

Northeastern Workforce Development Board

Workforce Innovation and Opportunity Act

Comprehensive Four-Year Title I Plan

July 1, 2024 - June 30, 2028

North Carolina Department of Commerce
Division of Workforce Solutions
313 Chapanoke Road, Suite 120
4316 Mail Service Center
Raleigh, NC 27699-4316

Introduction and Instructions

The Workforce Innovation and Opportunity Act (WIOA) requires each Local Area Workforce Development Board (WDB) to develop and submit, in partnership with the chief local elected official (CLEO), a comprehensive four-year plan.

The WIOA Comprehensive Four-Year Title I Plan is to provide current information and be effective July 1, 2024 - June 30, 2028 and will include required current local policies. The Local Area Plan will support the alignment strategy described in the 2024-2025 NC Unified State Plan in accordance with WIOA Section 102(b)(1)(E), and otherwise be consistent with the NC Unified State Plan. North Carolina Governor Roy Cooper's mission is to ensure North Carolinians are better educated, healthier, and have more money in their pockets so that they can live more abundant, purposeful lives. The cornerstone to achieving this goal is to help people get good-paying jobs to support themselves and their families. Through NC Job Ready, Governor Cooper's workforce development initiative, North Carolina is working to build a stronger and better workforce. NC Job Ready is built on three core principles: education and skills attainment are the foundation to a strong and resilient workforce; an employer-led workforce development system is key to the growth of a highly skilled and job ready workforce; and local innovation is critical to a dynamic and effective workforce system. In addition, Local Area WDBs shall comply with WIOA Section 108 in the preparation and submission of the plan.

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

Plans are reviewed by the Division of Workforce Solutions and NCWorks Commission staff. Upon completion of Plan reviews and the resolution of any concerns, as applicable, fully compliant Plans will be given Final Approval. Approval letters are distributed through Workforce Information System Enterprise (WISE). Local WDBs must have a compliant workforce board in place to receive Final Plan Approval and distribution of formula WIOA program year funding. [WIOA Section 108(e)]

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

Local Area WDBs should reference the Workforce Innovation and Opportunity Act, Public Law 113-128, enacted July 22, 2014. Additional information is available at the U.S. Department of Labor Employment and Training Administration website: <https://www.dol.gov/agencies/eta>.

North Carolina policy information is available at: <https://www.commerce.nc.gov/jobs-training/workforce-professionals-tools-resources/workforce-policies>. Local Area WDBs should reference the North Carolina WIOA Unified State Plan to be posted March 2024.

Local Area Plan Submission and Due Date

The Local Area Plan must be submitted through Workforce Information System Enterprise (WISE), the Division's web-based financial system.

**The Program Year 2024 - 2028 Plan is Due:
May 1, 2024**

Each attachment must be clearly labeled in either Word or PDF format. Forms requiring original signatures may use DocuSign® (or similar) and may be uploaded in WISE.

If original signatures are obtained, forms may be mailed (and must be uploaded in WISE) to the Local Area WDB's assigned Planner at:

Division of Workforce Solutions
313 Chapanoke Road, Suite 120
4316 Mail Service Center
Raleigh, NC 27699-4316

I. Local Area Workforce Development Board (WDB) Overview

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

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

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

Northeastern Workforce Development Consortium

- If the Local Area is a Consortium, attach a copy of the current Consortium Agreement.
 - Name document: Local Area WDB Name Consortium Agreement.
- If the Local Area is not a Consortium, attach a copy of the formal request for Local Area designation.
 - Name document: Local Area WDB Name Local Area designation letter.
- If the Local Area WDB officially changed its name, please attach a copy of the Status of Incorporation, attorney's letter, or other document.

2. List the counties served by the Local Area WDB.

Dare, Currituck, Camden, Pasquotank, Perquimans, Gates, Chowan, Hyde, Tyrrell, Washington

3. Provide the name, title, organization name, address, phone number, and email address of the **Local Area WDB Director**.

Name: David Whitmer	Title & Salutation: Director (no preferred salutation)
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Organization Name: Northeastern Workforce Development Board	Address: 101 ARPDC Street, Hertford, NC 27944
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Phone Number: 252-404-7093	Email Address: dwhitmer@accog.org
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4. Provide the name, elected title, local government affiliation, address, phone number, and email address of the **Chief Local Elected Official (CLEO)**.

Name: Lloyd Griffin, III	Elected Title & Salutation: Commissioner (no preferred salutation)
Government Affiliation: Pasquotank County	Address: 747 Riverside Avenue, Elizabeth City, NC 27909
Phone Number: 252-338-2278	Email Address: legriffin111@gmail.com

5. Provide the name, title, business name, address, phone number, and email address of the **individual authorized to receive official mail for the Chief Local Elected Official (CLEO)**, if different than question 4.

Name: Same as question 4	Title & Salutation: Click here to enter text.
Business Name: Click here to enter text.	Address: Click here to enter text.
Phone Number: Click here to enter text.	Email Address: Click here to enter text.

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

Name: Michael Ervin	Title & Salutation: Executive Director (no preferred salutation)
Organization Name: Albemarle Commission	Address: 512 S. Church Street, Hertford, NC 27944
Phone Number: 252-404-7094	Email Address: mervin@accog.org

7. Provide the name, title, organization name, address, phone number and email address of the **Administrative/Fiscal Agent’s signatory official**.

Name: Michael Ervin	Title & Salutation: Executive Director (no preferred salutation)
Organization Name: Albemarle Commission	Address: 512 S. Church Street, Hertford, NC 27944
Phone Number: 252-404-7094	Email Address: mervin@accog.org

8. Attach a copy of the **Administrative Entity/Fiscal Agent’s organizational chart** with an ‘effective as of date’.

- Name document: *Administrative Entity Name Organizational Chart*.

9. Provide the **Administrative Entity's Unique Entity Identifier (UEI)** number and assurance that the 'System for Award Management' (SAM) status is current. Administrative Entities must register at least annually on the SAM website <https://sam.gov/content/home> to receive Federal funding [required by Federal Acquisition Regulation (FAR) Section 4.11 and Section 52.204-7].

UEI: TG77EFSWEPJ8 Expiration: March 10, 2025

10. Provide the name of the **Local Area WDB's Equal Opportunity Officer** who shall be responsible for assuring that discrimination does not occur in its programs or projects. (CPS 10-2021, Change 1)

Trina Scippio

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

11. Provide each **Local Area WDB members'** name, business title, business name and address, phone number and email address on the provided form. The first block is reserved to identify the Local Area WDB chairperson (*form provided*). Indicate all required representation and indicate if vacant. [WIOA Section 107(b)(2)].

- Name document: *Local Area WDB Name Board List*.

- If a Local Area WDB list is not in compliance, please provide the current list and state the expected date that a compliant list will be provided (detailing vacant positions). Do not change required category names except to clarify those representing multiple categories. When determining the total number of members, representatives serving in more than one category must be counted and listed only once on the form. Identify any names representing a dual category with an asterisk (*).

Notes:

- *Please complete the entire form. Check the block on the last page of the form certifying compliance with required WIOA Local Area WDB business nomination process.*
 - *Representatives with expired terms will not be included in the counted list of Board members. Board member terms must stated in a month/date/year format.*
 - *Plans that do not have a compliant workforce Board will not receive Final Approval. Formula funds will not be awarded until the Local Area WDB has a compliant workforce Board. Exceptions are allowed only when realignment is occurring in the upcoming program year.*
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12. Briefly describe how the Local Area WDB works with local elected officials to ensure viable local business representatives are appointed to the Local Area WDB in compliance with WIOA Section 107.

As outlined in our bylaws, we work to source business representatives from our local Chambers of Commerce. Nominations are presented to our Consortium (the Consortium consists of 10 elected officials representing our 10-county region) for review and appointment.

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

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

- Name document: *Local Area WDB Name By-Laws*.

14. To demonstrate that the attached Local Area WDB By-Laws comply, complete By-Laws Required Elements – Crosswalk chart (form provided).

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

15. Describe how the Local Area WDB will make copies of the proposed Local Area Plan available to the public. If stating the Local Area Plan will be on the Local Area WDB website, provide link, as well as individual's contact information for distribution of Plan. [WIOA Section 108(d) and 108(b)(20)]

NWDB will make the plan available for a 30-day public comment period through both electronic means and sent to local news media (local newspaper). There will be a notice posted on the front page of the website indicating that the plan is available for review and providing instructions on how to request the plan (<https://nwdbworks.com>). This will also be included on the board's Facebook page. Those who have

comments can send them directly to the NWDB Director via email (dwhitmer@accog.org), via mail, or in-person at the Albemarle Commission.

Public Comment – The Local Area WDB shall make copies of the proposed Local Area Plan available to the public through electronic and other means, such as public hearings and local news media; allow for public comment not later than the end of the 30-day period beginning on the date the proposed Local Area Plan is made available; and, include with submission of the Local Area Plan any comments that represent disagreement with the Local Area Plan. [WIOA Section 108(d) and 108(b)(20)]

16. Attach a copy of the Local Area WDB’s organizational chart with an ‘effective as of date.’ Include position titles, names, and contact information.

- Name document: *Local Area WDB Name Organizational Chart.*

17. Complete the following chart for the PY2024 Local Area WDB’s planned meeting schedule to include, date, time, location, and virtual link (if applicable). (Expand form as needed)

Date	Time	Location (include address, room # and virtual link)
July 16, 2024	6pm	512 S. Church Street, Hertford, NC 27944 – Conference Room
September 17, 2024	6pm	512 S. Church Street, Hertford, NC 27944 – Conference Room
November 19, 2024	6pm	512 S. Church Street, Hertford, NC 27944 – Conference Room
January 21, 2025	6pm	512 S. Church Street, Hertford, NC 27944 – Conference Room
March 18, 2024	6pm	512 S. Church Street, Hertford, NC 27944 – Conference Room
May 20, 2024	6pm	512 S. Church Street, Hertford, NC 27944 – Conference Room

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

The Comprehensive Four-Year Plan is developed in partnership with the chief local elected official and approved by the Local Area WDB. This approval should be reflected in the Local Area WDB meeting minutes as an Action item.

18. Provide the Month and Date of the Local Area WDB meeting that the Comprehensive Four-Year Plan was approved. Attach a copy of the Local Area WDB minutes that reflect this action item.

- Name document: *Local Area WDB Name Plan Approval Minutes*. The plan will be on the Agenda for approval for the May 21, 2024 Meeting. Minutes from the meeting will be attached once available.

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

- Name document: *Local Area WDB Name Certification Form*.

Document must have the original signature or DocuSign® (or similar) of the Administrative Entity signatory official. If using original signatures, mail the signed Certification form to the assigned DWS Planner at:

N.C. Division of Workforce Solutions
313 Chapanoke Road, Suite 120
4316 Mail Service Center
Raleigh, NC 27699-4316

20. Submit the original Local Area WDB and Chief Local Elected Official (CLEO) Signatory Page (*form provided*), bearing the original signatures of the CLEO(s) and the Local Area WDB Chairperson, and attach a copy of the signed document if not using DocuSign® (or similar).

- Name document: *Local Area WDB Name Signatory Page*.

If using original signatures, mail the Signatory Page to the assigned DWS Planner at:

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II. Local Area WDB Strategic Planning

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

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

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

NWDB's vision is for citizens and businesses of the Northeast region to rely on the board to promote the growth of well-paying jobs in new and existing businesses so that the citizens of the region will be able to find satisfying employment in any of our ten counties.

Through a strategic planning retreat, the NWDB has identified five main goals that NWDB will focus on in the coming years. These goals are as follows:

1. Develop a more targeted and consistent communication strategy for youth using tools like NWDB's app.
2. To serve as a convener and conduit for business leader needs.
3. Provide targeted outreach to untapped labor pools.
4. Increase brand awareness through community engagement and other outreach strategies such as giving frequent presentations to civic organizations across the Local Area.
5. Identify additional funding sources.

The board also has committees which are organized to focus on the largest facets of NWDB's core purpose. NWDB's core purpose is to resolve workforce issues and challenges to meet the employment needs of businesses in northeastern NC. NWDB's committees include: Business Resources and Opportunities, NextGen Youth and Young Adult, the Career Center Committee and the Finance Committee. The committee goals are designed to support the five main goals of the board. Their goals include:

- Business Resources and Opportunities Committee: Assist area businesses with workforce recruitment; Equip partner agencies, economic developers and businesses with workforce data analysis; Assist area businesses with workforce retention.
- Career Center: Continue to ensure appropriate oversight of the Career Centers - Focus on continuous improvement; Develop an outreach strategy to promote center services to employers, job seekers, and other stakeholders (including virtual outreach); Manage and maintain NWDB's approved training list. Ensuring appropriate oversight of the Career Centers includes ensuring that staff follow NWDB's Priority of Service Policy which requires priority to those with barriers including those who are low income, recipients of public assistance, individuals who are basic skills deficient.
- NextGen Youth & Young Adult: Maintain performance levels in order to continue meeting federal performance goals. Develop a more targeted and consistent communication strategy for enrolled youth and prospective youth. Develop and distribute a set schedule for upcoming events for NextGen participants.
- Finance Committee: Continue to educate and inform NWDB members on NWDB funding and expenditures as well as providing assistance during budget preparation process. Explore potential opportunities for increasing revenues. Continue to monitor NWDB's financial status and overall financial performance.

All of these aforementioned goals tie back into the performance measures. Everything that NWDB does is intentionally structured to enhance our services and meet performance standards. For example, the data obtained by the Business Resources & Opportunities Committee is beneficial for the career center committee to develop appropriate plans for enhancing services to job-seekers. Moreover, this data can assist the youth committee and staff in marketing high growth industries to our emerging workforce.

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

NWDB staff and Career Center Staff network throughout the community with groups such as Community Colleges, community-Based organizations, various business groups, educational systems, DSS, Vocational

Rehabilitation, the Small Business Center, Chambers of Commerce, the Small Business and Technology Development Center and others to stay informed of services available to both our job seeker and business customers.

NWDB has a long history of being active in the community and with core partners to bring awareness (and therefore access) to the community of services available including employment, training, education and supportive service for eligible individuals, particularly eligible individuals with barriers to employment. We engage in many community events throughout the region and we frequently partner with our core partners on events such as job/career/resource fairs and various grant projects. Through our strong connections with Title II Adult Basic Education, center staff frequently visit College of the Albemarle campus to present to students in the Basic and Transitional Skills Department.

The NCWorks Career Centers in the NWDB region host partners meetings. The intent of these meetings is for all partners, especially those who provide services and resources to individuals with barriers, are aware of each others' services. This allows us to expand access to employment, training, and support services to eligible individuals.

NWDB, along with Rivers East and Turning Point Workforce Development Boards, have already facilitated the development of Career Pathways and were the first to have a career pathway in the state to be certified by the NCWorks Commission. Our regional partnership continues to lead the career pathways effort, as we designed the concept of local implementation certification that many other regions now mimic. We also continue to fund our shared Career Pathways Facilitator who plays a vital role in spreading the message to our workforce about pathways, and convening organizations (public and private) necessary for our continued pathways work. We have created four pathways, all of which have received certification from the NCWorks Commission. The pathways are regional and are intended to be used as a template either as is, or for making improvements to existing local pathways. The pathways were created with input from numerous partners including eight community colleges, ESCU, Economic Developers, CTE Directors, three workforce boards, and many different employers from throughout the Northeast Prosperity Zone. You can find more information on our pathways at the following website: www.nencpathways.org. We also continue to focus on local implementation of our career pathways. Local implementation means that the Community College, High Schools, and NCWorks Career Centers are working together seamlessly to promote and support careers within the pathway. We have received local implementation certification for Advanced Manufacturing, Health Sciences, and Business Support Services. Even though we have received the local implementation certifications, the work is on-going. This regional and employer driven approach is key to ensuring credential attainment, especially short term stackable credentials.

Co-enrollment in Wagner-Peyser and Title I is expected if customers are eligible and follow suitability guidelines (outlined in the issuances). All staff are trained on pitching Title I services to customers (and all services available through the career center system). Continuous monitoring for compliance in the ISD process is necessary in order to identify areas for improvement for co-enrollment.

Finally, NWDB understands the important role that its career centers play in ensuring customers are properly referred for available openings at our area businesses. We developed an employer services protocol outlining

expectations for staff to follow to ensure we are referring qualified candidates. We also review referrals during the career center quality assurance monitoring process.

3. Considering the analyses described in the Regional Strategic Planning Section III, describe strategies to work with the entities that carry out the core programs that align resources available to the Local Area to achieve the strategic vision and goals. [WIOA Section 108(b)(1)(F)]

Strategies to work with the entities that carry out the core programs that align resources available to the Local Area to achieve the strategic vision and goals include:

1. Focusing our resources and training on providers that deliver high-quality employer focused and job seeker programs.
2. Continuing to expand our networking with Community Colleges to identify “gaps” in program offerings as identified through labor market research and dialogue with business.
3. Continue to have “Outposts” (NCWorks Access Sites) on community college campuses and DSS offices.
4. Continuing our close working relationship with the Customized Industry Training program and including them as part of our local Business Services team.
5. Continuing hosting quarterly “Partners Meetings” at our Career Centers. These are meeting in which all core partners and other partners are invited to ensure that everyone is aware of all services offered by all partners and are working in a streamlined manner to serve customers.
6. Continue to invite core partners to hold “office hours” at the career centers to help them become more engaged with center activity.
7. Continuing our Career Pathways work through our Workforce Connector that engages businesses, K-12, Community Colleges, Economic Developers, Chambers of Commerce, STEM, and the Universities to orient our workforce towards career ladders that lead to self-sufficient employment.
8. Continuing our close working relationship with local, regional, and state economic developers.
9. Continuing our close working relationship between the Boards in the Northeastern Prosperity Zone.
10. Enhance the connection between the NWDB and ApprenticeshipNC, by integrating Title I services in Apprenticeships.

The benefit of having such an established framework is that it can be implemented to prepare an educated and skilled workforce at any level.

4. Provide a description of strategies concerning maximizing coordination of services provided under the Wagner-Peyser Act and services provided in the Local Area through the NCWorks Career Center system. Include how this coordination of services improves service delivery and avoids duplication of services. [WIOA Section 108(b)(12)]

Maximizing coordination of services provided under the Wagner-Peyser Act and other services provided in the Local Area throughout the NCWorks Career Center system is accomplished through the Integrated Services Devlivery (ISD) system implemented in NWDB’s career centers. The ISD system is characterized by integrated career center staffing, an integrated customer pool, integrated customer flow and integrated technology in our career centers. The core partners of NWDB’s ISD system are Title III Wagner-Peyser staff

and Title I Adult/Dislocated Worker staff. Cross-training of these staff on services available throughout the career center system (including Wagner-Peyser) is of utmost importance to the success of ISD. Also, this allows staff to work on integrated functional teams. These functional teams are Talent Engagement, Talent Development, Business (Employer) Solutions. Both Title I (Adult/DW) and Title III staff participate on each of these teams, which is one reason cross training is so important. It's the functional teams with cross trained staff that allows for coordination of services and helps to avoid duplications of services.

5. Describe how the Local Area WDB implements **each** of the following initiatives: incumbent worker training programs, on-the-job training programs, customized training programs, industry and sector strategies, career pathways initiatives, layoff aversion, utilization of effective business intermediaries, and other employer services and strategies, designed to meet the needs of employers in the corresponding region in support of the regional strategy to meet the needs of businesses. [WIOA Section 108 (b)(4)(B)]

NWDB considers employers to be primary customers of our system. Our services include strategies for recruitment and retention through programs such as NextGen Youth Work Experiences, On-the-job training grants and Incumbent Worker Grants (dba Employee Training Grants). NWDB's initiatives enhance communication, coordination, and collaboration among employers, economic development entities (although there are few in our region) and service providers to ensure activities meet the needs of employers and support economic growth in the region. Our wide range of initiatives work to offer personalized assistance for their workforce needs.

We work with other agencies for cross-training purposes so that they are familiar with the purpose and benefits of workforce services, such as OJT or incumbent worker grants. NWDB's Business Services staff and other entities often plan coordinated visits with employers.

NWDB also has an employer services protocol in place that outlines expectations for all staff and equips staff with the process for connecting an employer to the appropriate service. Employers requiring our services should receive streamlined and consistent information from all workforce professionals from NWDB and our NCWorks Career Centers. An Employer Services Protocol was created to inform all staff of internal expectations that are required for initial and ongoing communication with our area's employers. This protocol was discussed and revised according to feedback from management and members of the Business & Employer Services Team. The purpose of this is to standardize processes for assisting employers so that all workforce professionals follow a uniform procedure as they initiate, expand and improve upon the services provided to hiring employers.

The goals are as follows:

1. Employers will be encouraged to become self-sufficient in creating their own accounts and job orders that are in compliance with the job order policy.
2. Employers understand all of the available features within the workforce system and nworks.gov that can help them find the best candidates for their immediate and future openings.
3. Employers will receive streamlined & standardized assistance through initial contact with any workforce professional and that more personalized assistance is available through the business services team.

4. Employers will understand the available options and benefits of using the screening/referral process of the NCWorks Career Center in order to receive qualified applicants via the timeliest methods available.

This protocol is a living document and is subject to change based on feedback from staff, partners and employers as our services need to evolve with any changing economic climates in our region.

NWDB, along with Rivers East and Turning Point Workforce Development Boards, have already facilitated the development of Career Pathways and were the first to have a career pathway in the state to be certified by the NCWorks Commission. Our regional partnership continues to lead the career pathways effort, as we designed the concept of local implementation certification that many other regions now mimic. We also continue to fund our shared Career Pathways Facilitator who plays a vital role in spreading the message to our workforce about pathways, and convening organizations (public and private) necessary for our continued pathways work. We have created four pathways that have received certification from the NCWorks Commission. The pathways are regional and are intended to be used as a template either as is, or for making improvements to existing local pathways. The pathways were created with input from numerous partners including eight community colleges, ESCU, Economic Developers, CTE Directors, three workforce boards, and employers. You can find more information on our three pathways at the following website: www.nencpathways.org. We also continue to focus on local implementation of our career pathways. Local implementation means that the Community College, High Schools, and NCWorks Career Centers are working together seamlessly to promote and support careers within the pathway. We have received local implementation certification for Advanced Manufacturing, Health Sciences, and Business Support Services.

6. Provide a description of how the Local Area WDB coordinates workforce investment activities – including strategies enhancing services, promoting participation in training programs, and avoiding duplication of services – is carried out in the Local Area with the provision of Adult Education and Literacy activities. [WIOA Section 108(b)(13)]

The NWDB partners with the local community colleges to provide easy access to workforce-related resources. Students who are enrolled in Adult Education and Literacy activities are given the opportunity to enroll with the local Career Center and explore resources that will help with completing their basic educational needs, furthering their education to earn additional credentials, and/or pursuing employment. Also, Center staff work closely with the local community colleges Director of Basic and Transitional Studies to ensure they have a good understanding of the programs offered and that services are not duplicated. As a result, Center staff are able to make quality referrals. The Director of Basic and Transitional Studies at College of the Albemarle serves on the workforce board and is also Chair of the board's NextGen committee. We also have staff who work at the College of the Albemarle's Campus (all four locations) which allows for easy coordination with Adult Education and Literacy activities. In addition, we have staff who work at Beaufort County Community College's satellite office in Roper where Adult Education classes are held. This allows for close coordination. We also have started conducting an event we call "Employer in the Foyer" with Basic and Transitional studies at College of the Albemarle. We pick a career field, such as Welding. We invite an employer who employs welders, COA has staff available to showcase their educational offering in welding

and our staff have Virtual Reality set up to allow participants to virtually train in welding. This is open to the students in the Basic and Transitional Studies department as well as to the public.

7. Describe the Local Area's workforce development system. Identify the following: the programs that are included in the system, how the Workforce Development Board will work with the entities administering core programs and other workforce development programs to support alignment and provision of services, and the programs of study authorized under the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.). [WIOA Section 108(b)(2)]

There are two Community Colleges that serve the NWDB 10-county region – College of the Albemarle (COA) which serves Dare, Currituck, Camden, Pasquotank, Perquimans, Chowan and Gates; and Beaufort Community College which serves Hyde, Tyrrell and Washington. COA has campuses in four counties – Dare, Pasquotank, Currituck and Chowan. These community colleges administer the Carl D. Perkins Career and Technical Education Act of 2006, so having a close relationship with them is vital for NWDB.

