap to enter start date and ends Tap to enter end date, hereafter the “Term.”
3. The amount of funds allocated by the Grantor to the Grantee for the Term is:

| WIOA Title IB Program | Category of Funds | Amount |
| --- | --- | --- |
| Adult Program | Program Year (Base) Funds | $<insert amount here> |
|  | Fiscal Year (Advance) Funds | $<insert amount here> |
| Dislocated Worker Program | Program Year (Base) Funds | $<insert amount here> |
|  | Fiscal Year (Advance) Funds | $<insert amount here> |
| Youth Program | Program Year (Base) Funds | $<insert amount here> |
| Total |  | $<insert amount here> |

1. Modification of this grant agreement may be made by the written agreement of the Grantor, the Grantee, and the Tap to choose the name of the lead local board.
2. Unilateral modification of this grant agreement may be made by the Grantor in the case of changes in funding.

This grant agreement is signed with the agreement of the Grantor, the Grantee, and the Tap to choose the name of the **lead** local board.

| Grantor |  |
| --- | --- |
| On behalf of the State of Nebraska |  |
|  |  |
| *Signature* | *Date* |
| John H. Albin |  |
| Commissioner |  |
| Nebraska Department of Labor |  |

| Grantee |  |
| --- | --- |
|  |  |
| *Signature* | *Date* |
| <insert CEO name here> |  |
| <insert CEO title here> |  |
| <insert CEO jurisdiction here> |  |

| On behalf of the Tap to choose the name of the **lead** local board |  |
| --- | --- |
|  |  |
| *Signature* | *Date* |
| <insert Chair name here> |  |
| <insert Chair’s title and company name here> |  |

## **WIOA Title IB (Adult, Dislocated Worker, and Youth) Program Budget, Participant, and Exit Summaries**

INSTRUCTIONS:

1. Complete one (1) *Budget, Participant, and Exit Summary* worksheet for each WIOA Title IB (Adult, Dislocated Worker, and Youth) program using the instructions provided in Sections [A](#_Budget,_Participant,_and) or [B](#_Budget,_Participant,_and_1), as applicable.
2. Complete one (1) *Budget Summary – Administration* worksheet for Administration costs using the instructions provided in [Section C](#_Budget_Summary_Sheet).

Working versions of the *Budget, Participant, and Exit Summary* worksheets and *Budget Summary – Administration* worksheet will be provided by email to each local board as one Microsoft Excel workbook. Samples of each are provided for reference only, as [Section D](#_Sample_Budget,_Participant,) to this Attachment 18.

For technical assistance with the worksheets (formatting questions or issues, etc.), email [ndol.wioa\_policy@nebraska.gov](mailto:ndol.wioa_policy@nebraska.gov).

### **Budget, Participant, and Exit Summary – Adult and Dislocated Worker Programs**

#### Instructions

Adult and Dislocated Worker program administration costs (10%) are reflected only in the *Budget Summary - Administration* worksheet.

The *Budget, Participant, and Exit Summary* worksheets for the Adult and Dislocated Worker programs must reflect program costs only (90% of total funds allocated to the local area for the respective program).

* Transitional Jobs Costs[[25]](#footnote-25)
  + For transitional jobs costs, the local board may reserve no more than 10% of the combined total of the funds allocated to the local area for the Adult and Dislocated Worker programs.
    - The reserve is calculated based on the total funds allocated, not just program funds.
  + The reserve for transitional jobs costs is shared between the Adult and Dislocated Worker programs, with a portion to be designated for each program. Example using a 10% reserve:
    - Combined total funds allocated to the local area for Adult and Dislocated Worker programs = $100,000
    - Local board reserves 10% for transitional jobs costs = $10,000
  + The local board determines the portion of the reserve to be designated to each program for transitional jobs costs.
    - 50% of the reserve is designated for Adult transitional jobs costs = $5,000
    - 50% of the reserve is designated for Dislocated Worker transitional jobs costs = $5,000
* Incumbent Worker Training Costs[[26]](#footnote-26)
  + For incumbent worker training costs, the local board may reserve no more than 20% of the combined total of the funds allocated to the local area for the Adult and Dislocated Worker programs.
    - The reserve is based on the total funds allocated, not just program funds.
  + The reserve for incumbent worker training costs is shared between the Adult and Dislocated Worker programs, with a portion to be designated for each program. Example using a 20% reserve:
    - Combined total funds allocated to the local area for Adult and Dislocated Worker programs = $100,000
    - Local board reserves 20% for incumbent worker training costs = $20,000
  + The local board determines the portion of the reserve to be designated to each program for incumbent worker training costs.
    - 50% of the reserve is designated for Adult incumbent worker training costs = $10,000
    - 50% of the reserve is designated for Dislocated Worker incumbent worker training costs = $10,000
* Pay-for-performance Contract Costs[[27]](#footnote-27)
  + No more than 10% of the total funds allocated to the local area for each of the Adult or Dislocated Worker programs may be spent on pay-for-performance contract costs for the program. Example using a 10% reserve for the Adult program:
    - Total funds allocated to the local area for the Adult program = $100,000
    - Local board reserves 10% for pay-for-performance contract costs for the Adult program = $10,000

Note: Cells used for entering monetary values are formatted to reflect “dollars and cents” (*i.e.*, two decimal places).

#### Worksheet Header

*Program Area*

1. Must indicate *Adult (90%)* or *Dislocated Worker (90%)*, as applicable

*Issuance*

1. Must indicate the issuance number under which the local area allocation of program year and fiscal funds is announced (example: 15-01)

*Program Period*

1. Must indicate the applicable program year and fiscal year for which funds are allocated (example: PY16/FY17)

#### Funds Available

##### Program Funds (90%)

1. *Carry-in Funds*
   * Must reflect the amount of estimated carry-in funds from the previous program year
2. *PY Funds (Jul – Sep)* 
   * Must reflect the amount of PY funds (July 1 – September 30) allocated to the local area for the program
3. *FY Funds (Oct – Jun)*
   * Must reflect the amount of FY funds (October 1 – June 30) allocated to the local area for the program
4. *Amount of Other Additional Funds* 
   * Not applicable
5. *Total* 
   * Calculates automatically

##### Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Adult or Dislocated Worker funds

You must identify the program period of the transferred funds by replacing <PROGRAM PERIOD> with the PY period or FY period from which Adult or Dislocated Worker funds are transferred. Examples:

* Additional Funds: Authorized transfer in from PY15 Adult program
* Additional Funds: Authorized transfer in from FY16 Adult program

1. *Carry-in Funds*
   * Not applicable
2. *PY Funds (Jul – Sep)*
   * Must reflect the total amount of PY funds (July 1 – September 30) the local area is transferring in from Adult or Dislocated Worker funds, as applicable
   * Must enter a positive number
3. *FY Funds (Oct – Jun)*
   * Must reflect the total amount of FY funds (October 1 – June 30) the local area is transferring in from Adult or Dislocated Worker funds, as applicable
   * Must enter a positive number
4. *Amount of Other Additional Funds* 
   * Not applicable
5. *Total*
   * Calculates automatically

##### Additional Funds: Authorized transfer out to <PROGRAM PERIOD> Adult or Dislocated Worker funds

You must identify the program period of the transferred funds by replacing <PROGRAM PERIOD> with the PY period or FY period to which Adult or Dislocated Worker funds are transferred. Examples:

* Additional Funds: Authorized transfer out to PY15 Dislocated Worker program
* Additional Funds: Authorized transfer out to FY16 Dislocated Worker program

1. *Carry-in Funds*
   * Not applicable
2. *PY Funds (Jul – Sep)*
   * Must reflect the total amount of PY funds (July 1 – September 30) the local area is transferring out to Adult or Dislocated Worker funds, as applicable
   * Must enter a negative number
3. *FY Funds (Oct – Jun)*
   * Must reflect the total amount of FY funds (October 1 – June 30) the local area is transferring out to Adult or Dislocated Worker funds, as applicable
   * Must enter a negative number
4. *Amount of Other Additional Funds* 
   * Not applicable
5. *Total*

##### Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Administration funds

You must identify the program period of the transferred funds by replacing <PROGRAM PERIOD> with the PY period or FY period from which Administration funds are transferred. Examples:

* Additional Funds: Authorized transfer in from PY15 Administration funds
* Additional Funds: Authorized transfer in from FY16 Administration funds

Follow the instructions for *Section I – Part B* for authorized transfers of additional funds in from Administration funds.

##### Other Additional Funds: <SOURCE>, <EFFECTIVE DATE>

You must identify the:

* + source of the other additional funds by replacing <SOURCE> with the name of the program, organization, or agency from which funds are being transferred or provided to the local area for the Adult or Dislocated Worker program, as applicable:
    - may include, but is not limited to, discretionary grants, program income, or matching funds, all of which must be provided to the local area in direct support of Adult or Dislocated Worker program activities; and
  + effective date of the transfer or provision of other additional funds to the local area for the Adult or Dislocated Worker program, as applicable, by replacing <EFFECTIVE DATE> with the date the funds become available to the local area (example: 11/21/2016).

1. *Carry-in Funds*
   * Must reflect the amount of estimated carry-in of other additional funds from the previous program year
2. *PY Funds (Jul – Sep)*
   * Not applicable
3. *FY Funds (Oct – Jun)*
   * Not applicable
4. *Amount of Other Additional Funds* 
   * Must reflect the amount of other additional funds transferred or provided to the local area for the Adult or Dislocated Worker program, as applicable
5. *Total Funds*
   * Calculates automatically

##### Total Funds Available

Calculates automatically.

#### Projected Expenditures

Under the Projected Expenditures section:

* staff costs are salary and benefits costs that are projected to be charged to the Adult or Dislocated Worker program; and
* operational costs are those expenses required to operate the Adult or Dislocated Worker program (example: all program costs that are non-personnel costs such as rent, utilities, publications and printing, travel).

##### Participant Costs

1. *Carry-in Funds*
   * Must reflect the amount of carry-in funds projected to be spent on participant costs
2. *PY Funds (Jul – Sep)*
   * Must reflect the amount of PY funds projected to be spent on participant costs
3. *FY Funds (Oct – Jun)*
   * Must reflect the amount of FY funds projected to be spent on participant costs
4. *Amount of Other Additional Funds* 
   * Must reflect the amount of other additional funds projected to be spent on participant costs
5. *Total*
   * Calculates automatically

##### Staff Costs

Follow the instructions for *Section II – Part A* for columns 1 through 4 for projected expenditures relating to staff costs.

##### Operational costs

Follow the instructions for *Section II – Part A* for columns 1 through 4 for projected expenditures relating to operational costs.

##### Equipment Costs

Follow the instructions for *Section II – Part A* for columns 1 through 4 for projected expenditures relating to equipment costs.

##### Transitional Jobs Costs (no more than 10% of combined total Adult and DLW funds, see detailed [Instructions](#_Instructions))

Follow the instructions for *Section II – Part A* for columns 1 through 4 for projected expenditures relating to transitional jobs costs.

##### Incumbent Worker Costs (no more than 20% of combined total Adult and DLW funds, see detailed [Instructions](#_Instructions))

Follow the instructions for *Section II – Part A* for columns 1 through 4 for projected expenditures relating to incumbent worker costs.

##### Pay-for-performance Contract(s) Costs (no more than 10% of total Adult or DLW funds, see detailed [Instructions](#_Instructions))

Follow the instructions for *Section II – Part A* for columns 1 through 4 for projected expenditures relating to pay-for-performance contract costs.

##### Total Projected Expenditures

Calculates automatically.

#### Actual Expenditures

This section must be completed but only when the local plan is being modified or revised during the program year to reflect changes to the Adult or Dislocated Worker program budget, as applicable.

##### Participant Costs

1. *Q1 (Jul 1 – Sep 30)*
   * Must reflect the total amount of funds expended on participant costs during Q1 as of the date of the plan modification or revision
2. *Q2 (Oct 1 – Dec 31)*
   * Must reflect the total amount of funds expended on participant costs during Q2 as of the date of the plan modification or revision
3. *Q3 (Jan 1 – Mar 31)*
   * Must reflect the total amount of funds expended on participant costs during Q3 as of the date of the plan modification or revision
4. *Q4 (Apr 1 – Jun 30)*
   * Must reflect the total amount of funds expended on participant costs during Q4 as of the date of the plan modification or revision costs
5. *Total*
   * Calculates automatically

##### Staff Costs

Follow the instructions for *Section III – Part A* for columns 1 through 4 for actual expenditures relating to staff costs.

##### Operational costs

Follow the instructions for *Section III – Part A* for columns 1 through 4 for actual expenditures relating to operational costs.

##### Equipment Costs

Follow the instructions for *Section III – Part A* for columns 1 through 4 for actual expenditures relating to equipment costs.

##### Transitional Jobs Costs (no more than 10% of combined total Adult and DLW funds, see detailed [Instructions](#_Instructions))

Follow the instructions for *Section III – Part A* for columns 1 through 4 for actual expenditures relating to transitional jobs costs.

##### Incumbent Worker Costs (no more than 20% of combined total Adult and DLW funds, see detailed [Instructions](#_Instructions))

Follow the instructions for *Section III – Part A* for columns 1 through 4 for actual expenditures relating to incumbent worker costs.

##### Pay-for-Performance Contract Costs (no more than 10% of total Adult or DLW funds, see detailed [Instructions](#_Instructions))

Follow the instructions for *Section III – Part A* for columns 1 through 4 for actual expenditures relating to pay-for-performance contract costs.

##### Total Actual Expenditures

Calculates automatically.

#### Projected Carry-In Funds

##### Projected carry-in funds from current program year to next program year

1. *Carry-in Funds*

* Not applicable

1. *PY Funds (Jul – Sep)*

* Must reflect the total amount of PY funds projected to be carried in from the current program year to the next program year

1. *FY Funds (Oct – Jun)*

* Must reflect the total amount of FY funds projected to be carried in from the current program year to the next program year

1. *Amount of Other Additional Funds*

* Must reflect the total amount of other additional funds projected to be carried in from the current program year to the next program year

1. *Total*

* Calculates automatically

#### Participant Enrollments

##### Carry-in Enrollments from Previous Program Year

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total number of participant enrollments carried in from the previous program year to the current program year

1. *Q2 (Oct 1 – Dec 31)*

* Not applicable

1. *Q3 (Jan 1 – Mar 31)*

* Not applicable

1. *Q4 (Apr 1 – Jun 30)*

* Not applicable

1. *Total*

* Calculates automatically

##### Planned New Enrollments for Current Program Year

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the planned number of new participant enrollments for Q1 (Jul 1 – Sep 30)

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the planned number of new participant enrollments for Q2 (Oct 1 – Dec 31)

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the planned number of new participant enrollments for Q3 (Jan 1 – Mar 31)

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the planned number of new participant enrollments for Q4 (Apr 1 – Jun 30)

1. *Total*

* Calculates automatically

##### Projected Carry-in Enrollments into Next Program Year

1. *Q1 (Jul 1 – Sep 30)*

* Not applicable

1. *Q2 (Oct 1 – Dec 31)*

* Not applicable

1. *Q3 (Jan 1 – Mar 31)*

* Not applicable

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total number of participant enrollments projected to be carried in from the current program year to the next program year

1. *Total*

* Calculates automatically

##### Total Participant Enrollments

Calculates automatically

#### Participant Exits

##### Planned Exits

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the number of planned participant exits for Q1 (Jul 1 – Sep 30)

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the number of planned participant exits for Q2 (Oct 1 – Dec 31)

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the number of planned participant exits for Q3 (Jan 1 – Mar 31)

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the number of planned participant exits for Q4 (Apr 1 – Jun 30)

1. *Total*

* Calculates automatically

###### Entered Employment 2nd Quarter after Exit

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the number of participants who, during Q1 (Jul 1 – Sep 30), are projected to be employed during the second quarter after program exit

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the number of participants who, during Q2 (Oct 1 – Dec 31), are projected to be employed during the second quarter after program exit

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the number of participants who, during Q3 (Jan 1 – Mar 31), are projected to be employed during the second quarter after program exit

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the number of participants who, during Q4 (Apr 1 – Jun 30), are projected to be employed during the second quarter after program exit

1. *Total*

* Calculates automatically

###### Entered Employment 4th Quarter after Exit

Follow the instructions for *Section IV – Part A – Row 1* for columns 1 through 4 for the number of participants who are projected to be employed during the fourth quarter after program exit

###### Median Earnings 2nd Quarter after Exit

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the projected median second-quarter earnings of participants who exit during Q1 (Jul 1 – Sep 30)

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the projected median second-quarter earnings of participants who exit during Q2 (Oct 1 – Dec 31)

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the projected median second-quarter earnings of participants who exit during Q3 (Jan 1 – Mar 31)

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the projected median second-quarter earnings of participants who exit during Q4 (Apr 1 – Jun 30)

1. *Total*

* Calculates automatically

###### Credential Attainment within 4 Quarters after Exit

Follow the instructions for *Section IV – Part A – Row 1* for columns 1 through 4 for the number of participants who are projected to have obtained a credential within four quarters after program exit

#### Projected Cost per Participant

Calculates automatically

#### Actual Cost per Participant

* Must reflect the actual average cost-per-participant for the previous program year
* Must be completed and calculated based on the following:
  + numerator = total amount of funds available for the previous program year
  + denominator = total number of participants served during the previous program year

### **Budget, Participant, and Exit Summary – Youth Program**

#### Instructions

Youth program Administration costs (10%) are reflected only in the *Budget Summary - Administration* worksheet.

The *Budget, Participant, and Exit Summary* worksheets for the Youth program must reflect program costs only (90% of total funds allocated to the local area for the program).

* Out-of-school Youth Spending Requirement[[28]](#footnote-28)
  + No less than 75% of the total Youth program funds allocated to the local area (less the 10% administration set aside) must be spent on out-of-school youth.
* Work Experience Spending Requirement[[29]](#footnote-29)
  + No less than 20% of the total Youth program funds allocated to the local area (less the 10% administration set aside) must be spent on work experience activities.
  + The percentage of Youth program funds spent on work experience activities is calculated based on the combined total of local area Youth funds expended for both ISY and OSY work experience activities, subject to the 75% OSY spending requirement. Example using a 20% reserve:
    - Combined total funds allocated to the local area for the Youth program = $100,000
    - Local board reserves 20% for work experience costs = $20,000
  + The local board determines the portion of the reserve to be designated to each program for work experience costs.
    - 50% of the reserve is designated for OSY work experience costs = $10,000
    - 50% of the reserve is designated for ISY work experience costs = $10,000
  + Work experience costs include participant costs and staff costs, including wages and staff costs for the development and management of work experience activities.
* Pay-for-performance Contract Costs[[30]](#footnote-30)
  + No more than 10% of the total funds allocated to the local area for the Youth program can be spent on pay-for-performance contract costs for the program. Example using a 10% reserve:
    - Total funds allocated to the local area for the Youth program = $100,000
    - Local board reserves 10% for pay-for-performance contract costs for the Youth program = $10,000

Note: Cells used for entering monetary values are formatted to reflect “dollars and cents” (*i.e.*, two decimal places).