One of NWDB's career centers is housed at COA's Edenton Campus. Both of these colleges offer a wide variety of Associates Degrees, Diplomas and Certificates. They play a direct role in training existing and new employers for business and industry through their NCWorks Customized Training. NWDB also has an office on the Elizabeth campuses and can access space at the Dare campus as needed. Beaufort Community College has a satellite campus in Roper which houses Adult Basic Education and Literacy series. NWDB has an office on this campus.

In addition to community colleges, Elizabeth City State University (ECSU) is in the NWDB region and is a constituent institution of the University of North Carolina. ECSU offers baccalaureate, professional, and master's degrees for a diverse student body. NWDB has a history of partner with ESCU including Empower NENC: An Educational Collaborative which was intended to support MyFutureNC. There is also a representative from ECSU who serves on NWDB's board. NWDB also supported ESCU in helping them start their own career center on campus.

Community based organizations offer services/resources to our adult, dislocated worker and youth program. For example, NWDB has a MOU with River City CDC to mutually serve youth who are enrolled in their YouthBuild program. Another example is the Salvation army has provided free clothing to NCWorks customers who need clothing for interviews.

Strong relationships also exist with the Career and Technical Education (CTE) system in NWDB's region. Representatives from NWDB or its career centers participate on all the CTE Advisory boards in its ten counties. This has resulted in many positive and tangible collaborations. One example of this can be found NWDB's long history of working with juniors and seniors at area high schools to help them explore career interests, create resumes, practice interviewing skills and obtain information on local training opportunities and in some cases, to register in NCWorks online. Our ability to go into classrooms to conduct these activities is due to our relationship with CTE Coordinators in our local school systems.

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

At this time there are no written cooperative agreements in place; however, the Division of Vocational Rehabilitation staff continues to be an active partner in our NCWorks Centers in the region. VR staff and Career Center staff meet to cross train on services and hold general discussions of coordination efforts. VR Business Services staff actively promotes the programs and services of the Center along with specific VR services when visiting employers or other community partners. VR staff serve on the board and the NWDB Career Center Committee. Being actively engaged with our board and board committees allows numerous opportunities for collaboration.

In addition, our career centers hold partners meetings quarterly. All required center partners are invited to these meetings along with other partners including Vocational Rehabilitation, the SBTDC, High School CTE representatives, representatives from local libraries, ICPTA, ECSU, Albemarle Hopeline, the Salvation Army, and others. Part of the intent of these meetings is for all partners to learn what each other does and how we can all work together to serve our community. There is typically a spot on the agenda where at least one partner provides training regarding the services they provide.

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

NWDB has a board orientation package for new board members. By the time a new member has been appointed, he/she has already had detailed discussion with the Director regarding the roles and responsibilities of the board through an in-depth PowerPoint presentation. Members also have the opportunity to reach out to the board chair. All board members are required to serve on one of our committees. The committee is where most of the board work gets done. Serving on a committee is a great learning opportunity for board members as there are more experienced members on the committee and NWDB staff. We also have an annual retreat facilitated by an experienced workforce development professional that allows each committee to revise their goals for the upcoming year. Board members also have numerous professional development opportunities via conferences and other events. Each board meeting has a section of the agenda that is an educational aspect that allows presentations for board members to hear about issues, organizations and other related topics that have an effect on our local workforce goals.

10. Discuss the increase and expansion of service delivery and awareness efforts to reengage individuals with barriers to include dislocated workers, opportunity youth/high school dropouts, women, people of color in

hard-to-reach communities, individuals with disabilities, and justice involved individuals to help reconnect the disconnected workforce. More importantly, clarify how success is measured.

The expansion of NWDB's service delivery has been impacted by significant cuts to our Title I allocations. As a result, we have had to find other sources of funding to be able to increase services to individuals with barriers. One example of this is working with the Hampton Roads Workforce Council to obtain the Good Jobs Challenge Grant. This grant is intended to help build a talent pipeline for the maritime industry and is specifically aimed at minorities, including people of color and women, and those who are low income.

Even with significant funding cuts, NWDB has worked hard to increase awareness of services to individuals with barriers throughout our region. Some of the strategies we have used for this are as follows:

Maintaining very active social media including Facebook pages.

Contracting with a Social Media expert to further increase Social Media presence.

Conducting a direct mailing to over 11,000 households with low income to promote career center services.

Sending out weekly "Email Blasts" that goes out to our listserv and posted on social media with the latest job postings and other information.

Participating in community events throughout our region.

Participating in Chamber of Commerce events.

Conducting workshops in High Schools throughout the region.

In addition, NWDB takes a creative approach to increasing and expanding service delivery and awareness to women. Each semester, we present at the College of the Albemarle's orientation for health science students. We have found that over 90% of the students in health science are women. Promoting NCWorks services in these orientation sessions allows us to reach a large amount of women.

Success is measured by the number of individuals who benefit from the services offered through our NCWorks Career Center system.

11. Provide a description of how the Workforce Development Board coordinates workforce investment activities carried out in the Local Area with:

- a. statewide rapid response activities as described in WIOA Section 134(a)(2)(A).
- b. specifically describe the coordination and delivery of services to businesses to include systems that are used to determine economic trends and partners within your Early Warning Network to help identify those businesses that are expanding and/or struggling. [WIOA Section 108(b)(8)]

NWDB does not often experience mass layoffs requiring a rapid response. However, NWDB does stand ready to assist employees of businesses when there are layoffs. In 2018, NWDB implemented a local area issuance to guide activities during the case of layoffs. Procedures outlined in the issuance allows us to ascertain what local resources may be needed to help businesses that have to layoff individuals in the near future. As businesses in the NWDB region face layoffs and closure, NWDB staff, program managers and center management are tasked with organizing and implementing a local Rapid Response event. In order for these

events to be consistently planned and staffed, a protocol was developed for all staff to adhere to. A team of local partners is convened to ensure that all available resources are provided to struggling businesses. With the receipt of a WARN notice from the Division of Workforce Solutions, contact from a Company Official, contact from the Division of Workforce Solutions Local Office, and/or notice in the media, NWDB staff will contact core partners in the affected county to inform them of the pending closing/significant layoff. As set forth in the state protocol, if the layoff involves 100 or more employees, the Division of Workforce Solution makes contact with Company officials to arrange Rapid Response Activities, and informs the LA Director for local coordination. If the layoff involves less than 100 employees, NWDB will lead efforts of providing the Rapid Response activities on the local level. NWDB will utilize a power point presentation of all available services with contact information in meeting with Company Officials in the Rapid Response meeting and in the employee orientation sessions. Each Company Official and affected worker will receive a copy of the power point for their future reference. At a minimum, staff from the NCWorks Career Centers, the Community College, and Vocational Rehabilitation will participate in the Rapid Response and employee orientation sessions. In some situations, NWDB may need to utilize the state’s Mobile Career Center. NWDB Business Services Representative will typically play the lead role in coordinating the rapid response.

NWDB’s labor market analysis tool, Lightcast, allows us to analyze a wide range of data that addresses industry growth outlooks, as well as businesses that may be in need of assistance for layoff aversions. Our Business & Employer Services team has been trained in how to use this system and how to interpret the data to implement solutions. NWDB can also use data obtained from the DWS Rapid Response staff to identify businesses that may be struggling. In addition, NWDB stays in close contact with the business community and business serving organizations such as the SBTDC and local Chambers of Commerce to stay aware of potential layoffs.

12. Provide an overview of how the region partners with NC Community Colleges, UNC institutions, and independent colleges in the local areas to prepare workers to succeed by using skills and education attainment with a focus on diversity, equity, inclusion, and accessibility.

NWDB maintains extensive partnerships with our local community colleges (College of the Albemarle (COA) and Beaufort County Community College (BCCC)) and Elizabeth City State University. The goal of all of the work we do with our community colleges and ECSU is to prepare workers to succeed by using skills and education attainment and we always focus on diversity, equity, inclusion and accessibility. We have a longterm partnership with COA and BCCC through our NENC Career Pathways Partnership, developing and implementing four certified career pathways – Health Science, Advanced Manufacturing, Business Support Services, and Agriscience/Biotechnology. The intent of our pathways work is to expose individuals, particularly our youth but adults as well, to in-demand careers and helping them to earn the credentials needed for those careers, in order to create a talent pipeline for local employers. These pathways outline career options in these vital areas starting with grade school students, through high school, college, and even beyond for careers that require continuing or specialized training.

NWDB is currently partnering with COA on the EDA’s Good Jobs Challenge grant project to support the maritime industry by developing a pipeline of diverse qualified employees by helping businesses retain and

upskill their existing workforce and develop and supporting entrepreneurs. Through this project we are developing a distinct regional brand for the maritime employee training system, promoting intra-regional collaboration, and expanding local training capacity to meet the needs of existing and emerging maritime businesses. Equity and inclusion is a main focus of this grant. Intentional, inclusive, grassroots recruitment in underserved and underrepresented communities is embedded in the very fabric of the Workforce Training System to be developed through this grant. We will develop comprehensive recruitment networks based in Opportunity Zones and other underserved communities. It will deepen the impact of that network by hiring Maritime Workforce Recruiters who live and will work in the targeted communities as industry ambassadors connecting their peers to high-paying, family sustaining careers in the maritime sector. Comprehensive wraparound services will provide fiscal security to job-seekers as they complete their training. This collective impact approach will be a strategic strike to break systemic equity barriers and begin closing our socioeconomic equity gap.

Elizabeth City State University (ECSU) is an HBCU that services NWDB's 10-county region. Having a close relations with the HBCU is very important to NWDB. We have partnered with them on two main projects. The first is project GAP (Granting Advanced Preparation). This is a project funded by Golden Leaf intended to help individuals with significant barriers to employment to obtain the skills and credentials needed to accomplish their career goals. The second is our Empower NENC: An Educational Collaborative, which is part of MyFuture NC and intended to help increase educational attainment in Pasquotank, Washington, and Tyrrell Counties. We have also helped ECSU open a career center on their campus. An ECSU staff person also serves on NWDB's board.

13. Based on the history of economic development projects in the Local Area, how many projects does the Local Area WDB expect to engage in during the upcoming program year? Please indicate the type of services the Local Area WDB expects to provide.

NWDB offers a range of services to assist employers in their relocation or expansion projects. Typically, our involvement in projects stems from connections with local Economic Developers, County Officials, or EDPNC. Our focus lies in tailoring our services to match the specific needs of each project. Frequently, employers seek labor market data, including workforce availability, wage data, and commuter information. Additionally, we discuss with the employer all available services provided by the WDB and any relevant partners, as necessary. We typically expect to engage in 1-3 projects annually.

14. Provide a description of how the WDB is employing sector strategies by creating industry-led sector partnerships to facilitate engagement of employers and better coordinate workforce development services, training, and economic development activities. Include a brief example(s) of existing industry sector initiatives / partnerships or describe the strategy to implement them for evidence-based in-demand industry sectors for the region [WIOA Section 106 (c)(1)(C), Section 107 (d)(4)(D)]

NWDB worked with ApprenticeshipNC, College of the Albemarle, several local high schools, SBTDC, and many other partners to create a partnership among US Coast Guard Base Elizabeth City and the many divisions and contract employers located on base. Through this partnership we held an "Employer Resource

Summit" which focused on showcasing available resources to the many contactors located on USCG Base Elizabeth City as well as potential contractors who may be looking to bid on projects but have concerns about workforce availability. This partnership continues to meet monthly to discuss hiring challenges, workforce development issues, and economic development activities.

NWDB is in the beginning stages of planning and executing a Sector Partnership in the Manufacturing Industry with local employers across multiple counties. This partnership pulls together HR leaders from many different manufacturing businesses across a three-county span to come together to discuss challenges and successes and brainstorm together. Some key points or topics that will be addressed through this partnership are pulling LMI to make data informed decisions, recruitment, training, and developing better HR practices.

Through the Good Jobs Challenge grant NWDB has started a maritime industry sectoral partnership. This partnership includes maritime related employers in our region as well as some in the Hampton Roads, VA region. This partnership will help drive the coordination of trainings and activities provided through this grant funding

15. Identify the Career Pathways developed by the Local Area. Complete the chart below.

Pathway Name	Partner WDBs	Year the pathway was developed	Number of trainees (to date) who have utilized the pathway
Health Science	Rivers East and Turning Point	Planning (October 2013); Approved (February 2016); Check-in (April 2017), Reviewed (January 2019); Reviewed (February 2021); 4 Local Implementations (includes COA)	482
Advanced Manufacturing	Rivers East and Turning Point	Planning (September 2015); Approved (November 2016); Check-in (February 2018); Reviewed (March 2019); Reviewed (February 2021); 4 Local Implementations (includes COA)	185
Agri-science/Biotechnology	Rivers East and Turning Point	Planning (May 2014); Reviewed (January 2016);	117

		Reviewed (November 2017); Endorsed May (2020); Reviewed (February 2021)	
Business Support Services	Rivers East and Turning Point	Planning (July 2017); Approved (August 2018); Reviewed (April 2019); Reviewed (February 2021); 2 Local Implementations (includes COA)	446

16. In addition to facilitating the development of career pathways, also describe the review process for in-demand career pathways to determine if new pathways are needed, or if current pathways should be updated or removed based on the needs of the industry.

- a. Include plans for new career pathways.
- b. Explain how career pathways in the local area are in alignment with other partners/stakeholders' (Department of Public Instruction (DPI), community colleges, myFutureNC, universities, etc.) existing pathways or if they are duplicates.
- c. Describe the strategy to avoid duplication efforts.
- d. Describe the strategy to promote pathways and recruit participants.

a. There are currently no plans for new pathway development as we continue to focus on those we have already created.

b. All of our pathways have been created through our NENC Career Pathways Partnership which includes 22 Local Education Agencies (LEA's), 4 charter schools, 1 regional high school, 9 community colleges, 10 NCWorks Career Centers, 4 universities, and a variety of local employers and economic development agencies.

c. We avoid duplication of efforts by developing our pathways through the NENC Career Pathways Partnership as described above.

d. Pathways are promoted through efforts of all of the partners in the NENC Career Pathways Partnership. The partnership maintains regularly scheduled quarterly meetings. For NWDB, we ensure that our career advisors in our NCWorks career centers are familiar with these pathways and have resource materials to promote them to career center customers.

17. Provide a description of the Local Area WDB's capacity to provide workforce investment activities to address (a) education attainment and skill needs of high-demand fields (b) strategies for awareness and cultivation efforts to increase access to education and postsecondary credentials and certificates, availability of learn-and-earn opportunities (internships, apprenticeships, summer employment) and (c) supportive

services for hard-to-reach communities. (d) Explain strategies that include NextGen, NCCareers.org and any awareness models for success. (e) Explain strategies to align work across the North Carolina Community College System (NCCCS) and (DPI) to increase youth apprenticeships or assist businesses in hiring youth apprentices.

- a. For close to 12 years now, NWDB has been a leading partner in the NENC Career Pathways Partnership. Through this partnership, we have developed four certified pathways – Health Science, Advanced Manufacturing, Agri-Science/Biotechnology, and Business Support services. The purpose of this partnership is to develop a talent pipeline for employers in these high-demand fields by helping our youth and adult job seekers earn industry recognized credentials and participating in relevant work-based learning opportunities. To date, NWDB has had 1,274 participants participate in these pathways. [Hpps://nencpathways.org/overview](https://nencpathways.org/overview).
- b. NWDB engages in numerous strategies for awareness and cultivation efforts to increase access to education and postsecondary credentials and certificates, and the availability of learn and earn opportunities. One way in which this is done is through our NENC Career Pathways Partnerships. See “a” above. This partnership promotes awareness of career pathways and the credentials and workbased learning opportunities. Also, through our Good Jobs Challenge grant, we have hired two Recruiters. They are responsible for promoting careers related to the maritime industry and bringing awareness of the training/credentials needed for these careers. Also, our NextGen staff frequently visit our high schools to talk with the students about in-demand careers and the trainings/credentials and workbased learning opportunities that support those careers.
- c. NWDB has a very rural region. Most of the region would be considered “hard to reach” due to the vast geography, bridges, ferries, and waterways and limited public transportation. Supportive services, especially reimbursement for transportation expenses, is very important in the NWDB region. To help expand access to supportive services throughout the region, in addition to the two NCWorks Career Centers, NWDB has offices in partner locations that we refer to as “outposts”. This allows more convenient access to services including supportive services.
- d. When working with customers, NCCareers can be used to help identify their career interests, explore occupations, and plan their careers. This is very helpful for our NextGen staff who work with youth. NWDB Director, David Whitmer serves on a statewide advisory committee for NCCareers. Representatives from LEAD have come to the NWDB region to train staff on how to use NCCareers.
- e. NWDB recognized the importance of apprenticeships. Unfortunately, there has been very little apprenticeship activity in the NWDB as there are no youth apprenticeships. Throughout the years, we have sent many different referrals of local businesses who were interested in apprenticeship to our region’s Apprenticeship Consultant; however, those businesses frequently reported that the Apprenticeship Consultant was not responsive. However, we recently held a regional meeting with the new Apprenticeship NC Representative and had good discussion about how we can work together to support apprenticeships in the northeast.

III. Regional Strategic Planning:

North Carolina is defined by an expansive geography that covers over 53,000 square miles and spans from the mountains in the west, to the piedmont region in the state’s center to the coastal plain region in the east. This expansive geography contributes to the state’s diverse mix of rural communities, small towns, cities, metropolitan

areas, and regional economic centers, each with its own unique industrial composition. Part of North Carolina's economic development strategy includes organization of the state's 100 counties into eight multi-county regions called Prosperity Zones, which are intended to help ensure economic growth across all areas of the state, by leveraging regional economic, workforce, and educational resources. Overlaying the eight prosperity zones are North Carolina's 20 Local Area WDBs that facilitate the delivery of workforce services to the state's citizens and employers.

Local Area WDBs are to continue, or begin, formal interaction based on these regional geographies. The following regional configurations will be used for submission of this Regional Plan:

- *Western Region: Southwestern, Region C (Foothills), and Mountain Area WDBs;*
- *Northwest Region: High Country, Western Piedmont, and Region C (Foothills)WDBs;*
- *Piedmont Triad Region: Piedmont Triad Regional and GuilfordWorks WDBs;*
- *Southwest Region: Centralina, Charlotte Works, Region C (Foothills), and Gaston County WDBs;*
- *North Central Region: Kerr-Tar, Durham County, Turning Point, Mid-Carolina, and Capital Area WDBs;*
- *Sandhills Region: Cape Fear, Lumber River and Mid-Carolina WDBs;*
- *Northeast Region: Rivers East, Northeastern, and Turning Point WDBs; and*
- *Southeast Region: Eastern Carolina and Cape Fear WDBs.*

1. Provide an analysis of the regional economic conditions to include: a) existing and emerging in-demand industry sectors and occupations; as well as conditions that contribute to potential layoffs and closures and, b) knowledge and skills needed to meet the employment needs of employers in those industry sectors and occupations. Include sources used and business involvement in determining needs. [WIOA Section 108 (b)(1)(A)(i)(ii) and (B)].

The 20 county Northeast region has a total population of 735,098 with 323,901 individuals employed with average earnings of \$58.1 annually. Total population decreased by 29,343 over the last five years and is projected to further decrease by 31,356 over the next 5 years. This is significant for many reasons including that a lot of funding, such as WIOA funding, is based on population. With a decreasing population, this region is likely to receive less WIOA funds. On a positive note, jobs decreased by 832 over the past five years, but are projected to grow by 8,869 over the next five years. Median earnings for the region is significantly lower than the national average which is \$82.5K. Concerning educational attainment, 16.0% of the regions' residence possess a Bachelor's Degree (5.1% below the national average), and 10.9% hold an Associates's Degree (2.0% above the national average). Currently, the largest industries are Government, Retail Trade, Manufacturing, Health Care and Social Assistance, and Accommodation and Food Services. Industries with the highest expected growth are Manufacturing, Construction, Wholesale Trade, Retail Trade, and Professional, Scientific, and Technical Services. The most in-demand skills needed to meet the demands of employers in the Northeast region are Mechandising, Nursing, Auditing, Accouting, and Cash Register. This data was collected from Lightcast. In additiona to using Lightcast, the workforce boards of the northeast are in constanct communication local employers about their needs.

Conditions that contribute to potential layoffs are subject to local, state, and national trends. As inflation and gas prices soar, so does the cost of business. If businesses are not able to produce their products or services at prices that align with what consumers are willing to pay, there there will be layoffs and closures. As Government is one of the largest employers, as noted above, a lot of government services are funded through formulas that use population. With a decreasing population, this could result in less government services

resulting in layoffs. Also, with a decreasing population, employers will have even more difficulties filling their open positions. If companies cannot access the workforce they need, some will relocate to areas in which they can. The Northeast Region, unlike many other regions throughout the state, is also subject to extreme weather and its impact on local economies. Hurricanes can have a extremely negative effect on the economy and result in layoffs.

2. Describe how the regional strategic vision aligns with the NCWorks Commission’s 2023-2025 Strategic Plan.

There are four main goals in the NCWorks Commission Strategic plan as follows: 1. Prepare workers to exceed in the North Carolina by increasing skills and education attainment. 2. Create a workforce system that is responsive to the needs of the economy by fostering employer leadership. 3. Promote replication of creative solutions to challenging workforce problems by supporting local innovation. 4. Promote system access, alignment, intergration, and modernization. The Northeast Region has been a leader in promoting skill and education attainment for close to 12 years now through our NENC Career Pathways Partnership. Through this partnership, four regional employer-driven career pathways have been developed (Health Sciences, Business Support Services, Advanced Manufacturing, Agri-Science/Biotechnology). Careers in these fields and the credentials/stackable credentials are promoted in the high schools, community colleges, and NCWorks Career Centers. The three Workforce Board Directors in the Northeast Region meet regularly to ensure that each local area is aware of what the others are doing and either partner in the efforts or replicate the efforts as appropriate. The Notheast is more than a team, it is a family. Employer leadership is very important in the northeast. The above mentioned career pathways were developed with input from local employers. Also, each local area is currently working on sector stragies – and again, we learn from each other as we do this. Lastly, in and effort to promote system alignment, the three boards in the Northeast Region, along with Eastern Carolina Workforce Development Boars, have held numerous meetings to align policies to make workforce services more consistant throughout the regions.

3. Provide an analysis of the workforce in the region, including current labor force employment and unemployment data, and information on labor market trends, and the educational and skill levels of the workforce in the region, including individuals with barriers to employment. [WIOA Section 108 (b)(1)(C)].

The 20 county Northeast region has a total population of 735,098 with 323,901 individuals employed with average earnings of \$58.1 annually. Total population decreased by 29,343 over the last five years and is projected to further decrease by 31,356 over the next 5 years. On a positive note, jobs decreased by 832 over the past five years, but are projected to grow by 8,869 over the next five years. Median earnings for the region is significantly lower than the national average which is \$82.5K. Concerning educational attainment, 16.0% of the regions’ residence possess a Bachelor’s Degree (5.1% below the national average), and 10.9% hold an Associates’s Degree (2.0% above the national average). In 2022, there were 13,429 graduates in the region. This pipeline shruck by 10% over the last 5 years. The highes share of these graduates come from “Liberal Arts and Sciences/Liberal Studies” (Associate’s), “Business Administration and Management, General” (Bachelor’s), and “Registered Nursing/Registered Nurse” (Bachelor’s). Currently, the largest industries are Government, Retail Trade, Manufacturing, Health Care and Social Assistance, and Accommodation and Food Services. Industries with the highest expected growth are Manufacturing, Construction, Wholesale Trade, Retail Trade, and Professional, Scientific, and Technical Services. The most in-demand skills needed to meet the demands of employers in the Northeast region are Mechandising, Nursing, Auditing, Accouting, and Cash Register. Unemployment in the Rivers East region as of January 2024 is 4.1%, Turning Point is 5.1%, and

NWDB is 4.6%. The overall Unemployment Rate for the region is 4.58%. All of these are high than NC (3.5%) and the US (3.7%).

4. Describe strategies, used to facilitate engagement of businesses and other employers, including small employers and in-demand industry sector occupations. Describe methods and services to support the workforce system in meeting employer needs. [WIOA Section 108 (b)(4)(A)(i)(ii)].

The workforce boards in the region frequently engage with businesses, including small employers and those in in-demand industries. 96.2% of the businesses in the region have 49 or less employees – so the majority of business engagement is with small employers.

Through our NENC Career Pathways Partnership, we identified four industry sectors to build career pathways and focus business engagement – Health Science, Advanced Manufacturing, Business Support Services, and Agri-Science/Biotechnology. We hold regional quarterly meetings focusing on one of these sectors (all four annually). This allows for frequent and intentional business engagement, as we continuously work to ensure that our pathways, and the work of our business/employers services staff align with the needs of these sectors.

In addition, the three boards have worked together to align our Incumbent Workers Grant and On-the-Job Training policies, to allow for consistency in services to businesses. In addition to these services, other services are available to help meet employer needs. This includes customized recruitment strategies based on the individual needs of the employers. Customized recruitment may or may not include pre-screening of applicants. This just depends on the needs of the employer. We realize there isn't a "one size fits all" approach to recruitment, so staff in the region work hard to understand the employers specific needs and design a recruitment strategy based on those needs.

5. Describe strategies and services used to coordinate workforce development programs and economic development. [WIOA Section 108 (b)(4)(A)(iii)].

Many of the regional economic developers are geographically aligned to the areas these three boards cover. An example of this is the NCEast Alliance. Board Directors and Business Services staff have developed relationships with the staff of NCEast and have provided workforce availability data to this group to help them recruit new businesses. Staff are also invited to on-site discussions that NCEast may organize with a business to help provide context to the data. NCEast Alliance staff serve on both the Rivers East and Northeastern Workforce Development Board. Another example is the regional representative from EDPNC which is aligned to our region. This individual attends regional meetings and has been de-briefed on the board's role and business services. Board staff also participate in joint business meetings with EDPNC staff. The boards also have strong relationships with local economic developers and work to maintain those relationships.

6. Outline regional transportation issues related to workforce development and ways the region is/will address needs identified. Include a description *and* map of the regional commuting patterns. [WIOA Section 108(b)(11)].

Transportation is a major workforce development issues in the region. The inter-regional highway system is inadequate for many businesses that may otherwise relocate to the area. Widening, bridge replacement, ferry

upgrades, and new construction are necessary to allow business to efficiently import resources and export goods. Furthermore, the current system creates long commute times, placing additional burdens on working families. On December 14, 2015, the US 17 corridor was officially designated as a future interstate with the passage of the Fixin America's Surface Transportation Act (FAST Act) and in May of 2016, the American Association of State Highway and Transportation Officials (AASHTO) approved the designation of Interstate 87 (I-87) for the corridor.

From a workforce perspective, the boards will continue to voice the concerns of transportation challenges on the workforce and for I-87 to come to fruition. Also, knowing the expense of transportation can be a barrier to individuals, preventing them from accomplishing their educational goals, the boards offer transportation as a supportive service to help ease that burden.

Regarding commuting patterns: A significant amount of workers commute outside of the region. In 2023, 97,935 workers commuted out of the region, while only 64,093 workers commuted to the region. This is a net loss of 33,842 workers. Most of those who commute outside of the region, commute to Virginia. In 2023 58% of those who commute out of the region, commuted to Virginia. I tried to cut and past a commuting map but the way this document will not let me paste it.

7. Briefly provide a description of how the Local Area WDB will coordinate education and workforce investment activities carried out in the local area with relevant secondary and postsecondary education programs and activities to coordinate strategies, enhance services, and avoid duplication of services. [WIOA Section 108(b)(10)].

Boards of the Northeast have many types of relationships with secondary education and community college and university partners. One example is the close relationship between boards and customized training departments. Business services staff aligns marketing efforts with local and regional customized training representatives, particularly for Incumbent Worker Grants. Another example of alignment is working collaboratively with career coaches (titles differ across the region) to ensure community college staff are aware of approved trainings, eligibility for Title I participation, etc. Moreover, each board has a representative from Adult and Basic Education as a member on the board.

Here is some information specific to NWDB:

NWDB staff and Career Center Staff network collaborates regularly with secondary school and community colleges to provide wrap-around services to customers. Career Advisors communicate and meet with secondary school counselors and CTE teachers to evaluate the need of eligible youths and partner to service students jointly. Career Advisors are housed in the local community college to maximize the partnership and provide services to students. Likewise, the Career Center provides office space for the local community college staff to facilitate partnership between the two organizations and provide onsite services to Career Center customers. NWDB participates in joint meetings with secondary and community college staffs to collaborate on services provided to students and roles are identified to reduce duplication of services. Career Center and NWDB staff have collaborated with the local 4-year university to provide on campus services to students and provide them exposure and resources to WIOA resources and services. NextGen staff regularly

visit High Schools in the NWDB region to conduct workshops for Seniors and expose them to the services offered through the NCWorks Career Center System.

Community college representatives for College of the Albemarle (COA) and Beaufort County Community College (BCCC) sit on the NWDB Board and participate on other Board committees and attend partnership meetings held monthly by the NCWorks Career Centers of the region. Dialog between the community colleges is transparent, therefore avoiding duplication of services and ensuring that strategies are aligned. Community college alliances are evidenced through the four distinct Career Pathways developed for the NWDB region. In addition, the community colleges of the region are valued referral sources for WIOA Title I services. NWDB Career Advisors hold office hours on each of the community college campuses to ensure continuity of services.

We have also identified several opportunities to work with Elizabeth City State University (ECSU) including project GAP and Employer NENC: An Educational Collaborative. We also helped ECSU open their on campus Career Center.

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

Veterans and eligible spouses receive priority of service for all USDOL-Funded job training programs, which include WIOA programs. When veterans visit one of our centers, they do receive priority of services. There is a form that they must complete (Veteran Intake Form) to identify any barriers that they may have which will allow us to determine if the veteran should speak to a veteran representative or one of our career advisors at the office. If the veteran is to meet with a veteran representative there are additional benefits that the veteran program can offer these individuals. It is important that we gather as much information as possible from that individual to determine what his/her needs may be. For the person to receive these benefits they must accept being placed on a case load so the veteran representative can properly assist and assess their needs.

We have two types of veteran representatives that are housed in our center. One is a DVOP, which is the veteran representative that works with the jobs seekers to ensure that they find employment or receive services. The other is the LVER, this individual is responsible for building and engaging in relationships with our business community to ensure that we are explaining all the services that the veteran program offers and the benefits of hiring a veteran. They are also responsible for outreach in the community and working in partnership with the center business service coordinator to provide services to the business community. Recently, DWS has implemented Hybrid staff which perform the functions of both the DVOP and LVER.

9. Explain the strategic plan for how the region will respond to national emergencies or weather-related disasters to serve victims (such as lay-off aversion activities) and utilize special grants efficiently throughout the recovery period.

Through prior experience, Boards of the Northeast are prepared to respond to national emergencies including weather related disasters. In addition to utilizing previous NEG funds, the boards realize the value of providing mobile and virtual services to customers impacted by hurricanes that lack the means to travel to a center or when a region has to close a center due to a hurricane's impact. For example, each board of the

Northeast has used the mobile unit in the aftermath of a hurricane to provide services to customers. During this pandemic, the boards of the Northeast were quick to respond to needs by developing texting platforms, virtual career services (such as online soft skills courses), virtual job fairs and more. The tools and skills we've acquired due to the pandemic will be valuable in normal circumstances and will aid in expediting services and using outreach techniques in atypical ways.

IV. NCWorks Commission

The NCWorks Commission recommends policies and strategies which value diversity, equity, inclusion, and accessibility while enabling the state's workforce to compete in the current and future global economy. The commission leads, builds partnerships, forms alliances, and is accountable for strengthening North Carolina's innovative, inclusive, relevant, effective, and efficient workforce development system.

The Commission is designated as the state's WDB under the federal Workforce Innovation and Opportunity Act. Led by a private sector chair, the 37-member Commission includes representatives from the business community, heads of state workforce agencies, educators, and community leaders. All members are appointed by the Governor.

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

After extensive stakeholder work and programmatic reviews, the following systemwide goals and objectives were created for the workforce development system:

- *Prepare workers to succeed in the North Carolina economy by increasing skills and education attainment.*
- *Create a workforce system that is responsive to the needs of the economy by fostering employer leadership.*
- *Promote replication of creative solutions to challenging workforce problems by supporting local innovation.*
- *Promote system access, alignment, integration, and modernization.*

1. Briefly describe how the Local Area WDB engages with local employers and informs them of the wide array of business services offered. Include how the Local Area WDB (a) ensures collaboration with other employer-facing workforce program representatives, such as (b) Vocational Rehabilitation, (c) Agriculture Services, (d) Foreign Labor, (e) Re-Entry, and (f) Veterans Services, through processes and procedures for information sharing and efficient employer customer service delivery.

NWDB considers employers to be primary customers of our system. Our services include strategies for recruitment and retention through programs such as NextGen Youth Work Experiences, On-the-job training grants and Incumbent Worker Grants (dba Employee Training Grants). NWDB's initiatives enhance

communication, coordination, and collaboration among employers, economic development entities and service providers to ensure activities meet the needs of employers and support economic growth in the region. Our wide range of initiatives work to offer personalized assistance for their workforce needs.

We work with other agencies for cross-training purposes so that they are familiar with the purpose and benefits of workforce services, such as OJT or incumbent worker grants. NWDB's Business Services staff and other entities often plan coordinated visits with employers.

NWDB also has an employer services protocol in place that outlines expectations for all staff as well as equips staff with the process for connecting an employer to the appropriate service. Employers requiring our services should receive streamlined and consistent information from all workforce professionals from NWDB and our NCWorks Career Centers. An Employer Services Protocol was created to inform all staff of internal expectations that are required for initial and ongoing communication with our area's employers. This protocol was discussed and revised according to feedback from management and members of the Business & Employer Services Team. The purpose of this is to standardize processes for assisting employers so that all workforce professionals follow a uniform procedure as they initiate, expand and improve upon the services provided to hiring employers.

The goals are as follows:

1. Employers will be encouraged to become self-sufficient in creating their own accounts and job orders that are in compliance with the job order policy.
2. Employers understand all of the available features within the workforce system and ncworks.gov that can help them find the best candidates for their immediate and future openings.
3. Employers will receive streamlined & standardized assistance through initial contact with any workforce professional and that more personalized assistance is available through the business services team.
4. Employers will understand the available options and benefits of using the screening/referral process of the NCWorks Career Center in order to receive qualified applicants via the timeliest methods available.

This protocol is a living document and is subject to change based on feedback from staff, partners and employers as our services need to evolve with any changing economic climates in our region.

Veterans Services Staff, specifically the LVER, serves on the Employer Services team. This team works with Vocational Rehab, Agriculture Services staff and re-entry staff. The LVER also serves on NWDB's Business Resources and Opportunities Committee and the Vocational Rehabilitation Business Relations Representative serves on NWDB's Career Center Committee.

2. Please provide a brief overview of the business services team within the local area. Please identify the individual staff roles the Local Area WDB utilizes to conduct business services (that is Business Services

Representative (Local Area WDB staff), contractor staff, Business Engagement Coordinator, NCWorks Career Center Manager, DWS staff, Disabled Veterans Outreach Program, identify who makes regional and local employer referrals to Agricultural Services and/or Foreign Labor staff, etc.).

The local business services team consists of several members. A Youth Program and Business Engagement Coordinator who promotes business services and work-ready jobseekers to businesses in the 10-county region; the NCWorks Career Center Manager who oversee the business services hosted in the NCWorks Career Centers; A hybrid LVER/DVOP who promotes business services specific to hiring veterans and work ready veterans to business; A Business Solutions Career Advisor (DWS staff) who works with job seekers to ensure they are work ready and make appropriate referrals to fill business job openings; and the NWDB Assistant Director who oversees the team and ensures they are working according to the directives of the board. This team meets monthly to discuss business needs and plan events and employer outreach efforts. Members of the team also meet outside of the regular monthly meeting to discuss outreach and event coordination strategies. Business services staff do individual and joint business visits to promote work-based learning opportunities. Staff use current job openings to get a pool of businesses seeking to fill open positions and inform employers that WBL opportunities are available and can help them fill open positions and hire qualified candidates. The Business Engagement Coordinator is responsible for making employer referrals to Agricultural Services and/or Foreign Labor Staff.

3. Briefly describe how the Local Area WDB plans to increase NCWorks brand awareness at the local level (consult NCWorks Commission 2023-2025 Strategic Plan).

Creating brand awareness for NCWorks is extremely important to NWDB. Through the years we have worked hard to remove the public image of the “Unemployment Office”. Even with limited staffing, we participate in many community events throughout our ten county region including job fairs, business expos, county/town fairs and festivals, and events held by our community colleges, high schools, and university. These grass roots efforts are very effective in brand awareness. Our NextGen staff are frequently in our High Schools working with students and promoting the services available through the NCWorks Career Centers. We have also created brand awareness through billboards and wraps for two of our vehicles. We are very active with social media and have even contracted with someone to focus more efforts on generating awareness through social media. We regularly send out press release, a quarterly newsletter, and a weekly blast that has all of the latest job posted on NCWorks and other relevant information.

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

4. Describe how the Local Area WDB and the partners identify, address, and provide new and innovative solutions to support the job growth and business expansions of the local workforce system while including Diversity, Equity, Inclusion, and Accessibility.

The NWDB Local Area struggles with maintaining a consistent labor pool as the population experiences stagnant, or even declining rate in individuals between the ages of 20-50. Exposure to local jobs is a key

element in combating this trend. NWDB has implemented two innovative efforts intended to expose people to the opportunities that exist in the northeast. The first is #worklocal. The #worklocal Initiative was created by the NWDB to encourage local youth to seek employment within growing career fields located in Northeastern NC. High retirement rates, slow population growth and the belief that you have to leave the region to build a meaningful career continues to leave serious gaps in our employers' labor pools. This initiative is one of the many methods we can use to help fill these gaps to ensure sustainable and strong local economies for today and tomorrow. The NWDB identified local graduates from high school within the region who have succeeded in their field and are a source of inspiration to the next workforce generation. The chosen graduates are featured on large metal posters which are hung on the walls of the high schools from which they graduated. The latest innovative approach we have taken to expose people of the career opportunities in our region is a video series with the theme "Live here, work here". Funded through EDA's Good Jobs Challenge Grant, and in partnership with College of the Albemarle, NWDB is creating videos of local maritime related employers which highlight their business and show the great careers they offer. Two of these videos are airing on TV in Dare County. There are numerous other partners involved with this grant project Hampton Roads Workforce Council. The intent is to develop a talent pipeline for local employers in the maritime industry and all of the supporting industries. This has been identified as an expanding industry in our region. Through this grant, College of the Albemarle is enhancing existing programs that provide training in skills needed for this industry and create new programs – examples including boat building, welding, CAD, machining, logistics, CDL, etc. NWDB is employing a sector strategy to develop a collaborative of businesses in this industry. NWDB will also promote careers in this industry and recruit job seekers. NWDB will pay for the training expenses of these job seekers, provide supportive services, and then connect them with the employer collaborative for employment. Diversity, equity, inclusion, and accessibility is the cornerstone of the grant project as well as much of the other work of NWDB. The success of this grant is predicated on serving minorities including people of color, women, and individuals with differing abilities. To help with this, NWDB has partnered with the Urban Leagues of Central Carolina.

The U.S. Departments of Commerce and Labor have jointly identified Recruitment and Hiring; Benefits; Diversity, Equity, Inclusion, and Accessibility; Empowerment and Representation; Job Security and Working Conditions; Organizational Culture; Pay; and Skills and Career Advancement as the eight key principles of a good job. Refer to Training and Employment Guidance Letter No. 07-22 for details.

5. Describe the Local Area WDB's strategy for:

- a. incorporating job quality principles into ongoing workforce development activities, to assist with identifying and creating long-term partnerships with employers offering good jobs;
- b. creating strategic, flexible career pathways to good jobs that respond to local labor market needs.

NWDB works to create long-term partnerships with employers in our region. NWDB business services staff meet with employers to discuss their needs and determine the appropriate services and many times one or more of the Good Jobs Principles are brought into discussion. Staff often have to have conversations and offer suggestions to employers surrounding these principles. Staff want to ensure that employer partners offer good jobs based off of these principles to make sure job seekers are referred to excellent places of employment. NWDB has recently started showcasing employer partners who offer good jobs in our Career Centers and through our social media through our monthly Employer Spotlight series.

NWDB has a long history of creating strategic, flexible career pathways to good jobs that respond to local labor market needs. NWDB, along with Rivers East and Turning Point Workforce Development Boards, first starting creating career pathways eleven years ago and were the first in NC to have a career pathway certified by the NCWorks Commission. Our regional partnership (NENC Career Pathways Partnership) continues to lead the career pathways effort, as we designed the concept of local implementation certification that many other regions now mimic. We also continue to fund our shared Career Pathways Facilitator who plays a vital role in spreading the message to our workforce about pathways, and convening organizations (public and private) necessary for our continued pathways work. We have created four pathways, all of which have received certification from the NCWorks Commission. The pathways were all created as a response to labor market needs as identified by employers in the region. The pathways are regional and are intended to be used as a template either as is, or for making improvements to existing local pathways. The pathways were created with input from numerous partners including eight community colleges, ESCU, Economic Developers, CTE Directors, three workforce boards, and many different employers from throughout the Northeast Prosperity Zone. You can find more information on our pathways at the following website: www.nencpathways.org. We also continue to focus on local implementation of our career pathways. Local implementation means that the Community College, High Schools, and NCWorks Career Centers are working together seamlessly to promote and support careers within the pathway. We have received local implementation certification for Advanced Manufacturing, Health Sciences, and Business Support Services. Even though we have received the local implementation certifications, the work is on-going. We continue to hold quarterly meetings focusing on each of the pathways (one per quarter) to ensure that the pathways are still relevant. This regional and employer driven approach is key to ensuring credential attainment.

6. Describe how the Local Area WDB ensures that individuals from underserved and underrepresented communities have equitable access to the services of the workforce system and the jobs created in the economic growth spurred by federal investments.

NWDB serves a very large rural region. We strive to ensure that all of our counties receive equitable service, paying special attention to the smallest and most underserved areas. We have outpost locations in these smaller counties that do not have certified NCWorks Career Centers to ensure customers are able to access resources close to home and do not have to travel far when transportation can be a barrier. Also, we served as a leading partner in Employer NENC: An Educational Collaborative. This collaborative is made of many partners including ECSU, COA, City and County Governments, local school systems and Community-based organizations. Through this partnership, we strive to empower the residents of our communities (Washington, Tyrrell, and Hyde Counties), especially those who are economically disadvantaged, African American and/or Latinx, to be change-agents, using their passion, interests, skills and entrepreneurial spirit. We understand that economically disadvantaged people in North Carolina are more likely to be affected than those who have more money. Fewer people from these backgrounds earn post-secondary credentials than those who have more money. Race and ethnicity also play a big role in how many people get their degrees. While Asian and white residents always do better than the state's average, Black, Hispanic, and Native residents always do worse.

7. Describe how the Local Area WDB is engaged in work-based learning projects with local employers.

NWDB utilizes Youth Work Experience and Job Shadowing, On-the-Job Training, and Incumbent Worker Training Grants to help employers with recruitment and retention.

8. Briefly describe how the local board will ensure the continuous improvement of eligible providers of services through the system and ensure that such providers meet the employment needs of local employers, and workers and jobseekers. [WIOA Section 108(b)(6)(A)]

NWDB serves a very large rural area with 10 counties covering a total of 6,222 square miles which is separated by 2,360 square miles of water. As you can imagine, this creates significant challenges with transportation and service delivery. In addition, NWDB receives less WIOA allocations than most of the other NC workforce boards, as we have a very low and declining population. The large geography, combined with low WIOA allocations, makes our region less desirable for WIOA Title I service providers.

That being said, this year in a continuous improvement effort, the NWDB contracted with MaryAnn Lawrence of PowerNotes, LLC to manage the procurement process. Ms. Lawrence is a nationally known workforce development professional and has helped countless workforce boards to successfully procure service providers. Ms. Lawrence used the same procurement process for NWDB as she has successfully for many other workforce boards. The result was a failed procurement as there were no bids submitted. Lack of qualified and interested vendors is a common issue throughout our rural region and is not just isolated to NWDB.

V. NCWorks Career Centers

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

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

1. Identify PY 2024 NCWorks Career Center location(s) including Comprehensive and Affiliate Sites; On-site partners; how NCWorks Career Center operator(s) are designated; provider(s) of WIOA career services and method of selection; whether youth service provider is on-site and, if so, youth services offered. Use the PY 2024 NCWorks Career Center Chart. [WIOA Section 121(b)(1)(A) and (b)(1)(B)]

- Name document: Local Area Name PY 2024 NCWorks Career Centers.

2. Provide the name(s) of the current One-Stop provider(s), date, and process for when the competitive procurement of the One-Stop Operator(s) occurred. Include the expected length of the contract(s) (one to four years and the current year the contract is (e.g., two of three years). [WIOA Section 108(b)(16)]

A public notice is mailed to organizations on a Bidder's List and ads placed in the local papers. It is also included on the NWDB website. This notice explains that NWDB is procuring One-Stop Operator services and requests that those who are interested in receiving the RFP shall submit a Letter of Intent. A template of the Letter of Intent is provided for the potential bidders to use. The RFP is then sent to those who submit a letter of intent.

A bidders' conference is then held. The bidders' conference is an opportunity for the potential bidders to ask questions and to be provided clarity on anything they are uncertain about. The intent is to ensure they are clear on the expectations, requirements, and process.

The NWDB Leadership Committee oversees the process. After the proposal deadline, NWDB staff review the proposals for completeness & forward to the NWDB Leadership Committee. The Committee can review and request a meeting with the bidders or allow NWDB staff to ask the bidders to resubmit the bid if the original proposal(s) are not complete.

Evaluation criteria outlined in the RFP will be followed. The NWDB Leadership Committee will make the final recommendation to the full NWDB. The board in turn will then send their recommendation to the Chief Local Elected Official for final approval.

The public notice was released on May 27, 2022. The deadline for Letter of Intent to be submitted was June 3, 2022. NWDB received one letter of intent which was from the Albemarle Commission. The NWDB Leadership Committee scored the proposal and recommended to the NWDB that NWDB accepts the proposal. At their meeting on July 19, NWDB approved the Albemarle Commission's proposal to serve as the One-Stop Operator. A contract was entered into on July 30, 2022. The contract is for one year with an opportunity to renew annually for a total of four years. The contract was extended until July 29, 2024 and can be extended two more years if both parties are in agreement.

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

- a. Provide a description of how Career and Training services are provided to adults.
- b. Provide a description of how Career and Training services are provided to dislocated workers.
- c. Provide a description of how Career and Training services are provided to youth.

a. There are two certified NCWorks Career Centers in the Local Area – one in Pasquotank and one in Chowan. The NWDB region is very large geographically as it encompasses 10 counties, making transportation a barrier to receiving our services. Because of this, the board and Consortium require that we have staff assisted services available in numerous locations throughout our regions. With this in mind, through partnerships with other agencies, we also have trained staff housed in additional locations as listed below:

- COA Currituck Campus

- Hyde County Government Building
- Albemarle Commission (Perquimans County)
- Tyrrell County Finance Building
- Washington County Center (Beaufort County Community College Satellite Campus)
- COA Elizabeth City Campus
- Gates County DSS

Career and Training Services are available at all of our offices. Basic Career Services are available for all individuals seeking services. Individualized Career Services are available if staff determine that they are appropriate for an individual to obtain employment. Training Services are available to those who are in need and meet certain eligibility guidelines including those outlined in WIOA.

WIOA authorizes career services for Adults. There are three types of “career services”: basic career services, individualized career services, and follow-up services. These services can be provided in any order; there is no sequence requirement for these services. This approach provides local areas and service providers with flexibility to target services to the needs of the customer.

Basic career services are made available to all individuals seeking services served in the one-stop delivery system, and include WIOA eligibility determination, outreach, intake and orientation, initial assessment of skill levels, labor market information, job search and placement, assistance, career counseling, referral to and coordination of activities with other programs and services, information on supportive service needs, and more.

If one-stop center staff determine that individualized career services are appropriate for an individual to obtain or retain employment, these services must be made available to the individual. These services must be available in all one-stop centers. Individualized career services include comprehensive and specialized assessments, developing an IEP, group and individual counseling, career planning short term prevocational services, out of the area job search, and more.

Follow-up services must be provided as appropriate for participants placed in unsubsidized employment, for up to 12 months after the first day of employment. Counseling about the workplace is an appropriate type of follow-up service.