#### Worksheet Header

*Program Area*

* Must indicate *Youth (90%)*

*Issuance*

* Must indicate the issuance number under which the local area allocation of PY funds is announced (example: 15-01)

*Program Period*

* Must indicate the applicable program year for which funds are allocated (example: PY16)

#### Funds Available

##### Program (90%)

1. *Carry-in Funds*
   * Must reflect the amount of estimated carry-in funds from the previous program year
2. *PY Funds (Apr - Jun)* 
   * Must reflect the amount of PY funds (April 1 prior to July 1 start of PY – June 30) allocated to the local area for the program
3. *Amount of Other Additional Funds* 
   * Not applicable
4. *Total* 
   * Calculates automatically

##### Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Administration funds

You must identify the program period of the transferred funds by replacing <PROGRAM PERIOD> with the PY period or FY period from which Administration funds are transferred. Examples:

* Additional Funds: Authorized transfer in from PY15 Administration funds
* Additional Funds: Authorized transfer in from FY16 Administration funds

1. *Carry-in Funds*
   * Not applicable
2. *PY Funds (Jul – Jun)*
   * Must reflect the amount of PY funds (April 1 prior to July 1 start of PY – June 30) the local area is transferring in from Administration funds to the Youth program
3. *Amount of Other Additional Funds* 
   * Not applicable
4. *Total*
   * Calculates automatically

##### Other Additional Funds: <SOURCE>, <EFFECTIVE DATE>

You must identify the:

* + source of the other additional funds by replacing <SOURCE> with the name of the program, organization, or agency from which funds are being transferred or provided to the local area for the Youth program:
    - may include, but is not limited to, discretionary grants, program income, or matching funds, all of which must be provided to the local area in direct support of Youth program activities; and
  + effective date of the transfer or provision of other additional funds to the local area for the Youth program by replacing <EFFECTIVE DATE> with the date the funds become available to the local area (example: 11/21/2016)

1. *Carry-in Funds*
   * Must reflect the total amount of estimated carry-in of other additional funds from the previous program year
2. *PY Funds (Apr – Jun)*
   * Not applicable
3. *Amount of Other Additional Funds* 
   * Must reflect the total amount of other additional funds transferred or provided to the local area for the Youth program
4. *Total*
   * Calculates automatically

##### Total Funds Available

Calculates automatically

#### Projected Expenditures

Under the Projected Expenditures section:

* staff costs are salary and benefits costs that are projected to be charged to the Youth program; and
* operational costs are those expenses required to operate the Youth program (example: all program costs that are non-personnel costs such as rent, utilities, publications and printing, travel)

##### Out-of-school Youth (no less than 75% of Youth program funds, see detailed [Instructions](#_Instructions_1))

###### Participant Costs (non-Work Experience)

1. *Carry-in Funds*
   * Must reflect the total amount of carry-in funds that are projected to be spent on non-Work Experience OSY participant costs
2. *PY Funds (Apr – Jun)*
   * Must reflect the total amount of PY funds (April 1 prior to July 1 start of PY – June 30) that are projected to be spent on non-Work Experience OSY participant costs
3. *Amount of Other Additional Funds* 
   * Must reflect the total amount of other additional funds that are projected to be spent on non-Work Experience OSY participant costs
4. *Total*
   * Calculates automatically

###### Staff Costs (non-Work Experience)

Follow the instructions for *Section II – Part A – Row 1* for columns 1, 2, and 3 for projected expenditures relating to non-Work Experience OSY staff costs

###### Operational Costs

Follow the instructions for *Section II – Part A – Row 1* for columns 1, 2, and 3 for projected expenditures relating to OSY operational costs

###### Equipment Costs

Follow the instructions for *Section II – Part A – Row 1* for columns 1, 2, and 3 for projected expenditures relating to OSY equipment costs

###### Participant Costs (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Carry-in Funds*

* Must reflect the amount of carry-in funds projected to be spent on participant Work Experience costs for OSY summer employment

1. *PY Funds (Apr - Jun)*

* Must reflect the amount of PY funds (April 1 prior to July 1 start of PY – June 30) projected to be spent on participant Work Experience costs for OSY summer employment

1. *Amount of Other Additional Funds*

* Must reflect the amount of other additional funds projected to be spent on participant Work Experience costs for OSY summer employment

1. *Total*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 5 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for OSY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 5 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for OSY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 5 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for OSY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 5 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for OSY job shadowing

###### Staff Costs (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Carry-in Funds*

* Must reflect the amount of carry-in funds projected to be spent on staff Work Experience costs for OSY summer employment

1. *PY Funds (Apr – Jun)*

* Must reflect the amount of PY funds (April 1 prior to July 1 start of PY – June 30) projected to be spent on staff Work Experience costs for OSY summer employment

1. *Amount of Other Additional Funds*

* Must reflect the amount of other additional funds projected to be spent on staff Work Experience costs for OSY summer employment

1. *Total*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 6 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for OSY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 6 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for OSY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 6 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for OSY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section II – Part A – Row 6 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for OSY job shadowing

##### In-school Youth

###### Participant Costs (non-Work Experience)

1. *Carry-in Funds*
   * Must reflect the total amount of carry-in funds that are projected to be spent on non-Work Experience ISY participant costs
2. *PY Funds (Apr – Jun)*
   * Must reflect the total amount of PY funds (April 1 prior to July 1 start of PY – June 30) that are projected to be spent on non-Work Experience ISY participant costs
3. *Amount of Other Additional Funds* 
   * Must reflect the total amount of other additional funds that are projected to be spent on non-Work Experience ISY participant costs
4. *Total*
   * Calculates automatically

###### Staff Costs (non-Work Experience)

Follow the instructions for *Section II – Part B – Row 1* for columns 1, 2, and 3 for projected expenditures relating to non-Work Experience ISY staff costs

###### Operational Costs

Follow the instructions for *Section II – Part B – Row 1* for columns 1, 2, and 3 for projected expenditures relating to ISY operational costs

###### Equipment Costs

Follow the instructions for *Section II – Part B – Row 1* for columns 1, 2, and 3 for projected expenditures relating to ISY equipment costs

###### Participant Costs (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Carry-in Funds*

* Must reflect the amount of carry-in funds projected to be spent on participant Work Experience costs for ISY summer employment

1. *PY Funds (Apr - Jun)*

* Must reflect the amount of PY funds (April 1 prior to July 1 start of PY – June 30) projected to be spent on participant Work Experience costs for ISY summer employment

1. *Amount of Other Additional Funds*

* Must reflect the amount of other additional funds projected to be spent on participant Work Experience costs for ISY summer employment

1. *Total*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 5 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for ISY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 5 – Item (a)* for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for ISY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 5 – Item (a)* for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for ISY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 5 – Item (a)* for columns 1, 2, and 3 for projected expenditures relating to participant Work Experience costs for ISY job shadowing

###### Staff Costs (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Carry-in Funds*

* Must reflect the amount of carry-in funds projected to be spent on staff Work Experience costs for ISY summer employment

1. *PY Funds (Apr – Jun)*

* Must reflect the amount of PY funds (April 1 prior to July 1 start of PY – June 30) projected to be spent on staff Work Experience costs for ISY summer employment

1. *Amount of Other Additional Funds*

* Must reflect the amount of other additional funds projected to be spent on staff Work Experience costs for ISY summer employment

1. *Total*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 6 – Item* (a) for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for ISY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 6 – Item (a)* for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for ISY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 6 – Item (a)* for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for ISY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section II – Part B – Row 6 – Item (a)* for columns 1, 2, and 3 for projected expenditures relating to staff Work Experience costs for ISY job shadowing

##### Pay-for-performance Contract(s) Costs (no more than 10% of Youth program funds, see detailed [Instructions](#_Instructions_1))

1. *Carry-in Funds*
   * Must reflect the amount of carry-in funds that is projected to be spent on pay-for-performance contract(s) costs
2. *PY Funds (Jul – Jun)*
   * Must reflect the amount of PY funds (April 1 prior to July 1 start of PY – June 30) that is projected to be spent on pay-for-performance contract(s) costs
3. *Amount of Other Additional Funds* 
   * Must reflect the amount of other additional funds that is projected to be spent on pay-for-performance contract(s) costs
4. *Total* 
   * Calculates automatically

##### Total Projected Expenditures

Calculates automatically

#### Actual Expenditures

This section must be completed but only when the local plan is being modified or revised during the program year to reflect changes to the Youth program budget.