After receiving an interview and evaluation, through the career services, Adults who are determined 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, or be in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment; or have the skills and qualifications to successfully participate in the selected program of training services; and who select programs of training services that are directly linked to the employment opportunities in the local area or the planning region, or in another area to which the Adults are willing to commute or relocate; and who are determined to be eligible in accordance with the priority system, may be enrolled for Training Services. Training Services may include occupational skills training, on-the-job training, skill upgrading and retraining, entrepreneurial training; adult education and literacy

activities, including activities of English language acquisition, and more.

The center staff are organized by function, not by program or employer (funding source), with the purpose of serving customers efficiently and effectively. We have staff organized by function that allow for cross-training so all center staff will possess the capacity to serve all customers. In addition, the staff is knowledgeable about all services the center offers. Integrated staffing is a team-based approach that results in streamlined and seamless service delivery. The successes we are currently experiencing results from everyone having a positive attitude about working together as an integrated team and they are all cross-trained with the right skill set to service our customers. The staff is also eager to learn more to be more productive.

b. There are two certified NCWorks Career Centers in the Local Area – one in Pasquotank and one in Chowan. The NWDB region is very large geographically as is encompasses 10 counties, making transportation a barrier to receiving our services. Because of this, the board and Consortium require that we have staff assisted services available in numerous locations throughout our regions. With this in mind, through partnerships with other agencies, we also have trained staff housed in additional locations as listed below:

- COA Currituck Campus
- Hyde County Government Building
- Albemarle Commission (Perquimans County)
- Tyrrell County Finance Building
- Washington County Center (Beaufort County Community College Satellite Campus)
- COA Elizabeth City Campus
- Gates County DSS

Career and Training Services are available at all of our offices. Basic Career Services are available for all individuals seeking services. Individualized Career Services are available if staff determine that they are appropriate for an individual to obtain employment. Training Services are available to those who are in need and meet certain eligibility guidelines including those outlined in WIOA.

WIOA authorizes career services for Dislocated Workers. There are three types of “career services”: basic career services, individualized career services, and follow-up services. These services can be provided in any order; there is no sequence requirement for these services. This approach provides local areas and service providers with flexibility to target services to the needs of the customer.

Basic career services are made available to all individuals seeking services served in the one-stop delivery system, and include WIOA eligibility determination, outreach, intake and orientation, initial assessment of skill levels, labor market information, job search and placement, assistance, career counseling, referral to and coordination of activities with other programs and services, information on supportive service needs, and more.

If one-stop center staff determine that individualized career services are appropriate for an individual to obtain or retain employment, these services must be made available to the individual. These services must

be available in all one-stop centers. Individualized career services include comprehensive and specialized assessments, developing an IEP, group and individual counseling, career planning short term prevocational services, out of the area job search, and more.

Follow-up services must be provided as appropriate for participants placed in unsubsidized employment, for up to 12 months after the first day of employment. Counseling about the workplace is an appropriate type of follow-up service.

After receiving an interview and evaluation, through the career services, Dislocated Workers who are determined 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, or be in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment; or have the skills and qualifications to successfully participate in the selected program of training services; and who select programs of training services that are directly linked to the employment opportunities in the local area or the planning region, or in another area to which the Dislocated Workers are willing to commute or relocate; and who are determined to be eligible in accordance with the priority system, may be enrolled for Training Services. Training Services may include occupational skills training, on-the-job training, skill upgrading and retraining, entrepreneurial training; adult education and literacy activities, including activities of English language acquisition, and more.

The center staff are organized by function, not by program or employer (funding source), with the purpose of serving customers efficiently and effectively. We have staff organized by function that allow for cross-training so all center staff will possess the capacity to serve all customers. In addition, the staff is knowledgeable about all services the center offers. Integrated staffing is a team-based approach that results in streamlined and seamless service delivery. The successes we are currently experiencing results from everyone having a positive attitude about working together as an integrated team and they are all cross-trained with the right skill set to service our customers. The staff is also eager to learn more to be more productive.

c. There are two certified NCWorks Career Centers in the Local Area – one in Pasquotank and one in Chowan. The NWDB region is very large geographically as is encompasses 10 counties, making transportation a barrier to receiving our services. Because of this, the board and Consortium require that we have staff assisted services available in numerous locations throughout our regions. With this in mind, through partnerships with other agencies, we also have trained staff housed in additional locations as listed below:

- COA Currituck Campus
- Hyde County Government Building
- NWDB Headquarters (Perquimans County)
- Tyrrell County Finance Building
- Washington County Center (Beaufort County Community College Satellite Campus)
- COA Elizabeth City Campus
- Gates County DSS

Career and Training Services are available at all of our offices. Basic Career Services are available for all

individuals seeking services. Individualized Career Services are available if staff determine that they are appropriate for an individual to obtain employment. Training Services are available to those who are in need and meet certain eligibility guidelines including those outlined in WIOA.

WIOA authorizes Workforce Investment Activities for eligible youth including supporting the provision of the career services outlined in section 134(c). There are three types of “career services”: basic career services, individualized career services, and follow-up services.

Basic career services are made available to all individuals seeking services served in the one-stop delivery system, and include WIOA eligibility determination, outreach, intake and orientation, initial assessment of skill levels, labor market information, job search and placement, assistance, career counseling, referral to and coordination of activities with other programs and services, information on supportive service needs, and more.

If one-stop center staff determine that individualized career services are appropriate for an individual to obtain or retain employment, these services must be made available to the individual. These services must be available in all one-stop centers. Individualized career services include comprehensive and specialized assessments, developing an IEP, comprehensive guidance and counseling, career planning short term prevocational services, tutoring, study skills training, instruction, dropout prevention, alternative secondary school services, paid and unpaid work experience, leadership development opportunities, mentoring, entrepreneurial skills training, provision of labor market information, postsecondary preparation, and more.

Follow-up services must be provided for participants for a period of 12 months after exit from the WIOA Youth Program. Counseling about the workplace, job search assistance, and supportive services are among appropriate follow-up services.

After receiving an interview and evaluation from a NextGen Career advisor, Youth who are determined to be out of school and lacking a GED or high school diploma, high school graduates or recipients of a High School Equivalency Certificate or Adult High School Diploma with barriers to employment, and in-school with certain barriers to employment or a need for further assistance to complete their education and transition into post-secondary, may be enrolled into the Title I Youth Program for Training Services or other Title I Youth Program supported services. Training Services may include occupational skills training, on-the-job training, skill upgrading and retraining, entrepreneurial training; adult education and literacy activities, including activities of English language acquisition, and more.

The center staff are organized by function, not by program or employer (funding source), with the purpose of serving customers efficiently and effectively. We have staff organized by function that allow for cross-training so all center staff will possess the capacity to serve all customers. We do employ two Career Advisors who solely serve young adults between the ages of 16 and 24, however, these staff members are knowledgeable about all services the center offers. Integrated staffing is a team-based approach that results in streamlined and seamless service delivery. The successes we are currently experiencing result from everyone having a positive attitude about working together as an integrated team and they are all cross-trained with the right skill set to service our customers. The staff is also eager to learn more to be more productive.

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

Career Advisors (CA) determine the customer's need for WIOA funded training services by completing an interview, evaluation and/or assessment, and career goal planning. After completion of these functions, the CA is able to determine if the customer meets the three main criteria for consideration for enrollment into training.

- Individual must meet eligibility requirements, including priority of service.
- Individual must be evaluated/assessed and found suitable to attend training.
- Individual must meet justification to be enrolled in WIOA Title I training.

Eligibility

Customers are evaluated for eligibility based on specific economic and employment factors, related to a specific hierarchy (Priority of Service). The Workforce Investment and Opportunity Act, Public Law 113-128, was signed into laws on July 22, 2014. WIOA states, in sec. 134(c)(3)(E), that priority for individualized career services and training services funded with title I adult funds must be given to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient.

Under the Jobs for Veterans Act, Public Law 107-228, WIOA sec. 3(63)(A) and 38 U.S.C. 101, veterans receive priority of service in all Department of Labor funded training programs under 38 U.S.C. 4215 and described in 20 CFR 1010. A veteran must still meet each program's eligibility criteria to receive services under the respective employment and training program. For income-based eligibility determinations, amounts paid while on active duty or paid by the Department of Veterans Affairs (VA) for vocational rehabilitation, disability payments, or related VA-funded programs are not to be considered as income in accordance with 38 U.S.C. 4213 and 20 CFR 683.230.

According to TEGL WIOA No. 3-15, priority of service must be provided in the following order:

First, to veterans and eligible spouses who are also included in the groups given statutory priority for WIOA adult formula funds. This means that veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient would receive first priority for services provided with WIOA adult formula funds. Second, to non-covered persons (that is, individuals who are not veterans or eligible spouses) who are included in the groups given priority for WIOA adult formula funds. Third, to veterans and eligible spouses who are not included in WIOA's priority groups. Last, to non-covered persons outside the groups given priority under WIOA.

Career Center staff must be aware of and comply with the Priority of Service for recipients of public assistance, other low-income individuals, individuals who are basic skills deficient and veterans and eligible spouses.

Suitability

Suitability determination is one of the most important factors in ensuring the overall success of the participant and program as a whole. Before enrolling a participant in Title I training services, WIOA requires CA to

determine that an individual has the skills, qualifications, and commitment to successfully participate in the selected program of training. With this in mind, each CA has the responsibility to determine not only an individual's eligibility, but also his/her suitability. Suitability is initially determined during the intake process and will be continuously monitored while enrolled in our training programs.

In determining the initial suitability of a potential participant, CA will consider the following during the intake process:

- **Timeliness**- Does the individual arrive at scheduled appointments on time? Does he/she submit required documentation by the date requested?
- **Reliability** – Does the individual show up for scheduled appointments? If not, does he/she call to reschedule?
- **Responsibility** – Has the individual made efforts to obtain training with his/her own resources? Has he/she tried to resolve his/her own child care or transportation issues?
- **Engagement** – Is the individual engaged in the process?
- **Trainability** – Does the individual have test scores, work experience, school transcripts, and/or prior training that indicate potential to successfully complete the course of training?
- **Aptitude/Ability** – Do the assessment tools (Traitify, Career Coach, CFNC, etc...) indicate compatibility with the desired course of study? Does the individual possess the basic skills, ability and interest to successfully complete the course/program?
- **Commitment** – Does the individual appear to be committed to improving skills? Does he/she show initiative to work or find a job? Is there a strong job-search history? Is there a commitment to retaining employment?
- **Work-Ready** – Does the individual come to meetings/appointments with professional behaviors (dress, attitude, etc.)?

Training Justification

Finally, customer must meet additional specific conditions in order to be electronically enrolled as a WIOA training participant.

- **Condition 1**- Is unlikely or unable to obtain or retain employment, that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment through the career services alone:
- **Condition 2**- Is in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment:
- **Condition 3**- Has the skills and qualifications to successfully participate in the selected program of training services:
- **Condition 4**- Has selected a program of training services that is directly linked to employment opportunities in the local area or planning region, or in another area to which the individual is willing to commute or relocate:
- **Condition 5**- Is unable to obtain grant assistance from other sources to pay the costs of such training, including such sources as State-funded training funds or Federal Pell Grants, or requires WIOA assistance in addition to other sources of grant assistance, including Federal Pell Grants:
- **Condition 6**- Is determined eligible in accordance with the State and local priority system in effect for adults if training services are to be provided through the adult fund stream:

- Condition 7- TAA Petition Pending -Is a member of a worker group covered by a petition filed for Trade Adjustment Assistance (TAA) and is awaiting a determination (if applicable):

After all criterion are met, the CA is able to identify the participant’s goals, what resources are in place to meet those goals, and where the resource gaps are to allow the participant to be fully supported toward reaching his or her career goals. CA partners with the participant to develop an individual employment plan which drives the provision of training services

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

The intent of services provided through NWDB’s service delivery system (Career Center and Outposts) is to help individuals obtain employment and become economically self-sufficient. After obtaining employment, some individuals require additional assistance to retain their employment. Follow-up shall be provided as appropriate to WIOA Title I Adult/DW participants who are fully determined eligible for intensive and/or training and enrolled after obtaining employment. Career Advisors shall determine whether or not participants require additional assistance to maintain employment. If it is determined that follow-up is required, Career Advisors shall meet with participants bi-monthly basis. This meeting may be in-person or by phone to make contact convenient for the participant. This assistance may be provided for a period of up to one year and must be documented in NCWorks.

6. Describe how:

- a. New NCWorks Career Center staff (DWS, service providers, and partner staff) are trained in the integrated service delivery system model (include a training timeline).
- b. How long after the initial start date does staff have full access to NCWorks.gov?
- c. The staff development activities reinforce and improve the initial training efforts.
- d. Describe the specific training that staff receive around diversity, equity, inclusion, and accessibility.

a. NWDB has a very strategic training model in place for our NCWorks Career Center staff. Because we are an integrated service delivery system, all new hires are trained using the same on-boarding manual that was developed to ensure all new staff are receiving consistent messages. This manual is very extensive and outlines a 6 week on-boarding process. This applies to all staff within the integrated services delivery system, including NextGen staff, of the NCWorks Career Centers. An on-boarding checklist was created to inform all staff of internal expectations that are required for training needs during the first year of employment. The functional supervisor of the new employee is responsible for guiding employees through this process and to provide their signature on categories as confirmation that they are completed. Both the formal and functional supervisors should keep a copy of the completed checklist, with signatures/dates/etc., as part of the new employee’s personnel records. The next step of their training is for them to be trained through the NCWorks system which is to be facilitated by the state analyst so that the new hire can be granted access to the NCWorks system. This is done in weeks 3 and 4. First, the new Pre-101 Checklist is sent to the Regional Analyst and then the new employee spends time practicing in the “sandbox”. Once ready, one-on-one training is provided by the Regional Analyst. After this, an RFA is

sent to the Regional Analyst. The next step is for that individual to be trained on the ISD model in the center and the system so that they can gain full understanding on how we are fully integrated. During all training, new hires get to shadow and observe each functional area which consists of talent engagement, sitting at the front desk, understanding how to sign in and process customers, answer the center phones with the proper greeting, and sending individuals through the orientation process. They will also do job shadowing in the talent development functional area, observe on how to manage and complete enrollments, workshops, and assessments. Next, they will be sitting with someone in our business solutions area learning how to assist job seekers in finding employment, interview tips, and entering job orders. They will also shadow our veteran representative to gain understanding on the veteran process for job seekers. The ISD process is very clear that all staff must be cross trained even though they may be assigned to work in a particular functional area, but they have to be well trained and prepared when needed if the time should come. Each new hire will be provided training in Title I and Title III (Wagner-Peyser) so that they will have the knowledge and understanding on how to work in either role.

b. They are ready in weeks three and four but it often takes longer to scheduled the required training with the Regional Analyst.

c. Continued professional development for staff is extremely important. Staff training is provided every Friday afternoon from 2:00 until closing. Staff also participate in training offered through the NCWorks Training Center and all staff have been required to complete the Facilitating Career Development certification training and now will be required to take the Workforce Foundations course.

d. Career Center staff continue to upgrade and refresh their DEI knowledge through a course of training modules and discussion sessions. The course is available through the NCWorks Training Center, beginning in November 2022. Two staff in our region have been identified as "facilitators" to lead the discussions related to this series. Facilitators notify staff (by email) throughout the region of what modules to review. This email includes a scheduled date for the group discussion. It is recommended that modules are reviewed in sequence for maximum benefit. As new modules are released, staff are prompted to review them. So far, there have been eight modules. The trainings (and brief descriptions) completed are as follows:

Course 1: Diversity, Equity, and Inclusion -This course includes definitions and benefits of diversity, equity, and inclusion. The learner is introduced to these topics: implicit bias, cultural competence, cross cultural dexterity, acceptance, value, and respect.)

Module 1: Creating Psychological Safety in the Workplace- introduces the learner to the concept of psychological safety, how it looks in practice, and why it is a necessary component for successful interactions. (December 2022)

Module 2: Creating a Designed Alliance couples with Psychology Safety and explains how to create a team agreement to shape group expectations. Module 1 and 2 may be considered together or separately. (December 2022)

Module 3: Breaking Generational Stereotypes explains the need to look beyond misguided stereotypes and to emphasize the strengths and contributions of the individual, rather than generalizing based simply on age. (February 2023)

Module 4: Recognizing Implicit Bias examines the unconscious biases that we all have and how to avoid acting on them. It's important to acknowledge that confronting our own biases can be difficult and may even be hurtful. Patience and empathy will help your team work through these issues. (March 2023)

Module 5: Understanding Microaggressions introduces the concept that statements and actions have power, and explores what a microaggression looks like, how to react if you commit a microaggression, and how to avoid them. (June 2023)

Module 6: Equality v. Equity: What's the Difference- Equality and Equity are often thought of as synonymous, but there is a critical difference. This course offers a deeper look at these often misunderstood terms, including definitions, examples in the workplace, and how a focus on equity benefits the workforce and the organization. (July 2023)

Module 7: Working Across Cultures. To work effectively with people from different cultures, you need to be aware of cultural differences and how they impact workplace interactions. In this course, we'll take a look at some of those differences and how to ensure we have positive experiences with people who are on the opposite side of the cultural spectrum. (January 2024)

Module 8: The Impact of Inclusive Language This module will define inclusive language, provide examples in several settings and in the workplace, and deepen your understanding of its purpose and impact. (March 2024)

7. Briefly explain coordination with the Trade Adjustment Act (TAA) to maximize resources and prevent duplicative services. Please include specific details on how case managers for WIOA and TAA programs coordinate to provide seamless services to eligible participants.

There are currently no trained TAA staff in the region.

8. Briefly describe how the NCWorks Career Center serves persons with disabilities.

NWDB has developed a strong relationship with our Vocational Rehabilitation partners. In addition to a representative from our local office participating on our board and being an active member of our Career Center Committee, we also have office space for this representative in one of our career centers, where she can dually assist customers that may have some form of a disability. This presence also enables her to stay up to date on the services of the center, as well as develop relationships with the staff. Customers benefit from

being able to see a career advisor and this VR representative at the same location, expediting services and delivering them more efficiently.

9. Briefly describe the integrated service delivery strategy for serving employers and how the Local Area WDB staff and staff within the NCWorks Career Center coordinate outreach strategies and services to maximize resources and prevent duplicative services.

Members of the Business Services team, which includes NWDB Staff, Career Center Management, DWS Career Advisors, and Veterans Services Staff, meet monthly to coordinate outreach strategies and services. Members of the business services team make joint visits to employers when appropriate, coordinate and attend events jointly, and report services monthly and quarterly to keep each other apprised of the outreach and services they are providing. The Business Services team also keeps members informed of business visits using Basecamp, where information is easily shared and accessible. This can serve to minimize duplication of services and has many other advantages as a communication platform.

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

All individuals that have become a dislocated worker, due to no fault of their own, have the right to file for unemployment. The career center staff are trained to work with RESEA's and as such, are there to assist claimants with fulfilling their responsibilities to maintain benefits. This includes a full orientation, work search verification, workshop attendance and all information pertaining to Title I eligibility and benefits. The goal is to ensure all dislocated workers enter back into the workforce or obtain credentials that can aid them in their career pursuits.

11. Attach a flowchart for services – flowchart must include:

- a. initial one-on-one interviews with customers,
- b. skills assessments, and
- c. determination of the need for further services.

- Name document: Local Area WDB Name Services Flowchart 2024.

12. Attach the Memorandum of Understanding (MOU) between the Local Area WDB and partners concerning operation of the NCWorks Career Center system. [WIOA Section 121(c)(1)(2)(A)]

- Name document: Local Area WDB Name NCWorks Career Center MOU.

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

- a. the review process and the frequency of review for the NCWorks Career Center system in the Local Area, including processes for ensuring quality customer service; and
- b. the roles and any resource contributions of the NCWorks Career Center partners. [WIOA Section 121(a)(3)] [WIOA Section 108(b)(6)(D)]

The Northeastern Workforce Development Board (NWDB) must conduct regular oversight and monitoring of the NCWorks Career Center operations within their 10-county region as required by Federal and State regulations. The goal is to collect sufficient data to:

- Ensure compliance with NWDB One-stop Operator Agreement
- Review Workforce Innovation & Opportunity Act (WIOA) activities for Title I and Title III
- Analyze how services are provided through the NCWorks Career Centers
- Determine any compliance issues in one or more of the WIOA funding streams and one-stop operations

The objective of quality assurance reviews includes:

- Evaluate center compliance with federal, state and local performance measures for workforce programs
- Evaluate center compliance with local policies and procedures
- Evaluate center effectiveness and impact
- Identify center successes and challenges
- Evaluate center performance and service goals
- Provide guidance and technical assistance to ensure quality workforce services are provided to career center customers (employers and job seekers)

NWDB, as the oversight entity under WIOA for Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell, and Washington Counties, takes seriously their role of ensuring that career center services are meeting the needs of the community. This responsibility includes conducting objective quality assurance reviews and providing technical assistance to all centers and service providers.

Note: NWDB is required to procure a One-Stop Operator for the NCWorks Career Center Operations. Therefore, it is the One-Stop Operator's agreed upon duty to ensure that quality assurance procedures for career center operations are adhered to and met on a regular basis.

A full One-Stop Operator Monitoring will take place annually, with the option for additional reviews if there are observations or findings from a previous report. There are three parts to the One-Stop Operator Monitoring:

- a. The One-Stop Operator will be provided with the attached One-Stop Operator Monitoring tool (Attachment A). The Operator will work with the Career Center Managers to complete this tool and submit it to the designated Workforce Development Board (WDB) representative. The One-Stop Operator will have 20 business days to complete and submit this tool.
- b. A desk review of customer files (job seekers and employers) will be conducted. A file sample pool will be chosen randomly and a WDB representative(s) will review the files to determine compliance with

policies and procedures and quality of work. The attached Desk File Review tool (Attachment B) will be used. Desk file reviews will be conducted as part of the overall annual review and may be conducted randomly throughout the year. If random reviews are conducted outside of the annual review, a report of the review will be drafted and shared with the One-Stop Operator and Center Manager(s).

c. WDB representative(s) will conduct an on-site review. This may consist of reviewing the center's appearance, processes, and conducting customer interviews. In addition, a WDB representative(s) will observe some or all career advisors as they are working with customers in the CRC, at the front desk, and at their desks. This on-site review will be conducted at least annually. The WDB representative(s) will use the attached On-Site Center monitoring tool (Attachment C) and Customer Interview Tool (Attachment D).

Once the attachments are completed, WDB representatives will review each of the completed tools and draft a report. This draft report will be sent to the one-stop operator within 20 business days. If the operator has any issues or concerns with the content of the draft report, the operator will have 10 business days to request a meeting with NWDB management to discuss.

Shall the one-stop operator request this meeting to discuss issues and concerns, then NWDB will consider those concerns and execute a final report. Otherwise, the final report will be sent out to the operator, center management and Career Center Committee after the initial 10 business days.

At this time, a meeting will be scheduled with the One-Stop Operator, Center Management, and WDB representative(s) to discuss the final report. The final report may contain Findings, Observations, and/or Technical Assistance. The One-Stop Operator will respond to the final report within 10 business days of receipt of the report to respond to any findings and/or observations.

Findings: A finding is an identification of a specific Federal, State and/or Local policy or procedure with which the agency has failed to comply, and is significant enough to require actions. Findings are followed by required actions to be taken by the One-Stop Operator. A date is provided by which action and/or written response by the One-Stop Operator is expected. The One-Stop Operator will respond to indicate their acknowledgement of required actions, how they will comply with the required actions and if they will implement any other potential solutions.

Observations: Observations may be made of areas needing improvement that do not represent instances of non-compliance, but if not addressed, could become compliance problems in the future. An observation is addressed in the monitoring report via a recommendation. Recommendations include suggested action steps for the One-Stop Operator's consideration that in NWDB's opinion would improve center operations and/or performance. The One-Stop Operator is not required to adopt NWDB's specific recommendation. Regardless, the One-Stop Operator will respond to indicate whether the recommendation will be adopted or will indicate other solutions.

Technical Assistance: comments are used to identify areas needing improvement that are unrelated to compliance, but if corrected, could improve efficiency or effectiveness. The One-Stop Operator is not required to provide any response to technical assistance comments. Additional comments may be used to

highlight positive aspects and/or best practices. A response is not required for additional comments.