##### Out-of-school Youth (no less than 75% of Youth program funds, see detailed [Instructions](#_Instructions_1))

###### Participant Costs (non-Work Experience)

1. *Q1 (Jul 1 – Sep 30)*
   * Must reflect the total amount of OSY funds expended on non-Work Experience participant costs during Q1 as of the date of the plan modification or revision
2. *Q2 (Oct 1 – Dec 31)*
   * Must reflect the total amount of OSY funds expended on non-Work Experience participant costs during Q2 as of the date of the plan modification or revision
3. *Q3 (Jan 1 – Mar 31)*
   * Must reflect the total amount of OSY funds expended on non-Work Experience participant costs during Q3 as of the date of the plan modification or revision
4. *Q4 (Apr 1 – Jun 30)*
   * Must reflect the total amount of OSY funds expended on non-Work Experience participant costs during Q4 as of the date of the plan modification or revision costs
5. *Total*
   * Calculates automatically

###### Staff Costs (non-Work Experience)

Follow the instructions for *Section III – Part A – Row 1* for columns 1 through 4 for actual expenditures relating to OSY non-Work Experience staff costs

###### Operational Costs

Follow the instructions for *Section III – Part A – Row 1* for columns 1through 4 for actual expenditures relating to OSY operational costs

###### Equipment Costs

Follow the instructions for *Section III – Part A – Row 1* for columns 1 through 4 for actual expenditures relating to OSY equipment costs

###### Participant Costs (Work Experience) (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total amount of funds expended on participant Work Experience costs for OSY summer employment during Q1 as of the date of the plan modification or revision

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total amount of funds expended on participant Work Experience costs for OSY summer employment during Q2 as of the date of the plan modification or revision

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total amount of funds expended on participant Work Experience costs for OSY summer employment during Q3 as of the date of the plan modification or revision

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total amount of funds expended on participant Work Experience costs for OSY summer employment during Q4 as of the date of the plan modification or revision

1. *Total*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for OSY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for OSY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for OSY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for OSY job shadowing

###### Staff Costs (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total amount of funds expended on staff Work Experience costs for OSY summer employment during Q1 as of the date of the plan modification or revision

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total amount of funds expended on staff Work Experience costs for OSY summer employment during Q2 as of the date of the plan modification or revision

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total amount of funds expended on staff Work Experience costs for OSY summer employment during Q3 as of the date of the plan modification or revision

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total amount of funds expended on staff Work Experience costs for OSY summer employment during Q3 as of the date of the plan modification or revision

1. *Total*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for OSY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for OSY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for OSY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section III – Part A – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for OSY job shadowing

##### In-school Youth

###### Participant Costs (non-Work Experience)

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total amount of funds expended on non-Work Experience ISY participant costs during Q1 as of the date of the plan modification or revision

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total amount of funds expended on non-Work Experience ISY participant costs during Q2 as of the date of the plan modification or revision

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total amount of funds expended on non-Work Experience ISY participant costs during Q3 as of the date of the plan modification or revision

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total amount of funds expended on non-Work Experience ISY participant costs during Q4 as of the date of the plan modification or revision costs

1. *Total*

* Calculates automatically

###### Staff Costs (non-Work Experience)

Follow the instructions for *Section III – Part B – Row 1* for columns 1 through 4 for actual expenditures relating to ISY non-Work Experience staff costs

###### Operational Costs

Follow the instructions for *Section III – Part B – Row 1* for columns 1 through 4 for actual expenditures relating to ISY operational costs

###### Equipment Costs

Follow the instructions for *Section III – Part B – Row 1* for columns 1 through 4 for actual expenditures relating to ISY equipment costs

###### Participant Costs (Work Experience) (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total amount of funds expended on participant Work Experience costs for ISY summer employment during Q1 as of the date of the plan modification or revision

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total amount of funds expended on participant Work Experience costs for ISY summer employment during Q2 as of the date of the plan modification or revision

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total amount of funds expended on participant Work Experience costs for ISY summer employment during Q3 as of the date of the plan modification or revision

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total amount of funds expended on participant Work Experience costs for ISY summer employment during Q4 as of the date of the plan modification or revision

1. *Total*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for ISY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for ISY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for ISY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 5 – Item (a)* for columns 1 through 4 for actual expenditures relating to participant Work Experience costs for ISY job shadowing

###### Staff Costs (Work Experience) (Work Experience) (no less than 20% of total Youth funds, see detailed [Instructions](#_Instructions_1))

1. Summer Employment (must include academic and occupational education)
2. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total amount of funds expended on staff Work Experience costs for ISY summer employment during Q1 as of the date of the plan modification or revision

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total amount of funds expended on staff Work Experience costs for ISY summer employment during Q2 as of the date of the plan modification or revision

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total amount of funds expended on staff Work Experience costs for ISY summer employment during Q3 as of the date of the plan modification or revision

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total amount of funds expended on staff Work Experience costs for ISY summer employment during Q4 as of the date of the plan modification or revision

1. *Total Actual Expenditures*

* Calculates automatically

1. School-year Employment (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for ISY school-year employment

1. Pre-apprenticeships (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for ISY pre-apprenticeships

1. Internships (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for ISY internships

1. Job Shadowing (must include academic and occupational education)

Follow the instructions for *Section III – Part B – Row 6 – Item (a)* for columns 1 through 4 for actual expenditures relating to staff Work Experience costs for ISY job shadowing

##### Pay-for-performance Contract(s) Costs (no more than 10% of Youth program funds, see detailed [Instructions](#_Instructions_1))

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total amount of ISY funds expended on pay-for-performance contract(s) costs during Q1 as of the date of the plan modification or revision

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total amount of ISY funds expended on pay-for-performance contract(s) costs during Q2 as of the date of the plan modification or revision

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total amount of ISY funds expended on pay-for-performance contract(s) costs during Q3 as of the date of the plan modification or revision

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total amount of ISY funds expended on pay-for-performance contract(s) costs during Q4 as of the date of the plan modification or revision costs

1. *Total Actual Expenditures*

* Calculates automatically

##### Total Actual Expenditures

Calculates automatically

#### Projected Carry-In Funds

##### Projected carry-in funds from current program year to next program year

1. *Carry-in Funds*

* Not applicable

1. *PY Funds (Apr - Jun)*

* Must reflect the total amount of PY funds (April 1 prior to July 1 start of PY – June 30) projected to be carried in from the current program year to the next program year

1. *Amount of Other Additional Funds*

* Must reflect the total amount of other additional funds projected to be carried in from the current program year to the next program year

1. *Total*

* Calculates automatically

#### Participant Enrollments

##### Carry-in Enrollments from Previous Program Year

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total number of carry-in participant enrollments from the previous program year

1. *Q2 (Oct 1 – Dec 31)*

* Not applicable

1. *Q3 (Jan 1 – Mar 31)*

* Not applicable

1. *Q4 (Apr 1 – Jun 30)*

* Not applicable

1. *Total*

* Calculates automatically

##### Planned New Enrollments for Current Program Year

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total number of all planned new participant enrollments for Q1 (Jul 1 – Sep 30)

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total number of all planned new participant enrollments for Q2 (Oct 1 – Dec 31)

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total number of all planned new participant enrollments for Q3 (Jan 1 – Mar 31)

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total number of all planned new participant enrollments for Q4 (Apr 1 – Jun 30)

1. *Total*

* Calculates automatically

###### Out-of-school Youth

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the total number of planned new OSY participant enrollments for Q1 (Jul 1 – Sep 30)

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the total number of planned new OSY participant enrollments for Q2 (Oct 1 – Dec 31)

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the total number of planned new OSY participant enrollments for Q3 (Jan 1 – Mar 31)

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total number of planned new OSY participant enrollments for Q4 (Apr 1 – Jun 30)

1. *Total Enrollments*

* Not applicable

###### In-school Youth

Follow the instructions for *Section V – Part B – Row 1* for columns 1 through 4 for the total number of planned new ISY participant enrollments

###### Recipients of public assistance

Follow the instructions for *Section V – Part B – Row 1* for columns 1 through 4 for the total number of planned new participant enrollments who are recipients of public assistance

###### Other low-income individuals

Follow the instructions for *Section V – Part B – Row 1* for columns 1 through 4 for the total number of planned new participant enrollments who are low-income individuals (does not include the enrollments stated in *Row 3. Recipients of Public Assistance*)

###### Basic-skills deficient

Follow the instructions for *Section V – Part B – Row 1* for columns 1 through 4 for total number of planned new participant enrollments who are basic-skills deficient

###### English-language learners

Follow the instructions for *Section V – Part B – Row 1* for columns 1 through 4 for the total number of planned new participant enrollments who are English-language leaners

###### High school dropout with no GED

Follow the instructions for *Section V – Part B – Row 1* for columns 1 through 4 for the total number of planned new participant enrollments who are high school dropouts and have no GED

###### Unemployed

Follow the instructions for *Section V – Part B – Row 1* for columns 1 through 4 for the total number of planned new participant enrollments who are unemployed

##### Projected Carry-in Enrollments to Next Program Year

1. *Q1 (Jul 1 – Sep 30)*

* Not applicable

1. *Q2 (Oct 1 – Dec 31)*

* Not applicable

1. *Q3 (Jan 1 – Mar 31)*

* Not applicable

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the total projected number of carry-in participant enrollments to the next program year

1. *Total*

* Calculates automatically

#### Participant Exits

##### Planned Exits

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the planned number of participant exits for Q1 (Jul 1 – Sep 30)

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the planned number of participant exits for Q2 (Oct 1 – Dec 31)

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the planned number of participant exits for Q3 (Jan 1 – Mar 31)

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the planned number of participant exits for Q4 (Apr 1 – Jun 30)

1. *Total Exits*

* Calculates automatically

###### Entered Employment 2nd Quarter after Exit

1. *Q1 (Jul 1 – Sep 30)*

* Must reflect the number of participants who, during Q1 (Jul 1 – Sep 30), are projected to be employed by the second quarter after program exit

1. *Q2 (Oct 1 – Dec 31)*

* Must reflect the number of participants who, during Q2 (Oct 1 – Dec 31), are projected to be employed by the second quarter after program exit

1. *Q3 (Jan 1 – Mar 31)*

* Must reflect the number of participants who, during Q3 (Jan 1 – Mar 31), are projected to be employed by the second quarter after program exit

1. *Q4 (Apr 1 – Jun 30)*

* Must reflect the number of participants who, during Q4 (Apr 1 – Jun 30), are projected to be employed by the second quarter after program exit

1. *Total*

* Not applicable

###### Entered Employment 4th Quarter after Exit

Follow the instructions for *Section VI – Part A – Row 1* for columns 1 through 4 for the number of participants who are projected to be employed during the fourth quarter after program exit

###### Credential Attainment within 4 Quarters after Exit

Follow the instructions for *Section VI – Part A – Row 1* for columns 1 through 4 for the number of participants who are projected to have obtained a credential within four quarters after program exit

#### Projected Cost per Participant

Calculates automatically

#### Actual Cost per Participant

* Must reflect the actual average cost-per-participant for the previous program year
* Must be completed and calculated based on the following:
  + numerator = total amount of funds available for the previous program year
  + denominator = total number of participants served during the previous program year

### **Budget Summary – Administration**

#### Instructions

Program costs (90%) are reflected only in the *Budget, Participant, and Exit Summary* worksheets for the Adult, Dislocated Worker, and Youth programs.

The *Budget Summary – Administration* worksheet must reflect Administration costs only (10% of total funds allocated to local area for the respective program).

#### Worksheet Header

*Program Area* field

* Must indicate *Administration (10%)*

*Issuance* field

* Must indicate the issuance number under which the local area allocation of PY funds is announced (example: 15-01)

*Program Period* field

* Must indicate the applicable program year for which funds are allocated (example: PY16)

#### Funds Available

##### Adult Program – Administration Reserve

1. *Carry-in Funds*
   * Must reflect the total amount of estimated Administration carry-in funds derived from Adult funds for the previous program year
2. *PY Funds (Jul – Sep)* 
   * Must reflect no more than 10% of the total amount of Adult PY funds (July 1 – September 30) allocated to the local area for the current program year
3. *FY Funds (Oct – Jun)*
   * Must reflect no more than 10% of the total Adult FY funds (October 1 – June 30) allocated to the local area for the current program year
4. *Amount of Other Additional Funds* 
   * Not applicable
5. *Total* 
   * Calculates automatically

##### Dislocated Worker Program – Administration Reserve

1. *Carry-in Funds*
   * Must reflect the total amount of estimated Administration carry-in funds derived from Dislocated Worker funds for the previous program year
2. *PY Funds (Jul – Sep)* 
   * Must reflect no more than 10% of the total amount of Dislocated Worker PY funds (July 1 – September 30) allocated to the local area for the current program year
3. *FY Funds (Oct – Jun)*
   * Must reflect no more than 10% of the total amount of Dislocated Worker FY funds (October 1 – June 30) allocated to the local area for the current program year
4. *Amount of Other Additional Funds* 
   * Not applicable
5. *Total* 
   * Calculates automatically

##### Youth Program – Administration Reserve

1. *Carry-in Funds*
   * Must reflect the total amount of estimated Administration carry-in funds derived from Youth funds for the previous program year
2. *PY Funds (Jul – Sep)* 
   * Must reflect no more than 10% of the total amount of Youth PY funds (July 1 – June 30) allocated to the local area for the current program year
3. *FY Funds (Oct – Jun)*
   * Not applicable
4. *Amount of Other Additional Funds* 
   * Not applicable
5. *Total* 
   * Calculates automatically

##### Other Additional Funds: <SOURCE>, <EFFECTIVE DATE>

You must identify the:

* + source of the other additional funds by replacing <SOURCE> with the name of the program or organization/agency from which funds are being transferred or provided to the to the local area for administration of the WIOA Title IB (Adult, Dislocated Worker, and Youth) programs:
    - may include, but is not limited to, discretionary grants, program income, or matching funds, all of which must be provided to the local area in direct support of administration activities for the WIOA Title IB programs; and
  + effective date of the transfer or provision of other additional funds to the local area for administration activities for the WIOA Title IB programs by replacing <EFFECTIVE DATE> with the date the funds become available to the local area (example: 11/21/2016)

1. *Carry-in Funds*
   * Must reflect the total amount of estimated carry-in of other additional funds from the previous program year
2. *PY Funds (Jul – Sep)*
   * Not applicable
3. *FY Funds (Oct – Jun)*
   * Not applicable
4. *Amount of Other Additional Funds* 
   * Must reflect the total amount of other additional funds transferred or provided to the local area for administration activities for the WIOA Title IB programs
5. *Total* 
   * Calculates automatically

##### Total Funds Available

Calculates automatically

#### Projected Expenditures

Under the Projected Expenditures section:

* staff costs are salary and benefits costs that are projected to be charged against Administration funds; and
* overhead costs are those expenses required to support Administration functions (example: all administration costs that are non-personnel costs such as rent, utilities, publications and printing, travel)

##### Staff Costs

1. *Carry-in Funds*
   * Must reflect the total amount of carry-in Administration funds projected to be spent on staff costs
2. *PY Funds (Jul – Sep)*
   * Must reflect the total amount of PY Administration funds projected to be spent on staff costs
3. *FY Funds (Oct – Jun)*
   * Must reflect the total amount of FY Administration funds projected to be spent on staff costs
4. *Effective Date of Availability of Other Additional Funds*
   * Not applicable
5. *Amount of Other Additional Funds* 
   * Must reflect the total amount of other additional funds projected to be spent on staff costs
6. *Total Funds*
   * Calculates automatically

##### Overhead Costs

Follow the instructions for *Section II – Part A* for columns 1 through 4 for projected expenditures relating to overhead costs

##### Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Adult program

You must identify the program period of the transferred funds by replacing <PROGRAM PERIOD> with the PY period or FY period to which Administration funds are transferred. Examples:

* Additional Funds: Authorized transfer out to PY15 Adult program
* Additional Funds: Authorized transfer out to FY16 Adult program

1. *Carry-in Funds*
   * Must reflect the total amount of carry-in Administration funds that are projected to be transferred out to the Adult program
2. *PY Funds (Jul – Sep)*
   * Must reflect the total amount of PY Administration funds that are projected to be transferred out to the Adult program
3. *FY Funds (Oct – Jun)*
   * Must reflect the total amount of FY Administration funds that are projected to be transferred out to the Adult program
4. *Amount of Other Additional Funds* 
   * Must reflect the total amount of other additional funds that are projected to be transferred out to the Adult program
5. *Total*
   * Calculates automatically

##### Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Dislocated Worker program

Follow the instructions for *Section II – Part C* for columns 1 through 4 for projected expenditures relating to transfer of Administration funds to the Dislocated Worker program

##### Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Youth program

Follow the instructions for *Section II – Part C* for columns 1, 2, and 4 for projected expenditures relating to transfer of Administration funds to the Youth program

##### Total Projected Expenditures

Calculates automatically

#### Actual Expenditures

This section must be completed but only when the local plan is being modified or revised during the program year to reflect changes in the Administration budget.

##### Staff Costs

1. *Q1 (Jul 1 – Sep 30)*
   * Must reflect the total amount of funds expended on staff costs during Q1 as of the date of the plan modification or revision
2. *Q2 (Oct 1 – Dec 31)*
   * Must reflect the total amount of funds expended on staff costs during Q2 as of the date of the plan modification or revision
3. *Q3 (Jan 1 – Mar 31)*
   * Must reflect the total amount of funds expended on staff costs during Q3 as of the date of the plan modification or revision
4. *Q4 (Apr 1 – Jun 30)* 
   * Must reflect the total amount of funds expended on staff costs during Q4 as of the date of the plan modification or revision
5. *Total Actual Expenditures*
   * Calculates automatically

##### Overhead Costs

Follow the instructions for *Section III – Part A* for columns 1 through 4 for actual expenditures relating to overhead costs

##### Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Adult program

You must identify the program period of the transferred funds by replacing <PROGRAM PERIOD> with the PY period or FY period to which Administration funds are transferred. Examples:

* Additional Funds: Authorized transfer out to PY15 Adult program
* Additional Funds: Authorized transfer out to FY16 Adult program

1. *Q1 (Jul 1 – Sep 30)*
   * Must reflect the total amount of administration funds transferred out to the Adult program during Q1 as of the date of the plan modification or revision
2. *Q2 (Oct 1 – Dec 31)*
   * Must reflect the total amount of administration funds transferred out to the Adult program during Q2 as of the date of the plan modification or revision
3. *Q3 (Jan 1 – Mar 31)*
   * Must reflect the total amount of administration funds transferred out to the Adult program during Q3 as of the date of the plan modification or revision
4. *Q4 (Apr 1 – Jun 30)* 
   * Must reflect the total amount of administration funds transferred out to the Adult program during Q4 as of the date of the plan modification or revision
5. *Total*
   * Calculates automatically

##### Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Dislocated Worker program

Follow the instructions for *Section III – Part C* for columns 1 through 4 for actual expenditures relating to the transfer of Administration funds to the Dislocated Worker program

##### Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Youth program

Follow the instructions for *Section III – Part C* for columns 1 through 4 for actual expenditures relating to the transfer of Administration funds to the Youth program

##### Total Actual Expenditures

Calculates automatically

#### Projected Carry-In Funds

##### Projected carry-in funds from current program year to next program year

1. *Carry-in Funds*
   * Not applicable
2. *PY Funds (Jul – Sep)*
   * Must reflect the total amount of PY Administration funds projected to be carried in from the current program year to the next program year
3. *FY Funds (Oct – Jun)*
   * Must reflect the total amount of FY Administration funds projected to be carried in from the current program year to the next program year
4. *Amount of Other Additional Funds* 
   * Must reflect the total amount of other additional funds projected to be carried in from the current program year to the next program year
5. *Total* 
   * Calculates automatically