Follow-up will be conducted by a WDB Representative to ensure items were corrected as requested by the deadline. Failure to correct these items will result in a non-compliance letter issued to the One-Stop Operator, which will also become part of NWDB One-Stop Operators permanent file. Continued non-compliance may result in probation and/or release of RFP to obtain a new One-Stop Operator.

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NWDB, as the oversight entity under WIOA for Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell, and Washington Counties, takes seriously their role of ensuring that career center services are meeting the needs of the community. This responsibility includes conducting objective quality assurance reviews and providing technical assistance to all centers and service providers.

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A full One-Stop Operator Monitoring will take place annually, with the option for additional reviews if there are observations or findings from a previous report. There are three parts to the One-Stop Operator Monitoring:

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c. WDB representative(s) will conduct an on-site review. This may consist of reviewing the center's appearance, processes, and conducting customer interviews. In addition, a WDB representative(s) will observe some or all career advisors as they are working with customers in the CRC, at the front desk, and at their desks. This on-site review will be conducted at least annually. The WDB representative(s) will use the attached On-Site Center monitoring tool (Attachment C) and Customer Interview Tool (Attachment D).

Once the attachments are completed, WDB representatives will review each of the completed tools and draft a report. This draft report will be sent to the one-stop operator within 20 business days. If the operator has any issues or concerns with the content of the draft report, the operator will have 10 business days to request a meeting with NWDB management to discuss.

Shall the one-stop operator request this meeting to discuss issues and concerns, then NWDB will consider those concerns and execute a final report. Otherwise, the final report will be sent out to the operator, center management and Career Center Committee after the initial 10 business days.

At this time, a meeting will be scheduled with the One-Stop Operator, Center Management, and WDB representative(s) to discuss the final report. The final report may contain Findings, Observations, and/or Technical Assistance. The One-Stop Operator will respond to the final report within 10 business days of receipt of the report to respond to any findings and/or observations.

Findings: A finding is an identification of a specific Federal, State and/or Local policy or procedure with which the agency has failed to comply, and is significant enough to require actions. Findings are followed by required actions to be taken by the One-Stop Operator. A date is provided by which action and/or written response by the One-Stop Operator is expected. The One-Stop Operator will respond to indicate their acknowledgement of required actions, how they will comply with the required actions and if they will implement any other potential solutions.

Observations: Observations may be made of areas needing improvement that do not represent instances of non-compliance, but if not addressed, could become compliance problems in the future. An observation is addressed in the monitoring report via a recommendation. Recommendations include suggested action steps for the One-Stop Operator's consideration that in NWDB's opinion would improve center operations and/or performance. The One-Stop Operator is not required to adopt NWDB's specific recommendation. Regardless, the One-Stop Operator will respond to indicate whether the recommendation will be adopted or will indicate other solutions.

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compliance, but if corrected, could improve efficiency or effectiveness. The One-Stop Operator is not required to provide any response to technical assistance comments. Additional comments may be used to highlight positive aspects and/or best practices. A response is not required for additional comments.

Follow-up will be conducted by a WDB Representative to ensure items were corrected as requested by the deadline. Failure to correct these items will result in a non-compliance letter issued to the One-Stop Operator, which will also become part of NWDB One-Stop Operators permanent file. Continued non-compliance may result in probation and/or release of RFP to obtain a new One-Stop Operator.

NWDB also closely monitors WIOA Title I as follows:

NWDB Program Managers (PM) will perform quarterly reviews to assess Career Advisors (CA) adherence to issuances, protocols, etc. PM's will also assess caseloads per county, analyze performance measures for training providers and state goals, and send at least one success story to the Outreach Coordinator. This is all in the effort to identify areas for improvement, plan for staff training to address common trends, and highlight areas of success.

There are five components to the Title I File Monitoring to be conducted quarterly. This should be conducted quarterly with full reviews submitted by the Program Manager to NWDB Management by the last working day of the month in September, December, March, and June containing information obtained in each step below.

Step 1:

PM's will provide a current number of participants in each program, by county and provide a percentage signifying an increase or decrease in these caseloads from the last quarter. After completing this information, the PM will provide to the career center management in the region. For example:

County	# of Enrolled Adults	# and % Increase or Decrease from Previous Quarter	# and % Increase or Decrease from Same Quarter of Previous PY
Notes from PM	Enrollment Data		

Step 2:

Each program should include at least two participant monitoring files for each quarter and ensure each Career Advisor (CA) has a monitoring at least twice yearly. PM's will review files for all Title I CA's using the attached monitoring tool. After completing the Monitoring Tool, the PM will provide to the CA.

The CA will acknowledge receipt of his/her monitoring files within five business days and must address all areas of correction within ten business days.

The PM will provide copies of the reviews to the NWDB Director (Center managers will also be given copies for CA's with Adult and Dislocated Worker caseloads), as well as any correspondence from the CA outlining their response and corrective actions. Copies of these documents will be kept in a secured folder of the shared drive and may be included in employees' personnel files.

The PM will also provide a summary of trends identified through their reviews, including areas of common success and areas where corrective action (and where applicable, staff training) is recommended to mitigate common issues of mistakes.

Step 3:

THIS STEP WILL ONLY TAKE PLACE ANNUALLY IN JUNE. PM's will pull a training provider program performance report for each training provider on the Approved Training List. The Program Managers should summarize any areas of concern, such as rates of completion vs. enrollees or rates of attained credentials vs. exits. Any recommended steps to address these concerns should be included.

Step 4:

PM's will pull performance measures and current percentage of goals via FutureWorks. A summary of any areas of concern along with recommended steps to address these concerns should be included.

Step 5:

PM's will send success stories for one youth participant and one adult or dislocated worker participant to NWDB Management. This can include those used in board packets.

Partners of the Career Centers include the following. Services from all partners are available to career center customers.

1. NCWorks Career Center
 - a. Provides services to adults and NextGen youth to help them identify and achieve their career goals.
 - i. Soft skills training
 - ii. Career interest and skills assessments
 - iii. Resume preparation and development
 - iv. Job search assistance
 - v. Tuition assistance
 - b. Provides services to employers to assist with recruitment, training, and retaining staff.
 - i. Customized recruitment/screening services
 - ii. Hiring events
 - iii. Training grants for new and existing employees
2. Northeastern Workforce Development Board
 - a. Oversees the NCWorks Career Center in a 10-County region in NENC.
 - b. Administrator of WIOA Title I Adult, Dislocated Worker, and Youth funds.
3. Economic Improvement Council
 - a. Child Care Services and School Preparedness
 - b. Headstart
 - c. Section 8 housing
 - d. Covid Relief Program
 - e. Family Self Sufficiency
4. River City Community Development Corporation
 - a. Affordable Housing
 - b. Economic Development
 - c. Youth Development
 - i. 16-24-year old's-GED Program
 - ii. Job Certification Program
 - iii. Career Readiness workshops

5. United Way
 - a. Community Care Collaborative
 - i. Serves as a local community impact program of the Albemarle Area United Way
 - ii. Provide and offer assistance to those facing temporary emergency crisis
6. NC Career Pathways
 - a. NENC Career Pathways is a partnership that spans 20 counties and includes representatives from 27 local education agencies, nine community colleges, three universities, more than 100 employers, 3 workforce boards, 10 NCWorks Career Centers, and several community agencies.
 - b. The goal of the partnership is to identify and connect people to various programs and services in the region to put them on the path to a career in a high-demand industry.
7. Albemarle Hopeline
 - a. Assistance for Victims of Domestic Violence
 - b. Intervention and Counseling services
 - c. Thrift Store
8. Telamon
 - a. Early childhood and family support
 - b. Workforce and Career Services
 - c. Housing and Financial Empowerment
9. Inter-County Public Transportation Authority
 - a. Low or No Cost Transportation Services
 - b. ICPTA
10. Vocational Rehabilitation
 - a. Employment Assistance with disabilities
 - b. Employers benefit from no cost service & resources that increase the workplace productivity.
11. College of The Albemarle
 - a. Career Development Center (CDC)
 - b. GED (lower level and higher-level participants),
 - c. Continuing Education
 - d. Short Term Training
 - e. Associates Degrees
12. Elizabeth City State University
 - a. 4-year institution offering bachelor degrees
 - b. Project Gap
13. Community Corrections Offices
 - a. Probation and Parole
 - b. Juvenile Justice

14. Describe how the Local Area WDB facilitates access to services provided through the NCWorks Career Center delivery system, including in remote areas, through the use of technology and through other means. [WIOA Section 108(b)(6)(B)]

The local Area WDB heavily promotes the NCWorks Career Centers and its services in different ways. Starting with social media - the WDB consistently posts general information about the different services offered at the career center on its social media platforms, which includes information on how to directly connect with the center. At times, individual services are featured to highlight its benefits.

The local WDB sends out weekly email blasts, highlighting services to job seekers and businesses.

There is an NCWorks app that can be used by customers who have, at some point, registered in the NCWorks system. The app provides notifications on events, including workshops, job fairs, and training opportunities.

Job-search stations are set up in various DSS offices within the region as a convenience to some of those most in need. These stations allow individuals to connect to services through NCWorks Online.

There are outpost locations, with some being in the most remote areas of our region. In the outpost locations, staff are available to provide many of the services offered through the NCWorks Career Center.

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

The NCWorks Career Centers are using NCWorks Online as a way of tracking information for intake and case management purposes. In addition, they utilize a number of platforms: Microsoft Teams and Zoom for face-to-face meetings and Dropbox Sign for signing documentation. NCWorks allows the capability to track traffic virtually and in person by inputting activity codes.

NCWorks allows the capability to work from anywhere therefore new online forms enabled a more seamless flow to complete talent engagement steps, RESEA appointments and job searches over the phone. We continue to utilize the Scheduler system to unite our partners in an integrated fashion to help provide joint services when in the office. In assisting our job seekers and employers we have been able to email links for them to access Traitify and other assessments provided by Aspiring Minds/Televation that are requested by employers. Other technology includes but not limited to laptops, new VOIP phones, and cell phones.

16. Describe how entities within the NCWorks Career Center system, including Career Center operators and partners, will comply with Section 188, if applicable, and provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) regarding the physical and programmatic accessibility of facilities, programs and services, technology, and materials for individuals with disabilities. [WIOA Section 108(b)(6)(C)]

We have had ADA reviews for both of the career centers in our region to ensure compliance with ADA requirements. We have implemented measures and/or actions to make our centers (and its services) accessible to individuals with disabilities, in regard to the functional areas of vision, hearing, access to computers, learning, and mobility.

Mobility: The center meets programmatic and physical accessibility requirements.

Vision: The center has enhanced views for individuals with vision impairments, to include larger monitor screens, larger printed/computer fonts, and software that can convert screen text into spoken words.

Hearing: The center has phones with amplification capabilities, space for isolation to eliminate audible distractions, speech to text capabilities on computers and smart phones, and smart phone apps, such as American Sign Language.

Access to computers: Workstations are height-adjustable, designed to accommodate wheelchair users.

Learning: Materials are printed in language that is easy to understand (3rd to 5th grade level), or made available to accommodate individual learning styles, including those with limited or no reading skills. Translation capabilities are available on all resource computers.

Any review findings have been addressed and resolved, when and where possible.

VI. Employer Services

1. Please describe the efforts of the Local Area WDB staff, Employer services staff and Career Center staff have made to deliver business services on a regional basis in the following areas:
 - a. Utilizing regional and local economic data to inform priorities [WIOA Section 108 (b)(1)(A)(i)(ii) and (B)].
 - b. Collaborating with employer-facing partners such as Agricultural Services, Foreign Labor and Veteran Services to meet employer needs and jobseeker recruitment efforts.
 - c. Providing local and regional Rapid Response services, including identifying struggling and at-risk businesses and providing services to help avert layoffs. [WIOA Section 108 (b)(8)]
 - d. Coordinating with DWS TAA and Business Services staff to provide Rapid Response assistance and appropriate career and training services to workers for whom a petition has been filed. (20 CFR 618.816)
 - e. Including Historically Underutilized Businesses (OG 20-2021)
- a. Members of the employer services team meet with local area businesses to listen to their workforce needs, especially employers that have difficulty filling open positions in high demand industry sectors. The employer services staff takes the information learned from conducting this needs

analysis to assist the business by providing appropriate services or referrals to partners such as who can assist with needs outside of what the WDB can provide. NWDB also uses Lightcast, a labor market analytics and data software, to provide employers with local and regional data to assist them with decision making to ensure the employer is competitive and informed with the labor market of the region. This software is also used to provide regional industry data to economic development professionals to use in business recruitment and expansion as well as educators when making CTE and career cluster decisions to ensure they align with the hiring needs of local and regional employers. NWDB's region no longer has as many local economic developers but we continue to have strong partnerships with regional economic development organizations including EDPNC and NCEastAlliance. Members of both organizations promote business services offered by NWDB. Local and regional economic developers make referrals to NWDB when there is a recruitment or training need and are advocates for NWDB's business services and work-based learning. NWDB also participates in recruitment and expansion meetings and discussions and provides workforce data relevant to such discussions. NWDB regularly provides labor market data for local/regional economic developers to use in their recruitment efforts as well as their reporting. NWDB uses a labor market analysis software that enables staff to provide industry and occupation analytics specific to the region and Southeastern Virginia, where many individuals of the workforce commute for work. A myriad of reports are available through this software and makes NWDB a valuable partner for many local agencies seeking such information. For example, NWDB can use Lightcast to find in demand occupations and emerging skills needed in our region's key industries, it allows us to look at skills transferability between occupations and analyze options for dislocated workers and we can study job postings analytics to see the job titles and skills that local employers are seeking. Finally, NWDB has many other business services partnerships such as the the Small Business Center and Small Business and Technology Development Center. These partners are in constant contact with one another, especially when preparing for a new business to expand or relocate to the region or when a business is facing downsizing or closure situations.

b. Business Services team members, which include Veterans Services staff, have monthly meetings to discuss work-based learning opportunities and current employer projects. Business services staff do individual and joint business visits to promote work-based learning opportunities. Staff use current job openings to get a pool of businesses seeking to fill open positions and inform employers that WBL opportunities are available and can help them fill open positions and hire qualified candidates. During needs analysis with businesses, should there be for services of DWS Agricultural and Foreign Labor staff, a referral to the appropriate representative is made.

c. NWDB operates under the premise of our Rapid Response protocol that allows us to ascertain what local resources may be needed to help businesses that have to layoff individuals in the near future. As businesses in the NWDB region face layoffs and closure, NWDB staff, program managers and center managers are tasked with organizing and implementing a local Rapid Response event. In order for these events to be consistently planned and staffed, a protocol was developed for all staff to adhere to. A team of local partners, such as those from SBTDC, is convened to ensure that all available resources are provided to struggling businesses. With the receipt of a WARN notice from the Division of Workforce Solutions, contact from a Company Official, contact from the Division of Workforce Solutions Local Office, and/or notice in the media, NWDB's Director will contact his core partner group in the affected county to inform them of the pending closing/significant layoff. As set forth in the state

protocol, if the layoff involves 100 or more employees, the Division of Workforce Solution contacts Company officials to arrange Rapid Response activities and informs the LA Director for local coordination. If the layoff involves less than 100 employees, NWDB will continue their past efforts of providing the same Rapid Response activities on the local level. NWDB will utilize a power point presentation of all available services with contact information in meeting with company officials in the Rapid Response meeting and in the employee orientation sessions. Each company official and affected worker will receive a copy of the power point for their future reference. At a minimum, staff from the NCWorks Career Centers, the Community College, and Vocational Rehabilitation will participate in the Rapid Response and employee orientation sessions. In some situations, NWDB will utilize the state's Mobile Career Center. NWDB Business Services Representative will likely play the lead role in coordinating the rapid response.

d. There have not been any TAA customers in NWDB's region for many years and there are no DWS staff in the region training in TAA.

e. NWDB has many HUB businesses located within their region. Business Services staff have worked with many businesses that are registered in the HUB database to provide services such as meeting onsite to conduct needs analysis, assisting with hiring and related job orders, providing labor market information, and utilizing work-based learning opportunities including OJT and Employee Training Grants. The Business Services staff utilizes the HUB database to indicate HUB employers for outreach and works closely with the SBTDC and SBC to receive and make referrals for services for these businesses.

2. Please describe employer-focused partnership efforts in the areas of education and training and economic development in the following areas:

- a. Enhancing the use of On-the-Job Training (OJT), Incumbent Worker Training (IWT), apprenticeships, and other work-based learning opportunities to support the regional economy and individuals' career advancement.
- b. Coordinating and promoting entrepreneurial skills training and microenterprise services. [WIOA Section 108 (b)(5)]
- c. Participating in regional economic strategic planning and economic development recruitment, retention and expansions with employers, education partners and economic developers. [WIOA Section 108 (b)(4)(A)(iii)].

a. Members of the employer services team meet with local area businesses to listen to their workforce needs, especially employers that have difficulty filling open positions in high demand industry sectors. Through strategic collaboration with the Career Advisors of the system, this team also provides support for the initiation and development of work-based learning opportunities provided through the Career Center system. Employer Marketing Strategies include the following: Contacting current and past employer customers regularly to offer WBL, Seeking referrals from current/past employer customers to other employers who may be interested in WBL, Analyzing existing job seeker pool to identify which employers and industries to contact, Promoting WBL specifically on

website, Working with Chambers of Commerce and Economic Developers to promote WBL, Marketing WBL to businesses who participate in other workforce training programs. NWDB has also put into place a deliberate and consistent outreach program for reaching employers already registered in NCWorks to make them aware of work-based learning opportunities. For example, when an employer posts a new job order or simply registers in NCWorks, the Business Engagement Coordinator contacts them via email to schedule a discussion about their immediate and future workforce needs. Without this type of outreach, employers that register in the system may not ever know about the many services available to them. It's important that staff are proactive in reaching out first. The business services staff of NWDB also works closely with its adjacent workforce boards (Rivers East & Turning Point) in the effort to offer on-the-job-training opportunities for participants and businesses that are separated by workforce regions. For example, if a business in one WDB region seeks a participant for OJT employment that resides in a different WDB, the two boards work together to make this as simplified as possible for the business as they don't always understand the technicalities of WDB county coverages. The boards also work together to align local incumbent worker policies as closely as possible so that businesses throughout our prosperity zone do not have to understand the different intricacies of varying policies and procedures. Additionally, the business services staff of each board works together to provide labor market information to regional economic development firms (i.e., NCEast Alliance).

- b. NWDB has a very close relationship with the College of the Albemarle Small Business Center. The main focus of the small business center is to provide support and assistance to entrepreneurs. We provide direct referrals to the small business center for both our jobseeker and business customers. Aspiring entrepreneurs can access the following services at the Small Business Center:
- o Confidential counseling to help deal with business needs
 - o Training and technical assistance in starting a business
 - o Business skills seminars, workshops and courses
 - o A library with various publications and literature
 - o Business plan assistance

NWDB also has a very close relationship with the Small Business and Technology Development Center (SBTDC) at Elizabeth City State University. The SBTDC holds various workshops including a Preventure Training. This workshop has three modules as follows:

- o Starting your business: increase your chance of success
- o Developing your business plan
- o Funding options for your business

NWDB has a strong relationship with local and regional economic developers, such as representatives from EDPNC and NCEastAlliance. Members of both organizations promote business services offered by NWDB. NWDB also participates in recruitment meetings and provides

workforce data relevant to such discussions.

- c. NWDB uses a labor market analysis software that enables staff to provide industry and occupation analytics specific to the region and Southeastern Virginia, where many individuals of the workforce commute for work. A myriad of reports are available through this software, Lightcast, and makes NWDB a valuable partner for many local agencies seeking such information. For example, NWDB can use Lightcast to find in-demand occupations and emerging skills needed in our region's key industries, it allows us to look at skills transferability between occupations and analyze options for dislocated workers and we can study job postings analytics to see the job titles and skills that local employers are seeking. Finally, NWDB has many other education and business services partnerships such as the Small Business Center, local community colleges, and Small Business and Technology Development Center. These partners are in constant contact with one another, especially when preparing for a new business to expand or relocate to the region or when a business is facing downsizing or closure situations.

VII. Performance

U.S. Department of Labor (USDOL) has the following WIOA Performance Indicators:

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

1. Examine the Local Area WDB's current Adult, Dislocated Worker, and Youth performance on the Federal Primary Indicators of Performance for PY 2022-2023 and prior Program Years. (Reports available via FutureWorks BI.) What are some factors that have impacted performance levels both positively and negatively in the current program year?
 - a. Provide at least two examples of positive factors and two examples of negative factors with an explanation of each. Some examples to consider include:
 - unemployment rate
 - factory closures/openings
 - economic development recruitment
 - retention and expansion efforts
 - regional industry growth priorities
 - weather events and natural disasters that may have impacted the area
 - internal operational factors

b. Are there any factors that you anticipate will impact your performance during the upcoming program year(s) either positively or negatively?

Overall, NWDB has consistently done well with performance. Two areas in which we have worked on improving are credentials and measurable skills gains. Our program managers have stressed this with staff and have conducted trainings and one-on-one sessions and that has resulted in NWDB passing these performance measures.

There are many factors that affect performance, some within our control and some not within our control. Something that can affect performance negatively is if Career Advisors enroll participants in a particular training in which they don't have the skills and qualification to successfully participate. It's imperative that Career Advisors conduct appropriate assessments and only enroll participants in a training in which they believe the participant has the skills and qualifications to successfully participate – otherwise they are setting the participant up to fail, which negatively impacts our performance. NWDB works hard to ensure Career Advisors are properly trained to do this. We also have a Suitability Issuance which outlines the Career Advisors responsibility to take into consideration a number of factors before enrolling participants in training including timeliness, reliability, aptitude, engagement, and commitment. Conducting appropriate assessments and enrolling participants in appropriate trainings impact performance positively.

Another factor that can have either positive or negative impacts on performance is our approved training list. It's very important for approved trainings to be linked to in-demand occupations within our local area. Supporting trainings that are not linked to in-demand occupations can have a negative effect on performance, while supporting trainings that are linked to in-demand occupations can have a positive effect on performance. NWDB works hard to ensure that the trainings on our approved training list are linked to in-demand occupations in our area.

Something that can negatively impact performance is staff turnover. It takes an extensive amount of time to train staff on the intricacies of performance and how their day to day work impacts performance.

Another factor that has negatively impacted our performance was that our community colleges converted to mainly online learning, as opposed to face-to-face learning, for most of the past year. Many of our participants have reported that they do not feel engaged in online classes and that they believe they are better able to learn through face-to-face instruction.

There is really nothing in particular that we anticipate impacting performance in during the upcoming program years.

2. What strategies and methods are in place to meet or exceed performance goals? Include information about tracking performance, ensuring accountability of positive performance outcomes, and training.

Consider including the following information:

- Who is responsible for tracking performance?

- Which reporting resources are used?
- Is FutureWorks BI employed? If so, how, and how often?
- How often is training provided to staff?

Center staff are made aware of performance expectations and how their day-to-day activities contribute to achieving those expectations. Staff have been made aware that their goal is not to “put someone in training”, their goal is to help each and every one of their customers to obtain employment and develop careers leading to family-sustaining wages. The NWDB Career Center Committee and Business Resources and Opportunities Committee work to ensure that approved training programs are tied to in-demand job opportunities to ensure the likelihood that participants will obtain good employment.

In addition, we provide services to center customers by identifying and implementing "functional teams" within the ISD model. Utilizing functional teams creates the streamlining of roles, allowing for more individualized attention and focus on customers' needs. Having staff serve by focus areas increases the likelihood that more products (services) are promoted to the customers, which increases the customers' chance of reaching the identified goals. Our goal is to develop the most marketable/competitive candidate possible. Our teams are identified as: Talent Engagement, Talent Development, and Business/Employment Solutions. The Business/Employment Solutions team serves as the liaison between the job-seeker and the employer, with a focus on the job-seeker. Business/Employment Solutions works to accommodate the job-seekers' requirements for self-sufficiency. We believe it is important to have dedicated staff to focus on connecting our center customers with job/career opportunities that directly match their skills and interests to ensure that they obtain and maintain employment with good wages.

We also believe that continuous staff development is a crucial element of all of our professional journeys and in improving the quality of our services. Quite often people ask “what is the difference between NCWorks and other job search sites?”. The answer to that question is “our well-trained professional staff”. The professional services and support provided by NCWorks staff is what elevates us from those other job search sites. Staff training is provided by local training, conferences, the NCWorks Training Center, online training resources and site visits from professional workforce development experts.