### **Sample Budget, Participant, and Exit Summaries and Budget Summary Worksheets**

INSTRUCTIONS:

1. When submitting the regional and local plan, submit the entire Microsoft Excel workbook as a separate file.
2. The submitted workbook must include a:
   1. completed *Budget, Participant, and Exit Summary* worksheet for each WIOA Title IB (Adult, Dislocated Worker, and Youth) program; and
   2. *Budget Summary – Administration* worksheet for Administration costs.
3. The completed worksheets from the submitted workbook will be incorporated into the regional and local plan during the plan review process.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Budget, Participant, and Exit Summary** |  |  |  |  |  |
| **Program Area** | Adult (90%) |  |  |  |  |
| **Issuance** |  |  |  |  |  |
| **Program Period** |  |  |  |  |  |
|  |  |  |  |  |  |
| **Section I. Funds Available** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Program Funds (90%)** | 0.00 | 0.00 | 0.00 |  | 0.00 |
| **Part B. Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Dislocated Worker funds** |  | 0.00 | 0.00 |  | 0.00 |
| **Part C. Additional Funds: Authorized transfer out to <PROGRAM PERIOD> Dislocated Worker funds** |  | 0.00 | 0.00 |  | 0.00 |
| **Part D. Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Administration funds** |  | 0.00 | 0.00 |  | 0.00 |
| **Part E. Other Additional Funds: <SOURCE>, <EFFECTIVE DATE>** | 0.00 |  |  | 0.00 | 0.00 |
| **Part F. Total Funds Available** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section II. Projected Expenditures** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Participant Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part B. Staff Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part C. Operational Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part D. Equipment Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part E. Transitional Jobs Costs (no more than 10% of combined total Adult and DLW funds; see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part F. Incumbent Worker Costs (no more than 20% of combined total Adult and DLW funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part G. Pay-for-performance Contract(s) Costs (no more than 10% of total Adult funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part H. Total Projected Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section III. Actual Expenditures** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Participant Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part B. Staff Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part C. Operational Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part D. Equipment Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part E. Transitional Jobs Costs (no more than 10% of combined total Adult and DLW funds; see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part F. Incumbent Worker Costs (no more than 20% of combined total Adult and DLW funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part G. Pay-for-performance Contract(s) Costs (no more than 10% of total Adult funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part H. Total Actual Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section IV. Projected Carry-in Funds** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Projected carry-in funds from current program year to next program year** |  | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section V. Participant Enrollments** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Carry-in Enrollments from Previous Program Year** | 0 |  |  |  | 0 |
| **Part B. Planned New Enrollments for Current Program Year** | 0 | 0 | 0 | 0 | 0 |
| **Part C. Projected Carry-in Enrollments into Next Program Year** |  |  |  | 0 | 0 |
| **Part D. Total Participant Enrollments** | 0 | 0 | 0 | 0 | 0 |
|  |  |  |  |  |  |
| **Section VI. Participant Exits** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Planned Exits** | 0 | 0 | 0 | 0 | 0 |
| Row 1. Entered Employment 2nd Quarter after Exit | 0 | 0 | 0 | 0 | 0 |
| Row 2. Entered Employment 4th Quarter after Exit | 0 | 0 | 0 | 0 | 0 |
| Row 3. Median Earnings 2nd Quarter after Exit | 0 | 0 | 0 | 0 | 0 |
| Row 4. Credential Attainment within 4 Quarters after Exit | 0 | 0 | 0 | 0 | 0 |
|  |  |  |  |  |  |
| **Section VII. Projected Cost per Participant for Current Program Year** | #DIV/0! |  |  |  |  |
|  |  |  |  |  |  |
| **Section VIII. Actual Average Cost per Participant for Previous Program Year** | 0.00 |  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Budget, Participant, and Exit Summary** |  |  |  |  |  |
| **Program Area** | DLW (90%) |  |  |  |  |
| **Issuance** |  |  |  |  |  |
| **Program Period** |  |  |  |  |  |
|  |  |  |  |  |  |
| **Section I. Funds Available** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Program Funds (90%)** | 0.00 | 0.00 | 0.00 |  | 0.00 |
| **Part B. Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Adult funds** |  | 0.00 | 0.00 |  | 0.00 |
| **Part C. Additional Funds: Authorized transfer out to <PROGRAM PERIOD> Adult funds** |  | 0.00 | 0.00 |  | 0.00 |
| **Part D. Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Administration funds** |  | 0.00 | 0.00 |  | 0.00 |
| **Part E. Other Additional Funds: <SOURCE>, <EFFECTIVE DATE>** | 0.00 |  |  | 0.00 | 0.00 |
| **Part F. Total Funds Available** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section II. Projected Expenditures** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Participant Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part B. Staff Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part C. Operational Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part D. Equipment Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part E. Transitional Jobs Costs (no more than 10% of combined total Adult and DLW funds; see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part F. Incumbent Worker Costs (no more than 20% of combined total Adult and DLW funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part G. Pay-for-performance Contract(s) Costs (no more than 10% of total DLW funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part H. Total Projected Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section III. Actual Expenditures** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Participant Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part B. Staff Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part C. Operational Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part D. Equipment Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part E. Transitional Jobs Costs (no more than 10% of combined total Adult and DLW funds; see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part F. Incumbent Worker Costs (no more than 20% of combined total Adult and DLW funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part G. Pay-for-performance Contract(s) Costs (no more than 10% of total DLW funds, see detailed Instructions)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part H. Total Actual Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Section IV. Projected Carry-in Funds** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Projected carry-in funds from current program year to next program year** |  | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section V. Participant Enrollments** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Carry-in Enrollments from Previous Program Year** | 0 |  |  |  | 0 |
| **Part B. Planned New Enrollments for Current Program Year** | 0 | 0 | 0 | 0 | 0 |
| **Part C. Projected Carry-in Enrollments into Next Program Year** |  |  |  | 0 | 0 |
| **Part D. Total Participant Enrollments** | 0 | 0 | 0 | 0 | 0 |
|  |  |  |  |  |  |
| **Section VI. Participant Exits** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Planned Exits** | 0 | 0 | 0 | 0 | 0 |
| Row 1. Entered Employment 2nd Quarter after Exit | 0 | 0 | 0 | 0 | 0 |
| Row 2. Entered Employment 4th Quarter after Exit | 0 | 0 | 0 | 0 | 0 |
| Row 3. Median Earnings 2nd Quarter after Exit | 0 | 0 | 0 | 0 | 0 |
| Row 4. Credential Attainment within 4 Quarters after Exit | 0 | 0 | 0 | 0 | 0 |
|  |  |  |  |  |  |
| **Section VII. Projected Cost per Participant for Current Program Year** | #DIV/0! |  |  |  |  |
|  |  |  |  |  |  |
| **Section VIII. Actual Average Cost per Participant for Previous Program Year** | 0.00 |  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Budget, Participant, and Exit Summary** |  |  |  |  |  |
| **Program Area** | Youth (90%) |  |  |  |  |
| **Issuance No.** |  |  |  |  |  |
| **Program Period** |  |  |  |  |  |
|  |  |  |  |  |  |
| **Section I. Funds Available** | 1. Carry-in Funds | 2. PY Funds (Apr - Jun) | 3. Amount of Other Additional Funds | 4. Total |  |
| **Part A. Program Funds (90%)** | 0.00 | 0.00 |  | 0.00 |  |
| **Part B. Additional Funds: Authorized transfer in from <PROGRAM PERIOD> Administration funds** |  | 0.00 |  | 0.00 |  |
| **Part C. Other Additional Funds: <SOURCE>, <EFFECTIVE DATE>** | 0.00 |  | 0.00 | 0.00 |  |
| **Part D. Total Funds Available** | 0.00 | 0.00 | 0.00 | 0.00 |  |
|  |  |  |  |  |  |
| **Section II. Projected Expenditures** | 1. Carry-in Funds | 2. PY Funds (Apr - Jun) | 3. Amount of Other Additional Funds | 4. Total |  |
| **Part A. Out-of-school Youth (no less than 75% of Youth program funds, see detailed Instructions)** |  |  |  |  |  |
| Row 1. Participant Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 2. Staff Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 3. Operational Costs | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 4. Equipment Costs | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 5. Participant Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 6. Staff Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| **Part B. In-school Youth** |  |  |  |  |  |
| Row 1. Participant Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 2. Staff Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 3. Operational Costs | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 4. Equipment Costs | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 5. Participant Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| Row 6. Staff Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 |  |
| **Part C. Pay-for-performance Contract(s) Costs (no more than 10% of total Youth funds, see Instructions for details)** | 0.00 | 0.00 | 0.00 | 0.00 |  |
| **Part D. Total Projected Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 |  |
|  |  |  |  |  |  |
| **Section III. Actual Expenditures** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Out-of-school Youth (no less than 75% of Youth program funds, see detailed Instructions)** |  |  |  |  |  |
| Row 1. Participant Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 2. Staff Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 3. Operational Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 4. Equipment Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 5. Participant Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 6. Staff Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part B. In-school Youth** |  |  |  |  |  |
| Row 1. Participant Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 2. Staff Costs (non-Work Experience) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 3. Operational Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 4. Equipment Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 5. Participant Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Row 6. Staff Costs (Work Experience) (no less than 20% of total Youth funds, see detailed Instructions) |  |  |  |  |  |
| (a) Summer Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (b) School-year Employment (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (c) Pre-apprenticeships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (d) Internships (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| (e) Job Shadowing (must include academic and occupational education) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part C. Pay-for-performance Contract(s) Costs (no more than 10% of total Youth funds, see Instructions for details)** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part D. Total Actual Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section IV. Projected Carry-in Funds** | 1. Carry-in Funds | 2. PY Funds (Apr - Jun) | 3. Amount of Other Additional Funds | 4. Total |  |
| **Part A. Projected carry-in funds from current program year to next program year** |  | 0.00 | 0.00 | 0.00 |  |
|  |  |  |  |  |  |
| **Section V. Participant Enrollments** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Carry-in Enrollments from Previous Program Year** | 0 |  |  |  | 0 |
| **Part B. Planned New Enrollments for Current Program Year** | 0 | 0 | 0 | 0 | 0 |
| Row 1. Out-of-school Youth | 0 | 0 | 0 | 0 |  |
| Row 2. In-school Youth | 0 | 0 | 0 | 0 |  |
| Row 3. Recipients of public assistance | 0 | 0 | 0 | 0 |  |
| Row 4. Other low-income individuals | 0 | 0 | 0 | 0 |  |
| Row 5. Basic-skills deficient | 0 | 0 | 0 | 0 |  |
| Row 6. English-language learners | 0 | 0 | 0 | 0 |  |
| Row 7. High school dropout with no GED | 0 | 0 | 0 | 0 |  |
| Row 8. Unemployed | 0 | 0 | 0 | 0 |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Part C. Projected Carry-in Enrollments to Next Program Year** |  |  |  | 0 | 0 |
|  |  |  |  |  |  |
| **Section VI. Participant Exits** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Planned Exits** | 0 | 0 | 0 | 0 | 0 |
| Row 1. Entered Employment 2nd Quarter after Exit | 0 | 0 | 0 | 0 |  |
| Row 2. Entered Employment 4th Quarter after Exit | 0 | 0 | 0 | 0 |  |
| Row 3. Credential Attainment within 4 Quarters after Exit | 0 | 0 | 0 | 0 |  |
|  |  |  |  |  |  |
| **Section VII. Projected Cost per Participant for Current Program Year** | #DIV/0! |  |  |  |  |
|  |  |  |  |  |  |
| **Section VIII. Actual Average Cost per Participant for Previous Program Year** | 0.00 |  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Budget Summary - Administration** |  |  |  |  |  |
| **Program Area** | Administration (10%) |  |  |  |  |
| **Issuance** |  |  |  |  |  |
| **Program Period** |  |  |  |  |  |
|  |  |  |  |  |  |
| **Section I. Funds Available** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Adult Program - Administration Reserve** | 0.00 | 0.00 | 0.00 |  | 0.00 |
| **Part B. Dislocated Worker Program - Administration Reserve** | 0.00 | 0.00 | 0.00 |  | 0.00 |
| **Part C. Youth Program - Administration Reserve** | 0.00 | 0.00 |  |  | 0.00 |
| **Part D. Other Additional Funds: <SOURCE>, <EFFECTIVE DATE>** | 0.00 |  |  | 0.00 | 0.00 |
| **Part E. Total Funds Available** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section II. Projected Expenditures** | 1. Carry-in Funds | 2. PY Funds (Jul - Sep) | 3. FY Funds (Oct - Jun) | 4. Amount of Other Additional Funds | 5. Total |
| **Part A. Staff Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part B. Overhead Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part C. Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Adult program** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part D. Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> DLW program** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part E. Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Youth program** | 0.00 | 0.00 |  | 0.00 | 0.00 |
| **Part F. Total Projected Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section III Actual Expenditures** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Staff Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part B. Overhead Costs** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part C. Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Adult program** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part D. Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> DLW program** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part E. Administration Transfer: Authorized transfer out to <PROGRAM PERIOD> Youth program** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| **Part F. Total Actual Expenditures** | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|  |  |  |  |  |  |
| **Section IV. Projected Carry-in Funds** | 1. Q1 (Jul 1 - Sep 30) | 2. Q2 (Oct 1 - Dec 31) | 3. Q3 (Jan 1 - Mar 31) | 4. Q4 (Apr 1 - Jun 30) | 5. Total |
| **Part A. Projected carry-in funds from current program year to next program year** |  | 0.00 | 0.00 | 0.00 | 0.00 |

## **Policies and Procedures for WIOA Title IB (Adult, Dislocated Worker, and Youth) Programs**

INSTRUCTIONS: Provide the lead local board’s policies identified in in Sections A through W of this Attachment 19. If the topic of a policy identified in one of the sections is included in another required policy, indicate in which policy that topic is located.

Example, using *Policy 1. Accessibility*:

INSTRUCTIONS: Provide the lead local board’s policy on accessibility.

The local board’s policy on Accessibility is located in Policy 13. Equal Opportunity and Non-discrimination.

## **Accessibility**

INSTRUCTIONS: Provide the lead local board’s policy on accessibility.

<insert content here>

## **Administrative Cost Limitations**

INSTRUCTIONS: Provide the lead local board’s policy on administrative cost limitations.

<insert content here>

## **Audits**

INSTRUCTIONS: Provide the lead local board’s policy on audits.

<insert content here>

## **Adult Eligibility**

INSTRUCTIONS: Provide the lead local board’s policy on eligibility for the WIOA Title IB Adult program.

<insert content here>

## **Appeals Procedures for Program Participants**

INSTRUCTIONS: Provide the lead local board’s policy on the appeals procedures for WIOA Title IB (Adult, Dislocated Worker, and Youth) program participants, which must comply with WIOA Sec. 181(c).

<insert content here>

## **Basic Skills Deficiency**

INSTRUCTIONS: Provide the lead local board’s policy on basic skills deficiency.

<insert content here>

## **Career Planning**

INSTRUCTIONS: Provide the lead local board’s policy on career planning.

<insert content here>

## **Complaints and Grievances of a Non-discriminatory Nature**

INSTRUCTIONS: Provide the lead local board’s policy on complaints and grievances of a non-discriminatory nature, which must comply with WIOA Section 181(c).

<insert content here>

## **Conflict of Interest**

INSTRUCTIONS: Provide the lead local board’s policy on conflict of interest.

<insert content here>

## **Contracting with Training Providers for Training Services**

INSTRUCTIONS: Provide the lead local board’s policy on contracting with training providers for training services. This refers to training outside of the Eligible Training Provider List.

<insert content here>

## **Dislocated Worker Eligibility**

INSTRUCTIONS: Provide the lead local board’s policy on eligibility for the WIOA Title IB Dislocated Worker program.

<insert content here>

## **Eligible Training Providers**

INSTRUCTIONS: Provide the lead local board’s policy on training providers.

<insert content here>

## **Equal Opportunity and Non-discrimination**

INSTRUCTIONS: Provide the lead local board’s policy on equal opportunity and non-discrimination.

<insert content here>

## **Individual Training Accounts (ITAs)**

INSTRUCTIONS: Provide the lead local board’s policy on individual training accounts.

<insert content here>

## **Monitoring**

INSTRUCTIONS: Provide the lead local board’s policy on monitoring.

<insert content here>

## **On-the-Job Training**

INSTRUCTIONS: Provide the lead local board’s policy on on-the-job training.

<insert content here>

## **Priority Populations and Priority of Service**

INSTRUCTIONS: Provide the lead local board’s policy on priority populations and priority of service.

<insert content here>

## **Procurement Standards and Procedures**

INSTRUCTIONS: Provide the lead local board’s policy on procurement standards and procedures.

<insert content here>

## **Rapid Response Procedures**

INSTRUCTIONS: Provide the lead local board’s policy on Rapid Response procedures.

<insert content here>

## **“Requires Additional Assistance”**

INSTRUCTIONS: Provide the lead local board’s policy on “requires additional assistance.”

<insert content here>

## **Supportive Services**

INSTRUCTIONS: Provide the lead local board’s policy on supportive services.

<insert content here>

## **Work-based Learning**

INSTRUCTIONS: Provide the lead local board’s policy on work-based learning for adults, dislocated workers, and youth within the private-for-profit sector, non-profit sector, or public sector, including, as applicable:

* summer employment opportunities and other employment opportunities available through the school year (youth only);
* pre-apprenticeship programs;
* internships and job shadowing;
* on-the-job training opportunities; and
* transitional jobs.

<insert content here>

## **Youth Eligibility**

INSTRUCTIONS: Provide the lead local board’s policy on youth eligibility.

<insert content here>

## **Continuity-of-service plan**

INSTRUCTIONS: Provide the lead local board’s continuity-of-service plan.

<insert content here>

# **All-inclusive Timelines**

Because of their interrelatedness, all-inclusive timelines for regional and local plans, MOUs and annual funding agreements, and certification of comprehensive AJCs and evaluation of local workforce delivery systems are provided in combination in Table 4.

Table 4 is color coded to classify timelines according to their respective policies:

* **Black, bolded text** indicates timelines for regional and local plans
* Blue text indicates timelines for MOUs and annual funding agreements
* Dark red text indicates timelines for certification of comprehensive AJCs and evaluation of local workforce delivery systems

Timelines for MOUs and annual funding agreements and certification of comprehensive AJCs are also or will be provided in the current or future NDOL policies.