We have a performance dashboard that is collected and reviewed monthly with center managers to identify areas for improvement. Center managers then discuss with career advisors to act on those improvements. The Career Center Committee also reviews this monthly and shares quarterly reports with the full board. The dashboard contains data pulled from both NCWorks and Futureworks. Our Adult/DW and NextGen Program Managers also review the performance reports from Futureworks on a quarterly basis and make written recommendations on how to make improvements, which are presented to the NWDB Director and Assistant Director.

In addition, our SuperUser views our federal performance on a regular basis throughout the year. If there are particular areas of concern, this is addressed with the Career Advisors.

3. Discuss what corrective action steps are in place if, at any point during the program year, the Local Area WDB is not on track to meet or exceed yearly performance indicator goals.

This question is intended to be hypothetical and is seeking what plan the Local Area WDB has in place to address failing performance, if it were to occur. Answers should address how the Local Area WDB:

- monitors performance,
- communicates with staff,
- makes changes to Local Area WDB performance and training strategies based on reporting data,
- and utilizes follow-up accountability measures.

NWDB Superuser views our federal performance measures on a regular basis throughout the year. If there are particular areas of concern, this is addressed with the Career Advisors.

Depending on what the area of deficiency is, Career Advisors may place a stronger emphasis on reaching out to participants and partner agencies and ensure documentation in NCWorks Online. For example, if there is a deficiency in credential attainment, Career Advisors will research in NCWorks and reach out to participants to determine if credentials were actually obtained. If so, it will be entered in NCWorks. If not, they will work with the participant to find out what went wrong and determine how to meet the goal.

The area of deficiency may require formal staff training. If so, this is typically done on Friday afternoons with the Career Center is closed to the public.

After training, and after the Career Advisors have done what they can to improve the performance deficiency, the SuperUser continues to monitor performance to see if the remediation efforts have had their intended impact.

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

Consider including the following information:

- a. How is performance tracked in your organization?
- b. How is performance information communicated with staff?
- c. How are staff/contractors held accountable?
- d. How is training provided in your organization?

NWDB pays for access to the FutureWorks software which allows us to monitor performance by running reports for all of the WIOA performance measures. We review these reports as needed but at a minimum on a quarterly basis. The reports are shared with the NWDB Program Managers, the NCWorks Career Center Managers and Career Advisors – electronically and via print-out as needed. Conversations are then held verbally. If there are concerns regarding performance, a meeting is held with the Program Managers, Career Center Management, and the NWDB Director to discuss strategies for improvement. In addition, NWDB Management frequently meets with Career Center Management regarding center activities and customer

outcomes to assure that performance measures are met. Also, the NWDB Career Center Committee has developed a performance dashboard as part of their strategic action plan and are in their fifth year of using this dashboard which is in Excel. They view this electronically and via a pdf print-out as needed. The committee uses this dashboard to monitor the performance of each career center to ensure that the Centers are meeting performance expectations, and if not, corrective action will be taken. The Committee shares the dashboard with the full board on a quarterly basis. The board can view this electronically as part of the meeting packet or view as a pdf print out.

Center staff are made aware of performance expectations and how their day-to-day activities contribute to achieving those expectations. Staff have been made aware that their goal is not to “put someone in training”, their goal is to help each and every one of their customers to obtain employment and develop careers leading to family-sustaining wages. The NWDB Career Center Committee and Business Resources and Opportunities Committee work to ensure that approved training programs are tied to in-demand job opportunities to ensure the likelihood that participants will obtain good employment.

When Career Advisors are made aware of areas of weakness, they place a stronger emphasis on reaching out to participants and partner agencies and ensuring documentation in NCWorks Online. For example, if there is a deficiency in credential attainment, Career Advisors will research in NCWorks and reach out to participants to determine if credentials were actually obtained. If so, it will be entered in NCWorks. If not, they will work with the participant to find out what went wrong and determine how to meet the goal.

Training is provided as needed and is typically held on Friday afternoons when the career center is closed to the public.

5. Discuss the factors that contribute to the Local Area WDB’s credential attainment indicator.
 - a. What are the challenges that the Local Area WDB faces in achieving its credential attainment goal?
 - b. What are some of the strategies that contribute to the Local Area WDB’s success in achieving its credential attainment goal?
 - c. How do case managers make use of NCcareers.org and the NC Workforce Credentials list?

Credential attainment can be challenging at times due to a number of factors. Participants who come to us for training assistance often encounter barriers that make it difficult to complete their training program. Even participants who are fully committed to their training program and who have the necessary supports in place at enrollment are at risk of experiencing changes in their personal lives that prevent them from attaining the credential they are working towards. Challenges related to transportation, family care, the health of the participant, and other factors sometimes arise and can prevent participants from successfully completing their training program. Additionally, the current job market currently offers more opportunities and higher wages than it has in the past which can persuade some participants to pursue immediate employment in lieu of completing their occupational training program. Additionally, there is a lack of resources for tracking educational attainment outcomes through means other than manual entry into NCWorks. This can cause credentials to be missed through human error and in situations where the

participant becomes unresponsive.

In order to assist us in achieving our credential attainment goal, we stress in ongoing training with frontline staff the importance of suitability determination before enrolling a participant for training. This process begins from the first meeting the participant has with a Career Advisor and continues throughout their enrollment. We also stress the importance of evaluating the supports an applicant has in place during the objective assessment to ensure that any barriers the person has can be addressed and that they can reasonably be expected to complete their intended training program. We also review performance numbers throughout the year to highlight areas of strength and areas of opportunity. This allows us to celebrate our successes and develop strategies for improvement when needed. Program Managers periodically run credential reports and ask Career Advisors to review the files of all participants included in the credential pool to ensure that all credentials earned have been documented in NCWorks. When a participant is not successful in earning their intended credential but still interested in pursuing training, Career Advisors work with them to update their plans and find creative ways to assist the participant in earning a credential that may be a better option for them, such as the shorter-term trainings.

Case Managers use NCcareers.org to administer assessments and review labor market information.

6. When selecting an eligible training provider from the State Eligible Training Provider List to certify for local use, what is the review process the Local Area WDB uses to make this decision? How does the Local Area WDB ensure informed customer choice in the selection of training providers? In other words, how are customers advised that they have options in choosing their provider? [WIOA Section 108(b)(19)]

Our local approved training list includes a variety of training providers in order to provide customers with options and to ensure we are supporting a wide range of training programs to ensure we are meeting the needs of local employers. Hard copies of the approved training list are available at our Career Centers and regularly provided to interested customers by Career Advisors. When determining whether to add a training program from the state ETPL to our local approved training list we review information on the training provider and the training program including licensure and accreditation info, approximate cost of completion, length of the training program, expected outcomes, graduation rates and performance data, employment rates after graduation, expected wages, partnerships with local employers, demand for the resulting skills/credentials in the local area, what accommodations are offered for students with disabilities, and the process for securing placements for programs that require clinical hours. After reviewing this information, we make an overall determination as to whether or not the training program can be expected to effectively prepare our customers for in-demand jobs in the local area.

7. Indicate whether the Local Area WDB has additional requirements for training providers above and beyond those requirements stated in the State ETPL policy. Does the Local Area WDB make use of USDOL's trainingproviderresults.gov website in its evaluation of which training providers to certify for local area use? If so, how?

We do not have additional requirements, but there are additional items we consider as part of our local review to make a determination as to whether a training provider or training program is a good fit for our local area. Those items include licensure and accreditation info, approximate cost of completion, length of the training program, expected outcomes, graduation rates and performance data, employment rates after graduation, expected wages, partnerships with local employers, demand for the resulting skills/credentials in the local area, what accommodations are offered for students with disabilities and students with limited English proficiency, and the process for securing placements for programs that require clinical hours. We were unaware of the existence of USDOL's trainingproviderresults.gov. After reviewing the site, it appears that it could be a useful tool that we will use in the future and wish we had known about sooner.

- Name Document: *Local Area WDB Name ETPL Policy.*

VIII. Equal Opportunity

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

NWDB staff, DWS staff and the staff of our partner agencies receive training annually from the NCWorks Training Center, to reinforce equal opportunity laws and policies. Additionally, Mose Dorsey, WIOA Equal Opportunity Officer for the NC Department of Commerce, monitors NWDB's files and documents annually to assure that there is no discrimination taking place at a staff level. When participants are enrolled in WIOA they are made aware of our Equal Opportunity policy and how to file a complaint if they feel that they have been discriminated against. Participants sign off on an acknowledge document which becomes part of their official record.

2. Attach the Local Area WDB's current Equal Opportunity (EO) Complaint Grievance Procedure to address EO requirements [29 CFR 38.35].

- Name document: *Local Area WDB Name EO Complaint Grievance Procedure.*

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

EEO monitoring occurs annually to ensure procedures are up to date along with EEO Training annually of all staff regarding EEO requirements.

IX. Adult and Dislocated Worker Services

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

Adult and Dislocated Worker education and training services are provided throughout our region through our two certified career centers and a number of outpost locations. Individuals are reviewed for consideration after being referred or identified by various agencies and sources. Once the referral is received, the individual is routed through a vetting process, beginning with a Title I orientation. After a completed orientation, the individual advances into program eligibility, funding suitability, and training justification. Eligibility and suitability are determined based on a number of factors, including informal and formal assessments. Funding is only provided for training programs that have been identified as "in demand" trainings (that will lead to sustainable employment).

Once all criteria is met, the CA and customer will partner to identify the education and/or training and employment goals, what resources are in place to meet those goals, and where the resource gaps are to allow the participant to be fully supported toward reaching his or her career goals. CA partners with the participant to develop an individual employment plan (IEP) which drives the provision of training services. Throughout training, CA maintains (and documents) contact with the participant, providing counseling, encouragement, guidance, motivation, and supports to help move the participant forward.

At (or just prior to) the completion of training, CA partners with the Business Engagement Coordinator(BEC), who maintains connections with employers and remains abreast of employers' needs. Together the CA and the BEC are able to match employers with the available talent.

As with any process, there are areas of strength and areas of opportunity. One strength is that the vetting process is carried out in such a way that it allows for genuine relationship-building, which is crucial to the success of Title I enrollments. We rely on good relationships to stay connected with participants, whether situations are good or bad. Also, we have built and maintained strong partnerships with our training providers, which enhances the support of the participant and the ability to obtain follow-up data, when training is completed.

One of the areas of opportunity involves the development of the IEP and its weight in the provision of services. More focus is being placed on the individualization and authority of the IEP, rather than a cookie-cutter document that's completed only to check off a tick box. Training on this topic has been requested from programmatic monitors and through the NCWorks training system.

2. Provide a description and assessment of the type and availability of adult and dislocated worker employment and training activities in the local area. [WIOA Section 108(b)(7)]

Adult and Dislocated Worker employment and training services are provided throughout our region through our two certified career centers and a number of outpost locations. Jobseekers who are new to the services are provided an orientation (through video, Power Point, or verbal communication), followed by an initial assessment to determine skills and interests. Once skills and interests are assessed, Career Advisors (CA) will attempt to match the jobseeker with available positions. This may require the development or revision of the jobseeker's resume, job search, job leads, job development contacts, labor market education, workshops, proficiency testing, or referrals to other services/resources, as needed.

If the jobseeker is unable to obtain satisfactory employment with current skills, education, and basic employment assistance, then more formal assessments are/can be conducted to help determine if training is required. Training can be either formal or informal, classroom or on-the-job (OJT). If informal training (with no funding requirement) is needed and available, the jobseeker will be connected with the appropriate resource to pursue that training, if desired. If formal training is required (and desired), the jobseeker is then further evaluated for funding consideration.

Consideration for training funding starts with the jobseeker being referred to a Title I orientation, then advancing through a vetting process to include the determination/confirmation of program eligibility, funding suitability, and training justification. Funding is only provided for training programs that have been identified as "in demand" trainings or for OJT situations in which required conditions are met.

Once all criteria are met, the CA and customer will partner to identify the education, training and employment goals, what resources are in place to meet those goals, and where the resource gaps are to allow the participant to be fully supported toward reaching his or her career goals. CA partners with the participant to develop an individual employment plan (IEP) which drives the provision of training services. Throughout training, CA maintains (and documents) contact with the participant, providing counseling, encouragement, guidance, motivation, and supports to move participant toward successful completion of training and into employment.

3. Provide the date and process for the competitive procurement of the Adult and Dislocated Worker Programs that ensures an arm's-length relationship between the Local Area WDB and service delivery. Include the expected length of the contract(s) (one to three years and the current year status of the contract (e.g., two of three years). Identify any service provider contract extensions. [WIOA Section 108(b)(16), CPS 04-2022]

For PY 2024 WIOA Title I Adult, Dislocated Worker, and Youth Services, NWDB released a notice of intent via local newspapers, directly to national and local potential bidders, and posted on the NWDB website, and posted on the National Association of Workforce Development Professional's website for national exposure. It was sent to ten national providers that have done services in North Carolina.

Offerors had the option of applying for Adult/Dislocated Worker Services and/or Youth Services. No potential offeror attended the required Bidder's Conference held on February 29, 2024. Although the RFP required attendance at the Bidder's Conference NWDB also waited to see if proposals were received by the due date. No proposals were received.

NWDB contracted with MaryAnn Lawrence of PowerNotes LLC to manage the procurement process. PowerNotes LLC provided a recommendation to NWDB to request a waiver to provide WIOA Adult,

Dislocated Worker, and Youth services in-house for PY 2024 based on the failed procurement. NWDB approved the recommendation with a unanimous vote at their meeting on March 19, 2024.

On April 12, 2024 NWDB submitted a waiver request to DWS in accordance with CPS 04-2022.

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

4. Attach the Local Area WDB's Adult/Dislocated Worker Service Provider list effective July 1, 2024 using the PY 2024 Adult/Dislocated Worker Service Provider List provided.

- Name document: *Local Area WDB Name PY 2024 Adult/Dislocated Worker Service Provider List.*

5. Describe the Local Area WDB's vision for serving the WIOA eligible Adults and Dislocated Workers to include (a) high level goals, (b) outreach strategies, (c) services delivery, and (d) expected outcomes.

NWDB fosters employment of northeastern North Carolinians by enriching the skills and suitability of candidate employees for the businesses of the region. Our goal is to help the emerging, existing and transitioning workforce. The citizens of our region are informed and educated about Adult and Dislocated Worker services through strong relationships with the community colleges and other partners in our region. Increasing the awareness of customers as part of the services of the NCWorks Career Centers, and by use of technological platforms, also contribute to the overall outreach strategy. NWDB participates in community events frequently to increase the visibility and awareness of Adult and Dislocated Worker services. In addition, we are very active with social media, especially Facebook. Social media is a great outreach tool.

When customers meet with staff in the NCWorks Career Centers or outpost locations, they receive a tailored experience, which include assessing the needs of the whole person. Career guidance, counseling, and planning, in partnership with the customer, and helping with access to resources to meet all needs increase chances of more successful training and employment outcomes. Our expected outcome for all participants is obtaining and retaining employment with self-sufficient wages.

6. Describe the Local Area WDB's method for ensuring that a sufficient number of adults receiving individualized career and training services in the Local Area are from one of the following priority of services categories: public assistance, low-income individuals and individuals who are basic skills deficient. [134(c)(3)(E), 3(24)]

NWDB has developed a priority of service policy that ensures priority for career and training services is given to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient. There are five levels of priority. Level 1, which is the highest priority, is given to veterans and eligible spouses who are recipients of public assistance, low-income, and/or basic skills deficient. The second level of priority is given to non-veterans who are recipients of public assistance, low-income, and/or basic skills deficient. All staff have been trained on NWDB's priority of service policy. In addition, during orientations and at outreach events, staff promote these priority categories as an intentional way of promoting services to those who meet these priority categories.

7. Describe follow-up services provided to Adults and Dislocated Workers. [WIOA Section 134(c)(2)(xiii)]

Follow-up shall be provided as appropriate to WIOA Title I Adult/DW participants who are fully determined eligible for training services and enrolled after obtaining employment. Career Advisors shall determine whether or not participants require additional assistance to maintain employment. If it is determined that follow-up is required, Career Advisors shall meet with participants on a bi-monthly basis. This meeting may be in-person or by phone to make contact convenient for the participant. This assistance may be provided for a period of up to one year and must be documented in NCWorks.

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

8. Please describe the process for monitoring the service provider(s) in the Local Area WDB. Include details such as how it is conducted, who is involved, and how often.

NWDB has an issuance for monitoring Title I Adult/DW and Youth. NWDB staff perform quarterly reviews to assess Career Advisors (CAs) adherent to issuances, protocols, etc. NWDB staff address caseloads per county, analyze performance measures, and provide at least one success story. There are five components to this monitoring process.

Component #1: NWDB staff provide a current number of participants in each program, by county, and analyze changes from the previous quarter and the previous year. This information is shared with the Center Manager.

Component #2: NWDB staff obtain a random sample of files and use the approved file monitoring tool to

review those files. Copies of these reviews are provided to the NWDB Director, as well as any correspondence from the CA outlining their response and corrective actions.

Component #3: This step takes place annually in June. NWDB staff pull a training provider program performance report from Futureworks for each training provider on the approved training list. Areas of concern, such as rates of completion vs enrollees or rates of attained credentials vs. exits are summarized.

Component #4: NWDB staff pull performance reports from Futureworks. They summarize any areas of concern and provide recommendations to address the concerns.

Components #5: NWDB staff work with Career Advisors to obtain at least one success story.

All of this is reviewed with the NWDB Director and Assistant Director.

X. Youth Services

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

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

1. Provide a general overview of the local current total population (within five years) of the Title I WIOA eligible youth by Local Workforce Development Board area. Include the following general information:

In-School Youth Analysis

- a. Approximately, what number of the Youth are ages 14-21?
- b. Approximately, what percentage of these youth are low-income (eligible for WIOA In-school program)?
- c. Approximately, what number of these Youth are in the current school dropout statistics?

Out-of-School Analysis

- a. Approximately what number of Youth ages 16-24 of the current total population (within five years) make up the population?
- b. Youth ages 16-24 represent what % of the population?
- c. What are the general educational levels of this age group?
- d. What is the general employment status of this age group?

Note: Based on guidance received from our planner, the below answers are based on data from youth who were enrolled in our NextGen program during PY22.

In-School Youth Analysis:

- a. All of our ISY are between the ages of 16-21 at participation.
- b. 100% of ISY who were active during PY22 were low-income at participation.
- c. All of our ISY are enrolled in a secondary or post-secondary educational program at participation, so none of them are included in school dropout statistics.

Out-of-School Youth Analysis:

- a. All of our OSY are between the ages of 16-24 at participation.
- b. 100% of OSY in our NextGen Program were between the ages of 16-24 at participation.
- c. The majority of OSY have a high school diploma or equivalent and no additional post-secondary education or training at enrollment.
- d. The majority of OSY in our NextGen Program in PY22 were unemployed at participation.

**NC Division of Labor and Economic Analysis Division (LEAD) is a data resource.*

2. Based on the analysis in question 1, does the local Workforce Development Board plan to serve In-School Youth?

Yes.

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

Youth Workforce Activity	Activities For Persons with Disabilities?	Brief Assessment/Model Used	Success Rating
Tutoring, study skills training, instruction, and evidence-based dropout prevention and recovery strategies	Yes	Sylvan Learning Center is used to provide tutoring to youth who are basic skills deficient in math and/or reading and those needing	Fair: Tutoring is available to participants through Sylvan both virtually and in-person. Referrals are made, however, achieving

		<p>assistance to improve skills in these areas. Referrals are also made to tutoring offered through local training providers for participants who are enrolled in occupational skills training.</p>	<p>consistent follow-through and attendance is challenging.</p>
<p>Alternative secondary school services</p>	<p>Yes</p>	<p>NextGen works with local community colleges to provide alternative secondary school services to assist OSY to obtain the high school equivalency certificate or adult high school diploma. NextGen also works with the local YouthBuild program which is currently offering the option of completing a Penn Foster high school diploma or attending COA to prepare for high school equivalency testing. NextGen pays fees for required tests and provides other supportive services needed to obtain a diploma or equivalency.</p>	<p>Good: The community colleges and YouthBuild are great partners. Participants enrolled in alternative secondary school with College of the Albemarle are attending classes via a hybrid model that provides a minimum required amount of in person attendance supplemented by online coursework. Participants working with YouthBuild attend YouthBuild in person Monday through Thursday and either work on their Penn Foster curriculum online from the YouthBuild facility or travel to COA for high school equivalency classes.</p>
<p>Paid and unpaid work experiences</p>	<p>Yes</p>	<p>NextGen collaborates with local businesses and agencies to host work experience and job shadows for participants that align as closely as possible with their desired career pathways in order to assist them in gaining technical and soft skills</p>	<p>Excellent: The work based learning portion of our program continues to thrive. Participants have access to WBL activities including WEX, job Shadows, and OJTs in alignment with career</p>

		that help prepare them for their future careers.	goals.
Occupational skill training	Yes	NextGen collaborates with local community colleges and other training providers to offer 2-year and short-term training programs leading to degrees, diplomas & certificates that prepare participants to enter jobs in the local area's career pathways.	Excellent: Participants are engaging in occupational skills training and meeting standards for credential attainment.
Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster	Yes	Collaboration with local businesses and agencies are arranged to provide both hands-on experience and observational job shadow opportunities in career interest areas and in alignment with current postsecondary training	Good: Participants are offered opportunities to explore learn about specific careers through virtual and in-person meetings & WBL activities
Leadership development opportunities	Yes	Adulting Days are meetings for youth that provide opportunities to network with other young people, local businesses, and volunteers to learn essential things about education, careers and everyday things they may encounter as they develop into self-sustaining adults.	Good: Adulting Days are being offered regularly as in person activities. These activities are planned to continue on a regular schedule throughout the upcoming year.
Supportive services	Yes	Transportation, childcare, incentives, and other supportive services are	Excellent: services are still being provided to enable participants to fully participate in WIOA

		afforded to participants	sponsored activities
Adult mentoring	Yes	Research has been conducted on numerous occasions in an effort to identify established mentoring programs and opportunities that our Participants can be referred to, however, no viable options have been found. Research and planning has also been undertaken to explore creating our own formal mentoring program, but due to the complexity of creating a safe and effective mentoring program this has not come to fruition. Career advisors serve as mentors.	Poor: Formal process not established
Follow-up services	Yes	NextGen participants receive contacts from their career advisors at least monthly during the 12-month period following their exit from the program. Participants also receive follow-up services during this period as needed including supportive services, job placement assistance, resume assistance, and more.	Good: participants are contacted regularly to ensure sustained employment or enrollment in education/training. Follow-up services including supportive services and job search/placement assistance are provided when needed.
Comprehensive guidance and counseling	Yes	As of the release of TEGL 09-22, we have been working to identify partner agencies in our area that offer mental health and substance use	Excellent: Youth staff are now well-trained in how to recognize signs that a participant is experiencing a mental health or substance abuse

		<p>counseling in line with the new parameters provided for this program element. Although our region is severely under-resourced, we have identified some reliable agencies to refer to when participants are suspected to be dealing with a mental health or substance abuse challenge. All Youth Career Advisors and the Youth Program Manager are all now certified in Youth Mental Health First Aid which means that they have the skillset needed to recognize when a Youth may be facing a mental health or substance abuse challenge and how to effectively offer support and referrals to appropriate sources of assistance. Staff have also attended Suicide Prevention Training. We have also implemented a Mental Health Screening Questionnaire.</p>	<p>challenge, offer support, and make appropriate referrals.</p>
<p>Financial literacy education</p>	<p>Yes</p>	<p>The Real World event is a one-day simulated program that offers teens and young adults hands-on practice in the areas of fiscal decision-making pertaining to education, careers, and lifestyle choices in the adult world.... before it counts!</p>	<p>Good: Real World events are being offered annually. The next event is scheduled for October 2024. Feedback from evaluations show that this continues to be an effective tool for teaching financial literacy. Career Advisors provide financial literacy</p>

		<p>It is an opportunity for WIOA workers, teachers, social workers, youth ministers, counselors, community leaders, volunteers and other mentors interested in giving youths “a clue” about what the real world is like. Participants who enter paid Work Experiences are required to be given one on one financial literacy education by their career advisor including assistance opening a bank account if they do not already have one, coaching on how to budget, and assistance filling out direct deposit and tax forms. Elements of financial literacy are also incorporated into Adulting Days.</p>	<p>education to their participants on an individual basis, and we also incorporate elements of financial literacy education into our Adulting Days.</p>
Entrepreneurial skills training	Yes	<p>Adulting Days are scheduled meetings for youth providing an opportunity to network with other young people, local businesses and volunteers to learn essential things about education, careers and everyday things they may encounter as they develop into self-sustaining adults.</p>	<p>Good: Adulting Days discussing entrepreneurial skills and options are taking place and Career Advisors provide Entrepreneurial Skills Training on an individual basis.</p>
Services that provide labor market and	Yes	<p>Career Advisors engage participants in activities</p>	<p>Excellent: Participants are provided guidance by</p>

employment information about in-demand industry sector		and discussions using online resources like NCWorks Online, O’Net, NCCareers.org, and various assessments to inform youth about local in-demand occupations, education, wages, and other information to make informed career decisions. Labor Market information is also shared through events like Real World and Adulting Days.	Career Advisors, referred to online resources to learn about LMI for various career pathways, and exposed to LMI at nearly all of our program events.
Activities that help youth prepare for and transition to postsecondary education and training	Yes	Group and individual in-person & virtual meetings are hosted and various assessments are given to identify, discuss and develop strategies for post-secondary training and careers. College tours and opportunities to attend events showcasing different programs at area colleges are offered throughout the year. Adulting Days provide information about post-secondary education and training options as well as skills and information needed to build self-sufficiency as youth transition to post-secondary.	Excellent: Participants are provided guidance by Career Advisors on what steps to take in preparation for post-secondary education and referred to local colleges for information on specific career pathways. Events are scheduled throughout the year to provide further post-secondary exposure and exploration to groups of participants.
Real World Simulation	Yes	The Real World simulation event is a one-day simulated program that offers teens and	Excellent: Real World is hosted annually in the Fall. Real World 2023 was held on October 4th

		<p>young adults hands-on practice managing a monthly budget with an assigned salary based on their intended career path and the level of education they plan to attain. Participants learn about budgeting, attend workshops on banking and insurance, and navigate the Real World Booths where they must consider their needs vs their wants and handle unexpected expenses while trying to make their monthly budget work. This program provides an opportunity for meaningful practice making decisions youth will face in the real world before those decisions really count! It is also an opportunity to partner with volunteers from area businesses who are interested in helping facilitate this learning experience while also meeting potential future employees and customers.</p>	<p>at the Eastern 4-H Center in Tyrrell County. It was well-attended and a huge success by all accounts. Planning for Real World 2024 is underway. It is scheduled to take place on October 2nd at Camp Cale in Perquimans County. Data collected from the volunteer, participant, and chaperone surveys indicates that this event continues to be a relevant and meaningful experience for our area's youth.</p>
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4. Describe how the Local Area WDB's Young Adult (NextGen) Program design is unique to include:
- a. providing objective assessments;
 - b. supportive services needed; and
 - c. developmental needs of each participant, for the purpose of identifying appropriate services and career pathways for participants. [WIOA Section 129(c)(1)(A)]

Each participant enrolled in the NextGen Program is given an objective assessment to determine their needs related to education and employment goals and basic skills deficiencies. The assessment considers past employment, occupational training, work experience, transferrable skills, and supportive service needs.

Various tools including formal and informal assessments are used to assess career interest areas, employability skills, and job readiness. Eligible youths' academic level is assessed using CASAS assessments, transcripts, and other methods to determine basic skills needs. If assistance is needed to improve basic skills levels, tutoring is offered as well as assistance with developing study skills as appropriate. Based on each participant's educational and career pathway goals, Career Advisors develop individualized plans with each participant to provide a road map to assist them in reaching their goals. The need for supportive services is assessed individually, and supportive services are provided as needed to help ensure participants are able to participate in and complete activities related to the 14 program elements, education, and career needs. Workshops, work-based learning opportunities, post-secondary education exposure opportunities, and other trainings are offered based on the need of each participant to mitigate barriers and assist in obtaining educational, career preparation, and career pathway goals.

5. How does the Local Area WDB ensure the Individual Service Strategy (ISS) identifies appropriate services based on the objective assessment and is linked to youth performance indicators, career pathways, and program elements? [WIOA Section 129(c)(1)(B)] How does the provider ensure the ISS is unique to the individual?

Individualized Service Strategies (ISS) are developed based on the objective assessment and changing needs to outline a plan to obtain youths' educational and employment goals and improve basic skills deficiencies in order to achieve positive performance outcomes for each participant. Each youth will be engaged in activities geared toward reaching set goals which will lead to educational skills, work readiness, and goal attainment. Activities aligned with program elements are incorporated into the youths' ISS to better prepare them for making informed career choices, gaining and sustaining employment, and increasing the overall job readiness of each youth. ISS are reviewed regularly and updated quarterly or at least once per semester with participants to measure goal progression. Goals and objectives are adjusted based on current needs, and steps are taken to mitigate barriers to goal attainment.

6. Describe the Local Area WDB's strategy to ensure Youth (NextGen) Program activities lead to a high school diploma or its equivalent or a recognized post-secondary credential and post-secondary education and training opportunities. [WIOA Section 129(c)(1)(C)]

Each youth will be engaged in activities geared toward reaching set goals which will lead to secondary and/or post-secondary goal attainment. Based on the individual needs and the career goals of each youth, educational opportunities are made available by partnering with local High Schools, River City YouthBuild, and Community Colleges to assist youth in completing their secondary education and enrolling in post-secondary courses aligned with their career interest area and in in-demand industries in the local and regional areas. Youth are provided information about certified career pathways, the local approved training list, and labor market information to help them make informed decisions on post-secondary training opportunities. Tutoring and other training opportunities are made available through various methods providing youth with tools and resources needed to be successful in their educational and career goals.

7. Describe how follow-up services will be provided for (NextGen) youth. [WIOA Section 134(c)(2)(xiii)]

Follow-up begins the first day after exit from NextGen active participation and Career Advisors maintain a minimum monthly contact with participants during the twelve-month follow up period. Contact can be in person, by phone, virtually, by letter, or via social media outlets in order to make contact convenient for the participant. Case notes regarding the contact will be entered into NCWorks Online. This information should include, but is not limited to credential obtained, employment, retention, wage information and educational status. Services are provided to participants in follow-up as needed and can include referrals to community resources, tracking progress on the job, assistance in finding a higher wage job, further career and education planning, assistance with work related problems, financial literacy education, labor market information, and supportive services. Should the participant become unemployed or no longer participating in accredited educational activities during the 12-month follow-up period, the Career Advisor should make every effort to assist the participant in obtaining new employment or enrolling in accredited education courses. If the participant indicates they no longer want to participate in follow up services Career Advisor will document in NCWorks Online when the notification was provided by the participant and should encourage the participant to continue their education or employment goals as applicable. Career Advisors review the follow-up agreement with participants both at enrollment and again at exit in order to ensure all participants are aware of expectations for the follow-up period.

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

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

NextGen services young adults using Hybrid methods. Young adults are served in one Tier 1 and one Tier 2 NCWorks Career Center, and staff are available at community locations and virtually to increase access to services in remote areas.

9. Attach the Local Area WDB Youth Service Provider's chart, effective July 1, 2024, using the PY 2024 Youth Service Provider List provided. Complete each column to include specifying where Youth Services are provided.

- Name the document: *PY 2024 Local Area WDB Name Youth Service Provider List.*

10. Provide the date and process for the competitive procurement of the Youth Programs that ensures an arm's-length relationship between the Local Area WDB and service delivery. Include the expected length of the contract(s) (one to three years and the current year status of the contract (e.g., two of three years). Identify any service provider contract extensions. [WIOA Section 108(b)(16), CPS 04-2022]

For PY 2024 WIOA Title I Adult, Dislocated Worker, and Youth Services, NWDB released a notice of intent via local newspapers, directly to national and local potential bidders, and posted on the NWDB website, and posted on the National Association of Workforce Development Professional's website for national exposure. It was sent to ten national providers that have done services in North Carolina.

Offerors had the option of applying for Adult/Dislocated Worker Services and/or Youth Services. No potential offeror attended the required Bidder's Conference held on February 29, 2024. Although the RFP required attendance at the Bidder's Conference NWDB also waited to see if proposals were received by the due date. No proposals were received.

NWDB contracted with MaryAnn Lawrence of PowerNotes LLC to manage the procurement process. PowerNotes LLC provided a recommendation to NWDB to request a waiver to provide WIOA Adult, Dislocated Worker, and Youth services in-house for PY 2024 based on the failed procurement. NWDB approved the recommendation with a unanimous vote at their meeting on March 19, 2024.

On April 12, 2022 NWDB submitted a waiver request to DWS in accordance with CPS 04-2022. □

USDOL granted North Carolina a waiver for Program Years 2022 and 2023, which reduced the minimum Title I Youth expenditure rate requirement for OSY from 75% to 50% and allowed the maximum expenditure rate for in-school youth (ISY) to be increased from 25% to up to 50%. NC is requesting the same waiver for Program Year 2024.

11. Provide the Local Area WDB's approach to meeting the required 75% minimum (NextGen) youth expenditures on out-of-school youth and include special outreach efforts and highlight planned program design.

- a) State how the WDB will achieve the 75% OSY expenditure rate and describe the steps that will be taken to comply with the WDB's programmatic goals and outcomes.
- b) Describe why there is a need to serve additional ISY in the local area region and state how the WDB will achieve the 25% ISY expenditure rate.
- c) Describe how the local area region will be able to meet the demand for youth services by using the waiver.

[WIOA Section 129(a)(4)(A)] (CPS 09-2021, Change 1) (OG 07-2022, Change 1)

NWDB works closely with the local community colleges' College and Career Readiness programs and Continuing Education departments to identify and enroll youth who show interest in completing their high school equivalency or Adult High School diploma and pursuing career opportunities. Strategies also include working with local high schools to identify youth who have dropped out of school, those who are about to graduate, and recent graduates who are known to not have enrolled in post-secondary education or training in order to offer assistance in completing secondary education and/or transitioning to post-secondary education

or self-sustaining employment. Collaborations are ongoing with local DSS offices and Juvenile Justice entities to identify and enroll OSY who are currently using or applying for their services. NWDB has also partnered with River City YouthBuild program to co-enroll eligible and suitable OSY who are pursuing their secondary education, certification in a pre-apprentice program, and job skills training. All youth are encouraged to complete their secondary education, pursue post-secondary education, especially short-term and occupational skills courses for faster entry into the workforce, and/or obtain and retain a job that will provide self-sustaining income. At least bi-monthly, the Youth program manager pulls reports to monitor the number of enrolled ISY vs. OSY and reviews the R&E to monitor ISY vs. OSY expenditures. Adjustments are made to the numbers of new ISY vs OSY enrollments and to the services available as needed based on expenditure percentages. This is also included in the NextGen report that is submitted at each NWDB meeting.

B) There is a high volume of interest from ISY in our area. We have strong relationships with local high schools and community colleges who assist us in identifying eligible OSY but also refer a significant number of ISY. Eligible ISY are generally easier to identify as they are connected with more community partners who make referrals to us, and there are a great deal of ISY who are eligible and suitable for enrollment. We have no trouble achieving the 25% ISY expenditure rate and use the processes outlined in item A to ensure we do not overspend on ISY.

C) This question as not applicable to us as we have not opted to use the waiver.

12. How does the Local Area WDB ensure that the minimum of 20% of funds is spent on work experience and is the Local Area WDB expending the 20% minimum on work experience, to include an estimate of expenditures that will be paid wages to youth? If the Local Area WDB has not been meeting the minimum of 20% of funds, please explain additional measures to be taken this year. [WIOA Section 129(c)(4)] (CPS 09-2021, Change 1)

To meet the 20 percent minimum work-based learning expenditure requirement, participants are offered work-based learning opportunities aligned with their educational and career goals as much as possible. If this is not feasible, other work-based learning opportunities are offered to develop work ready skills needed for most jobs. Career Advisors engage participants in soft skills development opportunities, occupational skills training and other trainings to prepare participants for work-based learning opportunities and the workforce.

Participants are paid based on the prevailing wage of employees with similar training, experience, and skills for a similar occupation, as set by the employer (worksites). The rates may not be lower than the higher of the federal or state minimum wage. Also, youth OJT opportunities are available with a minimum starting pay of \$8.25 per hour for youth who are at least 18 years old and have completed their secondary education. Other activities available include job shadowing and pre-apprenticeship program opportunities.

We also employ a Youth Program and Business Engagement Coordinator whose primary responsibility to the Youth Program is to focus on developing work-based learning opportunities and other career development activities. The Youth Program and Business Engagement Coordinator engages with businesses, organizations and agencies in the local area to coordinate work-based learning opportunities for participants. This staff

member is also part of the NCWorks Career Centers' Business Engagement Team to collaborate with the other career center staff engaged in business services activities to leverage opportunities to engage with more businesses in the local area to arrange work experiences, business tours and OJT opportunities for youth participants. The NextGen Program Manager communicates with the Finance Officer to monitor current work-based learning expenditure percentages and encourages work-based learning coordination by the Program Coordinator and Career Advisors.

NWDB's NextGen program has been meeting the 20 percent expenditures on work experience requirement.

13. Does the Local Area WDB have a dedicated full-time Youth Business Services Representative (or similar title) at the Local Area WDB level or at the Provider level. If so, state at which level, how many representatives, and how this impacts the Youth Program Design?

We have a Youth Program and Business Engagement Coordinator who performs general business services functions to include promoting and coordinating work-based learning opportunities for the NextGen program as well as assisting with the coordination of events for the Youth Program. The Youth Program and Business Engagement Coordinator is employed by the workforce development board.

14. Does the Local Area WDB have special programs for young adults that are Justice-Involved or have a substance use disorder? If yes, please briefly describe them.

NWDB does not have special programs for young adults who are justice involved or have a substance use disorders. We do work with these populations and make appropriate referrals to community resources to address their unique needs.

15. Describe how the Local Area WDB partners, aligns, and leverages, as appropriate with:

- Title II Adult Education and Family Literacy Act program resources and policies.
- Title IV Vocational Rehabilitation program resources and policies.
- Integrates adult education with occupational education and training and workforce preparation, as Local Area WDB's and the creation of career pathways for youth. [USDOL TEGL 8-15]

NWDB works closely with local community colleges' College and Career Readiness programs and Continuing Education department to identify and enroll young adults who show an interest in completing their high school equivalency or Adult High School diploma and pursuing career opportunities. Career Advisors are housed in the local community college to maximize the partnership and provide services to students. The Director of College and Career Readiness at one of our two local community colleges is also currently serving as chair of the NextGen Committee which has increased our collaboration and partnership. NWDB also partners with River City YouthBuild program to co-enroll eligible and suitable OSY who are pursuing their secondary education, certification in a pre-apprentice program, and job skills training. We also work closely

with Vocational Rehabilitation who has a successful model of working with youth with disabilities. We partner with VR to provide joint services to disabled young adults in order to maximize education and employment opportunities. The NCWorks Career Center provides office space for the local community college, River City YouthBuild, and Vocational Rehabilitation staff to facilitate partnership and provide onsite services to Career Center customers. Young adults are provided guidance on career options including certified career pathways utilizing various career assessment tools, the local approved training list and labor market information in order to assist them in making informed decisions on post-secondary training and career opportunities.

16. Specify if the Local Area WDB plans to offer incentives for (NextGen) youth. If yes, attach the Youth Incentive Policy, which should include:

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

- Name document: Local Area WDB Name Youth Incentive Policy.

Note: Federal funds may not be spent on entertainment costs. Youth Incentive Policies should include: compliance with the Cost Principles in 2 CFR part 200; identify types of items that may be awarded (gift cards, plaques, certificates, checks); identify types of achievements/completion of activities (an inclusive list is required); practices for internal controls for safeguarding incentives, and provide a sample list of required documentation for reimbursement (diploma, evaluations).

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

N/A. We do offer incentives for NextGen Youth.

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

Work-based learning opportunities are made available to youth to assist them in developing soft and technical skills necessary for success in the workplace. Partnerships with local business are developed to offer youth job shadows, work experiences, business tours, and OJT opportunities in preparation for unsubsidized employment. Soft skills and Human Resource Development trainings and workshops are offered through the local community colleges, and NextGen Career Advisors along with NCWorks Career Centers offer one-on-one and/or group training sessions to prepare youth for unsubsidized employment. Various tools and methods including virtual reality career exploration, in-person business tours, Adulting Days, Employer in the Foyer

events, and online tools are used to help youth learn about labor market information, current and future job positions, and in-demand industries in the local and regional area.

19. Please complete the Youth Program Elements chart provided to demonstrate how the Local Area WDB ensures each of the 14 youth program elements is made available to youth participants. Be certain to complete both columns of the chart to demonstrate partnerships and potential use of shared funding. Please specify partners. [WIOA Section 129(c)(2)(A)]

- Name document: *Local Area WDB Name Youth Program Elements Chart.*

20. Does the Local Area WDB have a standing committee to provide information to assist with planning, operational, and other issues relating to the provision of services to youth? [WIOA Section 107(b)(4)(A)(ii)]

a. If no, describe how oversight to planning, operational, and other issues relating to the provision of services to youth will be provided.

N/A

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

a) Provide the committee’s purpose/vision.

The purpose of the NWDB NextGen committee is to provide expertise in youth and young adult policy and to assist the NWDB in:

- Developing and recommending local youth and young adult employment and training policy and practice
- Broadening the youth and young adult employment and training focus in the community to incorporate a youth and young adult development perspective
- Establishing linkages with other organizations serving youth and young adults in the local area

b) Provide the youth committee’s top three goals or objectives for PY 2024.

Maintain performance levels in order to continue meeting state performance goals.

Develop a more targeted and consistent communication strategy for enrolled youth and prospective youth.

Develop and distribute a set schedule for upcoming events for NextGen participants.

c) Provide a list of youth committee members to include members’ agency/organization, one of which must be a community-based organization with a demonstrated record of success in serving eligible youth. Provide the Committee’s Chair information in the first block (*who must be a Local Area WDB member*).

- Name document: *Local Area WDB Name Youth Committee Members* [WIOA Section 107(b)(4)(A)(ii)]

c. Complete the following chart for the PY 2024 Youth Committee’s planned meeting schedule to include dates, time, and location. (Expand form as needed or mark Not Applicable.)

Date	Time	Location (include address and room #)
July 9, 2024	4:30PM	NWDB 101 ARPDC St, Hertford, NC 27944 Conference Room or Virtually Via Zoom
September 10, 2024	4:30PM	NWDB 101 ARPDC St, Hertford, NC 27944 Conference Room or Virtually Via Zoom
November 12, 2024	4:30PM	NWDB 101 ARPDC St, Hertford, NC 27944 Conference Room or Virtually Via Zoom
January 14, 2024	4:30PM	NWDB 101 ARPDC St, Hertford, NC 27944 Conference Room or Virtually Via Zoom
March 11, 2024	4:30PM	NWDB 101 ARPDC St, Hertford, NC 27944 Conference Room or Virtually Via Zoom
May 13, 2024	4:30PM	NWDB 101 ARPDC St, Hertford, NC 27944 Conference Room or Virtually Via Zoom

XI. Local Area WDB Innovations

1. List all additional funding received by the Local Area WDB (for example, to include but not limited to, special grants, NC Job Ready Workforce Investment Grants, Business Services funds, National Dislocated Worker Grants (NDWG) (disaster), YouthBuild, Foundations, American Rescue Plan Act (ARPA), Partners for Reentry Opportunities in Workforce Development (PROWD), NCWorks Commission Local Innovation Fund Grant, and/or outside funding to include a brief description of the source and the amount received).

Grant Name/Kind	Brief Description	Beginning and End date	Source and Amount	Partner Organization (if applicable)
Legislative Capacity Grant	Grant obtained from Albemarle Commission through Senator Bob Steinburg & OSBM to assist with maintaining workforce engagement and outreach.	7/1/22 – 6/30/25	Senator Bob Steinbug and OSBM \$499,000 .	N/A
Good Jobs Challenge Grant	Grant obtained to developed talent pipeline for martime related employers	9/1/22 – 9/30/24	We are a sub-receptient of Hampton Roads Workforce Council. Grant obtained from US EDA. \$968,362	Hampton Roads Workforce Council, College of the Albemarle and many partners throughout the Hampton Roads area.
Sentara Cares Grant	Funding to provide tuition and supportive services for health care students.	7/15/2023-7/15/2024	Sentara \$60K.	N/A
Industry Sector Partnership Grant	Funding to support advanced manufacturing industry sector partnership	1/12/2021	DWS \$35K	N/A
Virtual Reality Grant	Funding to purchase VR.	3/5/2024 – 6/30/2024	DWS \$5K	N/A

2. Provide a clear and detailed example of the Local Area WDB’s best or promising **Adult/Dislocated Worker** program practice that has yielded positive results with evidence, which affirms this practice is effective.

A best practice that we are currently excited about stems from a long-standing relationship we have had with one of our biggest partners, one of our local community colleges. Because we have such a strong relationship with them, we have been able to partner with them to the extent that they allow our career advisors the opportunity to regularly go directly into their classrooms to share information about our services. Prior to

doing this, we had mostly been appearing at orientation sessions for healthcare-related programs only.

What are we doing? We are reaching out to department heads, deans, and even individual instructors, requesting a 10–15-minute block of time with their classes. During this time, career advisors are sharing information about the training assistance that may be available to them, information on eligibility requirements, and providing them next steps if they are interested in pursuing the assistance. Career advisors are taking advantage of that opportunity to inform students that not only might we be able to assist with their training costs, but will help them with all things related to them getting into their career when they are done with school (i.e. resume development, job leads, job referrals) so that they will understand that we are providing more than tuition assistance.

Why are we so proud of this? There are a number of reasons why. One is because we are meeting them in their space, which increases the chances that they will be at ease enough to ask questions. Two, it's allowing the students to put a face with the service and they will have a direct contact to ask for when they come in the career center. They are more likely to feel welcome when they come into the center because they were invited by the person who came to speak to their class. Three, because it's getting the word out about the career center services. The students (and instructors) will share the information with other students, friends, parents, etc...

How do we know this is working? We know this is working because we have students (or their parents, siblings, friends) from these classes reaching out to the career advisors or the career centers as a result of having someone come into their classroom (or they were informed by someone who was in a classroom). It's not unusual to hear the students and their instructors say, "I didn't know you could do all of this" or "I didn't even know anything about this service". In fact, we are often amazed that there are still so many people who do not realize who/where we are or all that we do. So, going into the classrooms has been a great opportunity for us to connect directly with students who may need assistance, while also serving as part of our overall marketing strategy to drive customers to the career centers. And for these reasons, we are very excited.

3. Provide a clear and detailed example of the Local Area WDB's best or promising **Youth** program practice that has yielded positive results with evidence, which affirms this practice is effective.

The NWDB NextGen program holds an annual Real-World Simulation event. Real World 2023 took place on October 4th at the Eastern 4-H Center in Tyrrell County, and staff are now in the early planning stages for Real World 2024 which is tentatively scheduled to take place on October 2nd at Camp Cale in Perquimans County. The Real-World Simulation is a one-day simulation event that offers young adults hands-on learning in the areas of fiscal decision-making pertaining to education, careers, and lifestyle choices in the adult world.... before it counts!

Youth complete pre-work to determine their preferred Career Cluster and indicate what level of education they plan to attain. They are then assigned a salary based on their education and career choices. They are also randomly assigned factors that impact their monthly budget such as whether or not they have children, their marital status, and whether or not their employer offers insurance

benefits. They then create a monthly budget based on real life costs and discover what it's like to navigate their monthly expenses using their projected salary while visiting the Real World Booths. At the Real World Booths, Youth have the opportunity to purchase things they "need" as well as consider some of the things they "want." Booths include housing, groceries, entertainment, transportation, utilities, pets and pet supplies, and more. Youth typically realize that their pay check doesn't go as far as they thought it would and are faced with making tough decisions about their intended lifestyles and buying decisions. The Real World Booths are staffed by volunteers from the community and local businesses who get to enjoy the experience of helping the Youth from our local area learn important lessons and prepare for adulthood while also expanding their customer base and meeting potential employees. Before visiting the Real World Booths, the youth participate in an opening session where they receive instructions for the day, receive a lesson on budgeting, and begin setting up their budget worksheet. They then participate in workshops on Banking and Insurance before applying what they've learned at the Real World Booths.