*Table 4. All-inclusive PY17 and PY18 Timelines for Regional and Local Plans, MOUs and Annual Funding Agreements, and Certification of AJCs and Evaluation of Local Workforce Delivery Systems*

| ***Responsible Party* - Event** | **Deadline** |
| --- | --- |
| ***WIOA Core Partners -* sponsor regional planning sessions** | **October 2016 - December 2016** |
| ***NDOL -* release interim policy on Regional and Local Plans** | **Wednesday, November 23, 2016** |
| ***NDOL -* release policy on Regional and Local Plans, Change 1** | **Friday, December 30, 2016** |
| *NDOL -* release policy on MOUs and Funding of Local Workforce Delivery System Operations | Monday, January 23, 2017 |
| *Local boards -* MOU process begins | Tuesday, January 24, 2017 |
| ***NDOL -* release policy on Regional and Local Plans, Change 2** | **tentatively scheduled for**  **Monday, January 30, 2017** |
| *NDOL -* release policy on Certification of Comprehensive American Job Centers and Evaluation of the Local Workforce Delivery Systems | tentatively scheduled for  Monday, January 30, 2017 |
| *Local boards* – submit to NDOL draft MOUs with all required one-stop partners (as part of regional and local plan submissions); submission of annual funding agreement(s) optional at this time | Wednesday, March 15, 2017 |
| ***Local boards -* must submit regional and local plans to NDOL** | **Wednesday, March 15, 2017** |
| ***NDOL* - review of regional and local plans for compliance** | **Thursday, March 16, 2017 –**  **Saturday, April 15, 2017** |
| *Local boards* – must submit outcome reports to NDOL on negotiation of MOUs with all required one-stop partners; submission must include the comprehensive budget for the local workforce delivery system | Friday, March 31, 2017 |
| *NDOL* – requires any local board failing to reach consensus on MOUs and/or the comprehensive budget with all required one-stop partners to resume MOU negotiations andprovides technical assistance to any such local board | Monday, April 3, 2017 –  Friday, April 28, 2017 |
| ***NDOL* - provides feedback to local boards on regional and local plans, identifying deficiencies that must be addressed** | **no later than April 15, 2017** |
| *Local boards* – any local board required to resume negotiations on MOUs and/or the comprehensive budget following a reported failure to reach consensus must submit to NDOL a follow-up outcome report on the resumed negotiations | no later than April 28, 2017 |
| *Local Certification Team -* conducts an onsite evaluation of each comprehensive AJC in the local area for certification purposes | no later than April 28, 2017 |
| *Governor or Nebraska Workforce Development Board*– must notify the Secretary of the U.S. Department of Labor, and the head of any other Federal agency with responsibility for oversight of each applicable required one-stop partner program, of any local board's and CEO's failure to reach consensus on MOUs with 1 or more required one-stop partners | Monday, May 1, 2017 |
| *Local boards* - must have fully-signed MOUs, including the comprehensive budget, which will be used for negotiating the annual funding agreement(s), in place with all required one-stop partners; inclusion of annual funding agreement(s) is optional at this time | Monday, May 15, 2017 |
| *Local boards* – if needed, continue annual funding agreement negotiations | Monday, May 15, 2017 |
| ***Local boards* – must resubmit to NDOL revised regional and local plans with (1) deficiencies addressed and (2) fully-executed MOUs, including comprehensive budgets, with each required one-stop partner incorporated** | **Monday, May 15, 2017** |
| ***System Alignment Committee, Nebraska Workforce Development Board* - review of local plans** | **Wednesday, May 24, 2017** |
| *Local boards* – must notify each comprehensive AJC one-stop operator of the local board's determination of certification, conditional certification, or non-certification of the AJC | Wednesday, May 31, 2017 |
| *Local boards* – must implement the local board's continuity-of-service plan for any comprehensive AJC receiving a notification of non-certification | Wednesday, May 31, 2017 |
| ***Strategic Direction Committee, Nebraska Workforce Development Board -* review of regional plans** | **Thursday, June 8, 2017** |
| *Local boards* – must certify or conditionally certify each eligible comprehensive AJC in the local area AND notify NDOL of the certification or conditional certification | Thursday, June 15, 2017 |
| *Local boards* – must conduct a baseline evaluation of the local workforce delivery system | Thursday, June 15, 2017 |
| ***Local Boards -* must provide any additional information requested by the Strategic Direction and System Alignment Committees following review of regional and local plans** | **Monday, June 12, 2017 –**  **Friday, June 16, 2017** |
| ***Nebraska Workforce Development Board* - review of regional and local plans** | **Friday, June 23, 2017** |
| ***Governor -* must notify local boards of determinations on regional and local plans** | **Friday, June 30, 2017** |
| *Local boards* – must competitively select a new one-stop operator following implementation of the local board's continuity of service plan following non-certification of any comprehensive AJC in the local area | Tuesday, August 29, 2017 |
| *Local boards* – must certify any eligible conditionally-certified comprehensive AJC in the local area | Wednesday, September 13, 2017 |
| *Local boards* – must submit outcome reports to NDOL on negotiation of annual funding agreements | Monday, October 2, 2017 |
| *NDOL* – state funding mechanism takes effect for any local board failing to reach consensus with all required one-stop partners during negotiations on infrastructure costs (only) and annual funding agreements | Monday, October 2, 2017 |
| *NDOL* - all required one-stop partners in local areas subject to the state funding mechanism are notified of their required contribution amounts and directed to pay those amounts | Wednesday, November 1, 2017 |
| *Local boards* – must submit draft annual funding agreements to NDOL (based on either the local funding mechanism or the state funding mechanism) | Wednesday, November 1, 2017 |
| *Local boards* - must have fully-signed annual funding agreements in place with all required one-stop partners (based on either the local funding mechanism or the state funding mechanism) | Friday, December 1, 2017 |
| ***Local boards* - must submit modifications to regional and local plans to incorporate fully-signed annual funding agreements (based on either the local funding mechanism or the state funding mechanism) which include the comprehensive budget** | **Friday, December 15, 2017** |
| *Local boards* – must conduct a reevaluation of the local workforce delivery system to determine progress compared to June 2017 evaluation | Friday, June 15, 2018 |

* **Black, bolded text** indicates timelines for regional and local plans
* Blue text indicates timelines for MOUs and AFAs
* Dark red text indicates timelines for certification of comprehensive AJCs and evaluation of local workforce delivery systems

1. For purposes of this policy, CEO also refers to a chief elected officials board. [↑](#footnote-ref-1)
2. 20 CFR § 679.510 [↑](#footnote-ref-2)
3. Additional timelines are provided in Section VIII of this policy. [↑](#footnote-ref-3)
4. 20 CFR § 679.500 [↑](#footnote-ref-4)
5. The vision for Nebraska’s workforce system is presented in Section II.b.1. of the Combined State Plan. [↑](#footnote-ref-5)
6. The guiding principles of Nebraska’s workforce system are presented in Section II.b.1. of the Combined State Plan. [↑](#footnote-ref-6)
7. The goals for Nebraska’s workforce system are presented in Sections. II.b.2 and II.c.1. of the Combined State Plan. [↑](#footnote-ref-7)
8. 20 CFR § 679.220 [↑](#footnote-ref-8)
9. Ibid. [↑](#footnote-ref-9)
10. 20 CFR § 679.200 [↑](#footnote-ref-10)
11. 20 CFR § 679.200 [↑](#footnote-ref-11)
12. NDOL is awaiting clarification from the U.S. Department of Labor Employment and Training Administration’s national and Region V offices on Nebraska’s structuring of its planning regions. NDOL will advise local boards once clarification is provided by the national and regional offices. [↑](#footnote-ref-12)
13. NDOL’s Office of Labor Market identified areas of economic concentration through analysis of data relating to commuting patterns, the number of worksites per county, regional commerce, and population concentrations. [↑](#footnote-ref-13)
14. [APPENDX I](#_Map_of_WIOA) provides a graphical depiction of focal counties within in areas of economic concentration within planning regions. [↑](#footnote-ref-14)
15. 20 CFR § 679.210 [↑](#footnote-ref-15)
16. The Greater Nebraska Workforce Development Board is the only Local Workforce Development Board in the Greater Nebraska Region. However, because the Greater Nebraska Workforce Development Area includes 5 local area regions and 8 areas of economic concentration, Greater Nebraska will participate in regional planning activities. [↑](#footnote-ref-16)
17. WIOA Sec. 106(c)(1)(A) – (H); 20 CFR §§ 679.550, 679.510(a)(1), 679.510(b), 679.560(a)(1)(i) and (ii) [↑](#footnote-ref-17)
18. [APPENDIX II](#_List_of_Areas) provides population numbers for areas of economic concentration within planning regions. [↑](#footnote-ref-18)
19. 20 CFR § 679.510 [↑](#footnote-ref-19)
20. 20 CFR § 679.510(b)(5) [↑](#footnote-ref-20)
21. Neb. Rev. Stat. §§ 84-1407 through 84-1414 [↑](#footnote-ref-21)
22. For an overview of 508-accessibility, visit https://www.ssa.gov/accessibility/checklists/word2010/overview.htm. [↑](#footnote-ref-22)
23. Funds allocated for the WIOA Title IB Youth program are not transferrable to another program. [↑](#footnote-ref-23)
24. Timelines for MOUs and annual funding agreements and certification of comprehensive AJCs and evaluation of local workforce delivery systems are also or will be provided in the current or future NDOL policies. [↑](#footnote-ref-24)
25. 20 CFR § 680.195 [↑](#footnote-ref-25)
26. 20 CFR §§ 680.800 and 680.195 [↑](#footnote-ref-26)
27. 20 CFR § 681.420(i) [↑](#footnote-ref-27)
28. 20 CFR § 681.410 [↑](#footnote-ref-28)
29. 20 CFR § 681.590 [↑](#footnote-ref-29)
30. 20 CFR § 681.420(i) [↑](#footnote-ref-30)