All of our NextGen participants are invited and strongly encouraged to attend the event, and invites also go out to students from all of the High Schools in NWDB's 10-county region; students in High School Equivalency, Adult High School, and transitional classes at our local community colleges; YouthBuild participants; and youth from other organizations in our area that serve the NextGen demographic. We also promote the event publicly to encourage sign ups from youth who may be disconnected from the schools and organizations we partner with. Real World 2023 welcomed 123 youth from 8 different counties. We were also supported by over 40 volunteers.

To measure effectiveness and ensure the event improves every year, each youth attendee, volunteer, and chaperone completes a post-attendee survey before leaving the event that provides us with feedback on the effectiveness of the experience. The data collected at Real World 2023 indicates that the event continues to help youth gain a better understanding of how to budget, gives them a better understanding of needs vs wants, helps them gain a better understanding of how their education and career choices will impact their lifestyle, and helps them better understand the importance of saving for their future. Established data also strongly supports that experiential learning such this results in a deeper understanding of the subject matter, requires a higher level of critical thinking, and requires learners to engage in problem-solving which enables them to better apply the lessons learned.

The NWDB NextGen program also hosts Employer in the Foyer events in partnership with College of the Albemarle and local employers. These events pair virtual reality career exploration with real life exposure to employers in in-demand fields and related occupational skills training programs that equip students to build careers in those fields. NextGen staff set up the virtual reality headsets in a common area of the college where there is foot traffic primarily from the early college high school, the basic skills program, and the high school equivalency and adult high school diploma programs. Students who attend get to work through a simulation that it is selected based on the career or industry being featured at the event, speak with an employer about jobs at their organization, and learn about the related training programs COA offers. Admissions is also on site to speak with students about the enrollment process if they show interest in enrolling in training. Success for this event is that people are

introduced to and learn about specific careers, which all attendees do. In the coming months, we plan to branch out from the community college and host some Employer in the Foyer events at other locations including the NCWorks Career Center.

Lastly, our NextGen program also offers Adulting Days. Staff survey participants about what topics they are most interested in learning about and what days of the week and times work best for their schedules. Based on the data received, activities are planned that give participants the opportunity to invite a friend or sibling and join the NextGen team and community partners to learn about their topics of choice and usually have a snack. The broad concept of the Adulting Day initiative is to offer programming based on input from participants that will provide them with knowledge they need in order to be capable and self-sufficient adults in combination with career exploration, information on occupational skills training options, labor market information, and financial literacy information. Success for this initiative is that NextGen participants learn skills that are needed for adulthood, which all attendees do. For one of the Adulting Days for this program year, participants learned about entrepreneurship by visiting a local pizza shop and talking with the young couple who own it. They learned about how to determine what types of businesses are likely to succeed in an area, how the business owners secured funding for their business, some of the start-up costs involved, potential pitfalls related to things like business taxes and staffing, and some of the greatest challenges and most enjoyable parts about being a small business owner. Attendees had the opportunity to ask lots of questions and also got to enjoy some pizza after watching it be made.

4. Provide a clear and detailed example of the Local Area WDB's best or promising **regional strategy** that has yielded positive results with evidence, which affirms this practice is effective.

One regional strategy that has yielded positive results is that the three boards in the Northeastern Prosperity Zone contract with a "Workforce Connector" (previously our Career Pathways Coordinator). We know this strategy is effective as it has been responsible for driving a thriving regional partnership we refer to as the NENC Career Pathways Partnership. This partnership consists of three workforce boards, 22 Local Education Agencies (LEA's), 4 charter schools, 1 regional high school, 9 community colleges, 10 NCWorks Career Centers, 4 universities, and a variety of local employers and economic development agencies.

5. Provide a clear and detailed example of the Local Area WDB's best or promising **virtual services strategy** that has yielded positive results with evidence, which affirms this practice is effective.

COVID forced us to be innovative and provide services in a different manner than we had be previously. One of the things we did due to COVID was to offer our Career Center's employability workshops (resume writing, interview skills, networking, etc.) virtually. Even though COVID restrictions have long been gone, we still find value in offering a virtual option for the workshops. We believe it is important to offer virtual workshops due to the size of our region. NWDB's region covers 10 counties and 6,222 square miles. There is very limited public transportation and transportation is often a challenge for many of our customers. Offering workshops virtually allows participation from some people who would not be able to make it to the center or, even if they are able to make it to the center, it can reduce the expense and time of travel. Also, we have had participation from some of our local high school classes who would not have been able to travel to the center during the school day. We this practice is effective due to the virtual attendance.

6. Provide a clear and detailed example of the Local Area WDB's innovative **business services strategies** and engagement practices that demonstrated employers taking charge and driving the agenda that has yielded positive results with evidence, which affirms this practice is effective.

NWDB's Elizabeth City NCWorks Career Center continues to offer Workforce Wednesday's to address recruitment needs of local employers. Employers have expressed the need for job seekers to come more prepared to hiring events with better resumes and enhanced interview skills. During Workforce Wednesday, job seekers attend a resume and interview workshop then are invited to use the computer resource center to polish their resume as well as practice their interview skills one on one in our interview room with one of our Career Advisors before meeting with the hiring employer that is attending the event.

Members of NCWorks and NWDB Business Services Teams meet locally with employers during Chamber events. Most of the meetings are dedicated to employers engaging in discussions, networking, and exchanging ideas on pressing issues within their respective companies. They actively listen to each other's business concepts to gain valuable insights, and collectively address any challenges hindering progress.

By allowing employers to led these efforts, this demonstrates a proactive approach to understanding the needs and challenges faced by businesses in the community. By actively listening to employers and engaging in discussions, the business services team can tailor their services better. For example, employers have expressed the need for job seekers to arrive better prepared. This feedback indicates that the services provided during Workforce Wednesdays, such as resume workshops and interview practice sessions, are aligned with the needs and expectations of local employers.

XII. Program Year 2024 Local Area WDB Plan Required Policy Attachments

1. The following policies are *required* to be attached as separate documents in WISE as part of the PY 2024 Local Area Plan. The Local Area Plan is not complete without these documents.

- Name Each Document: *Local Area WDB Name, Policy Name.*

- In the first column, state if the policy is attached or why it is missing and when it can be expected. If two of the policies have been combined, please make a notation.
- In the second column mark “Yes” **only** if the policy has been changed/revised for the PY 2024 Plan and has not been previously submitted to the DWS.
- Revised policies should be submitted with a highlight or summary of the changes made to the local policy.
- Do not add an empty document in WISE as a “placeholder”.

Required Local Area WDB Policies	Attached (Yes/No). If no, why?	Revised for PY 2024 (Yes/No) and needs review
1. Adult/Dislocated Worker Experience Policy	No, we do not offer Adult/DW WEX	N/A
2. Competitive Procurement Policy	Yes	No
3. Conflict of Interest Policy	Yes	No
4. Nondiscrimination/Equal Opportunity Standards and Complaint Procedures	Yes	No
5. Financial Management Policy for Workforce Innovation and Opportunity Act Title I	Yes	No
6. Individualized Training Account Policy	Yes	Yes
7. On-the-Job Training Policy	Yes	No
8. Oversight Monitoring Policy, Tool and Schedule	Yes	Yes
9. Priority of Service Policy	Yes	No
10. Youth Work Experience Policy	Yes	No
11. Supportive Services Policy	Yes	Yes
12. Local Area WDB WIOA and TAA Co-enrollment Policy	Yes	No
13. Eligible Training Provider Policy	Yes	Yes
14. Non-Criminal Complaint Procedures	Yes – this is included in our EO Complaint Policy	No

2. Designate whether the following local *Optional Policy* is included and used at the Local Area WDB and is included in the Local Area Plan or write “N/A” implying “Not Applicable”, if the Local Area WDB does not have this policy and; therefore, does not use these services.

In the second column mark “Yes” **only** if the policy has been changed for PY 2024 and has not been previously submitted to the DWS.

- Do not add a blank document in WISE as a “placeholder”.
- These policies are required to operate/offer these services
- If “Yes”, load the policy as a separate document.
- Name document: *Local Area WDB Name, Policy Name*. (Example: IWT Policy – Yes. Attached as Board Name IWT Policy.)

Optional Local Area WDB Policies	Yes- the Local Area WDB has a policy or N/A (Not Applicable)	Revised for PY 2024 (Add Yes or N/A for this column)
1. Local Area WDB Guidance for Local Incumbent Worker Grants	Yes	No
2. Local Area WDB Needs-Related Policy	No	N/A
3. Local Area WDB Transitional Jobs Policy	No	N/A
4. Local Area WDB Youth Incentive Policy	Yes	No

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

Individual Training Accounts (ITA) Summary	
Dollar Amounts	\$11,000
Time Limits	Up to 2 year programs
Degree or Certificates allowed (Associate, Bachelor’s, other)	Certification (short-term) or Associate's Degree
Procedures for determining case-by-case exceptions for training that may be allowed	Steps are taken during initial planning phases to ensure that participants can complete credentials within the allowable ITA limits. However, when a participant is at risk of exceeding that amount, the Career Advisor submits a request (to Program Manager, who reviews

Individual Training Accounts (ITA) Summary

	then presents to the Director) to exceed the amount. The request includes why the limit is exceeded, when the student is expected to be finished, and by how much the limit will be exceeded.
Period for which ITAs are issued (semester, school year, short-term, etc.)	ITAs are issued per each semester.
Supportive Services covered by ITA (provide examples such as uniforms, tools, physical exams, etc.)	Supportive services can include fees, and other required items, tools, and supplies
Other	Click here to enter text.

4. Provide a description of how training services under chapter 3 of subtitle B will be provided in accordance with section 134(c)(3)(G), including if contracts for the training services will be used, how the use of such contracts will be coordinated with the use of individual training accounts under that chapter and 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. [WIOA Section 108(b)(19)]

[Click here to enter text.](#)

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

Transportation	Childcare	Supplies <i>(include examples)</i>	Emergency <i>(include examples)</i>	Other <i>(include examples)</i>
Transportation can be provided by reimbursement directly to the participant (per current federal reimbursement rate), directly to a vendor providing the transportation (i.e., cab service, public transportation/ bus), or to a parent/family member who is	Childcare is provided on behalf of participants enrolled in education or training activities. Childcare payments are made directly to the vendor, at rates outlined in local policy	Participants can receive assistance with supplies that are required for participation in their academic programs, or as required for entering into employment. Examples of supplies include laptop, hard-toe boots, goggles, head gear, and tools.	N/A	Participants are able to receive other supportive services including fingerprinting, credential enhancements, CPR/First Aid, background checks, and licenses required for training and/or employment.

Transportation	Childcare	Supplies <i>(include examples)</i>	Emergency <i>(include examples)</i>	Other <i>(include examples)</i>
transporting the participant to/from classes and class-related activities.				
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

Note: *The Local Area WDB must adequately safeguard all forms of supportive services payments (i.e., gas cards, cash, gift cards, etc.) and assure that they are used solely for authorized purposes. The Supportive Services Policy must include the Local Area WDB’s internal controls to safeguard supportive services. The internal controls must address issuance, storage, and reconciliation of supportive services throughout the area and be clearly stated within the policy.*

Attachment Checklist from Local Area Plan Instructions

- Local Area WDB Signed copy of Consortium Agreement (if applicable)
- Local Area WDB Administrative Entity Organizational Chart
- Local Area WDB Board Members (*form provided*)
- Local Area WDB By-Laws
- Local Area WDB By-Laws Required Elements Crosswalk (*form provided*)
- Local Area WDB Organizational Chart
- Local Area WDB Administrative Entity Certification Regarding Debarment* (*form provided*)
- Local Area WDB Workforce Development Area Signatory Form* (*form provided*)
- Local Area WDB NCWorks Career Centers (*form provided*)
- Local Area WDB Adult and Dislocated Worker Service Provider (*form provided*)
- Local Area WDB Eligible Training Provider Policy
- Local Area WDB 14 Youth Program Elements Chart (*form provided*)
- Local Area WDB Youth Committee Meeting Schedule (*optional*)
- Local Area WDB Youth Committee Members (*optional*)
- Local Area WDB Youth Service Provider (*form provided*)
- Local Area WDB Youth Incentive Policy (*optional*)
- Local Area WDB WIOA and TAA Co-enrollment Policy (*required*)
- Local Area Adult/Dislocated Worker Work Experience Policy
- Competitive Procurement Policy
- Conflict of Interest Policy
- Nondiscrimination/Equal Opportunity Standards and Complaint Procedures
- Financial Management Policy for Workforce Innovation and Opportunity Act Title I
- Local Area WDB Individualized Training Account Policy
- On-the-Job Training Policy
- Local Area WDB Oversight Monitoring Policy, Tool, and Schedule
- Priority of Service Policy
- Youth Work Experience Policy
- Local Area WDB Supportive Services Policy
- Local Area WDB Incumbent Worker Training Policy (*optional*)
- Local Area WDB Needs-Related Policy (*optional*)
- Non-Criminal Complaint Procedures
- Local Area WDB Transitional Jobs Policy (*optional*)
- Memorandum of Understanding
- Customer Flow Chart

*Mail signed and unfolded originals to assigned DWS Planner at:

N.C. Division of Workforce Solutions
313 Chapanoke Road, Suite 120
4316 Mail Service Center
Raleigh, NC 27699-4316

DocuSign® (or similar) signature pages may be uploaded in WISE.

Appendices

NC Local Area WDB By-Laws Required Elements

[Appendix A](#)

By-Laws Guidance

[Appendix B](#)

Guidance Regarding Meetings and Conferencing via Electronic Means

[Appendix C](#)

Local Area WDB Membership Requirements

[Appendix D](#)

NC Local Area WDB By-Laws Required Elements

At a minimum the Local Area WDB by-laws must include the following items for DWS approval. When submitting the Local Area WDB by-laws, please specify the section (provide a clear crosswalk) where the following required elements are located within the submitted by-laws.

Elements 1-7 are the *required* elements designated at WIOA Final Rule 679.310(g).

1. The nomination process used by the Chief Local Elected Officials (CLEOs) to elect the Local Area Board Chair and members.
2. The term limitations and how the term appointments will be staggered to ensure only a portion of membership expire in a given year.
3. The process to notify the Chief Local Elected Officials (CLEOs) of a Board member vacancy to ensure a prompt nominee within ninety (90) days of the vacancy.
4. The proxy and alternative designee process that will be used when a Board member is unable to attend a meeting and assigns a designee as per the requirements of 20 CFR 679.110(d)(4).
5. The use of technology such as phone and web-based meetings, that will be used to promote Board member participation (20 CFR 679.110(d)(5)).
6. The process to ensure Board members actively participate in convening the workforce development system's stakeholders, brokering relationship with a diverse range of employers, and leveraging support for workforce development activities.
7. A description of any other conditions governing appointment or membership on the Board as deemed appropriate by the Chief Local Elected Officials (CLEOs); (20 CFR 679.310(g)(1-7)).

North Carolina specific requirements that must be specified within the by-laws:

1. The adopted generally accepted parliamentary procedure, such as Robert's Rules of Order, chosen by the Board.
2. Whether an appointee filling a vacancy will serve the remainder of the unexpired term or be appointed for a new full term.
3. The Board's policy assuring attendance and participation of its members.
4. Quorum requirements to be not less than 51% constituting 51% of the total filled Board positions.
5. Any standing committees the Board has established shall be included in the by-laws.
6. The Board's conflict of interest policy, which may not be any less stringent than the requirements of the DWS's Policy, shall be referenced in the by-laws.
7. The process the Board will take when expedient action is warranted between Board meetings, such as calling a special meeting or allowing the Executive Committee to act on behalf of the Board.
8. Board meetings will be held in accessible facilities with accessible materials available upon prior request.
9. The Board will meet no less than four times per program year.

By-Laws Guidance

This template is provided for guidance purposes only. It contains sample language that may be used in by-laws development. It is not required that Boards utilize this template or language within. This template reflects multiple counties within a Consortium. Single-county Boards and non-Consortia will need to adjust their by-laws accordingly.

Article 1

Name and Purpose

Section 1. Name

The name of this organization shall be the **Click Here to Enter WDB Name. Board** (hereinafter referred to as the “Board”).

Section 2. Purpose and Responsibilities

The purpose for which the Board is organized is to perform all functions of a WDB and Local Workforce Development Area as set forth in the Federal Workforce Innovation and Opportunity Act of 2014 (“WIOA”), or the corresponding provision of any applicable federal or state laws of related purpose and the rules and regulations promulgated thereunder, and Section 143B-438.11 of the North Carolina General Statutes and to perform such functions with the **Click Here to Enter WDB Name. WDB.**

The Board services area shall encompass the counties of **Click Here to Enter WDB Name..**

The Board responsibilities shall include:

1. Develop and submit Local Area Plan annually to the Governor, a comprehensive 4-year Local Area Plan, in partnership with the Chief Local Elected Official.
2. Perform workforce research and regional market analysis.
3. Convene local workforce development system stakeholders to assist in the development of the Local Area Plan and identify non-federal expertise and resources to leverage support for workforce development activities.
4. Lead efforts to engage with a diverse range of employers and with entities in the region involved.
5. Lead efforts with representatives of secondary and postsecondary education programs in the Local Area to develop and implement career pathways within the Local Area by aligning the employment, training, education, and supportive services that are needed by adults and youth, particularly individuals with barriers.

By-Laws Guidance

6. Lead efforts in the Local Area to identify proven and promising strategies and initiatives for meeting the needs of employers, and workers and jobseekers in the local workforce system, and to identify and disseminate information on promising practices carried out in other local areas.
7. Develop strategies for using technology to maximize the accessibility and effectiveness of the local workforce development system for employers, workers, and jobseekers.
8. Conduct program oversight.
9. Negotiate and reach agreement on local performance accountability measures.
10. Designate or certify one-stop operators, contractors, and service providers and, in appropriate circumstances, terminate for cause the eligibility of such operators.
11. Coordinate activities with education and training providers in the local area.
12. Develop a budget for the activities of the Local Area WDB consistent with the Local Area Plan and the duties of the Local Area Board and subject to the approval of the Chief Local Elected Official.
13. Annually review the physical and programmatic accessibility provisions of all one-stop centers, as well as locations for contractors and service providers, in the local area, in accordance with the Americans with Disabilities Act of 1990.

Article 2

Board Members

Section 1. Appointment

There shall be a Board of no more than **Click Here to Enter Number**. Board members. Members of this organization shall be appointed by the following procedure: The Chief Local Elected Official (of the **Click Here to Enter Name**. County Board of Commissioners, hereinafter referred to as the CLEO) shall appoint members based on nominations from the following: local business organizations; local education agencies; vocational education institutions, community-based organizations, and higher educational institutions; and private and proprietary schools; state or local labor organizations and other interested organizations.

The number of business sector nominees shall be at least 51% of the number of individuals to be appointed and are appointed from amongst individuals nominated by local business organizations and business trade associations. The nominated candidate or company must be a member of the nominating organization. A majority of the Members shall be representatives of businesses in the local area (including small businesses or organizations representing businesses that, at a minimum, include high-quality, work-relevant training and development in in-demand industry sectors or occupations in the local area) and are owners, chief executives or

By-Laws Guidance

operating officers, or other business executives or employers with optimum policy making or hiring authority. The members of the local Board shall represent diverse geographic areas within the local area.

Section 2. Composition

Organized Labor and Community Based Organizations: Not less than 20% of the Members shall be representatives of the workforce within the local area, who:

- i. shall include representatives of labor organizations, who have been nominated by local labor federations, or other representatives of employees;
- ii. shall include a representative, who shall be a member of a labor organization or a training director, from a joint labor-management apprenticeship program, or if no such program exists in the area, such a representative of an apprenticeship program in the area, if such a program exists.
- iii. may include representatives of community-based organizations that have demonstrated experience and expertise in addressing the employment needs of individuals with barriers to employment, including organizations that serve veterans or that provide or support competitive integrated employment for individuals with disabilities; and
- iv. may include representatives of organizations that have demonstrated experience and expertise in addressing the employment, training, or education needs of eligible youth, including representatives of organizations that serve out-of-school youth;

Education and training activities: The Board shall include representatives of entities administering education and training activities in the local area, who:

- i. shall include a representative of eligible providers administering adult education and literacy activities under Title II of the WIOA;
- ii. shall include a representative of institutions of higher education providing workforce investment activities (including community colleges);
- iii. may include representatives of local educational agencies, and of community-based organizations with demonstrated experience and expertise in addressing the education or training needs of individuals with barriers to training;

The Board shall include representatives of governmental and economic and community development entities serving the local area, who:

- i. shall include a representative of economic and community development entities;
- ii. shall include an appropriate representative from the State Employment Service Office under the Wagner-Peyser Act serving the local area;
- iii. shall include an appropriate representative of the programs carried out under Title I of the Rehabilitation Act of 1973, serving the local area;

By-Laws Guidance

- iv. may include representatives of agencies or entities administering programs serving the local area relating to transportation, housing, and public assistance, and
- v. may include representatives of philanthropic organizations serving the local area; and

This Board may include such other individuals or representatives of entities as the Chief Local Elected Official determines appropriate.

Section 3. Tenure

All appointments will be for a two-year term to expire on June 30 of each respective term. No member shall serve more than three consecutive terms (6 years) or a total of five terms (10 years) in any one appointed position. An individual whose initial appointment is to fill an unexpired term or an initial staggered term of less than two years, shall be eligible to serve the number of full-length terms other members are eligible to serve, unless, prior to the time for reappointment that individual has already served six consecutive years. Members may be re-appointed at the discretion of the Chief Local Elected Official subject to the term limitations outlined in this section.

Terms shall be staggered to ensure that at any given time a percentage of the members are experienced in WDB functions.

The Board shall advise the Consortium Counties of potential Board member vacancies prior to the end of the term. In the case of a midterm vacancy, an immediate replacement shall be requested of the Consortium County represented by the departing Board member. The appointed Board member shall fill the remaining term of office.

The Board shall not compensate Board Members for their services, but by resolution of the Board, a fixed sum and expenses, if any, may be allowed for attendance at each regular or special meeting of the Board.

Section 4. Termination for Cause

By two-thirds majority vote of the membership or by action of the Chief Local Elected Official, a member may be removed for cause from the Board. Cause would be for such actions as malfeasance, misconduct, or any action which would be deemed not in the best interest of the Board; or three unexcused absences from regular scheduled meetings within the preceding twelve calendar months. Notice that a removal vote that may be taken for cause must be included on the agenda of said meeting. The Chair shall send a precautionary letter to the said Board member upon two unexcused absences within the preceding twelve calendar months prior to the next meeting.

Section 5. Resignation

Letters of resignation must be submitted to the [Click Here to Enter WDB Name](#). Chair. Three consecutive absences without justification and no response to the above referenced letter from the chair will be considered acceptable terms for resignation. Justification must be submitted in writing. The Board Chair has the authority to accept or deny justification.

By-Laws Guidance

Section 6. Vacancies

Upon vacancy of any position on this Board, the procedure in Article II, Section 1, will be followed to provide replacement representation to complete the remainder of that term of appointment.

Article 3 Meetings

Section 1. Regular Meetings

The Board shall meet at a public location at such time and place as determined by the Chairperson. All meetings must be held in an accessible facility, in accordance with the Americans with Disabilities Act (ADA) requirements. All materials must be in an accessible format (i.e., large print, Braille, interpreter, etc.), as needed or indicated.

The Board will meet no less than four times per program year. Regular Board meetings are face to face; however, Board members may attend meetings via conference call, video communications and other alternative methods.

Five working days' notice shall be delivered to each member stating a reasonable time, date and place of the meeting and the meeting's purpose unless deemed an emergency by the Chair or Executive Committee calling for said special meeting.

Section 2. Special Meetings

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

Section 3. Quorum

At all meetings (regular or special) of the Board, a majority of the Board members present constitutes a quorum for transacting business. A quorum shall require the participation of Board members constituting 51% of the total filled Board positions. Proxy representatives who are unable to cast votes shall not count toward meeting the quorum requirement. Votes may be cast via electronic medium for remote attendees. The act of the majority of the Board members present at a meeting at which a quorum is present shall be the act of the Board. However, a two-thirds vote of those present shall be required to amend any provision of these by-laws.

Section 4. Conduct of Meetings

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

By-Laws Guidance

Section 5. Open Meetings

Local Area Board Conducts Business Openly: The Local Area Board must conduct its business in an open manner as required by WIOA sec. 107(e), by making available to the public, on a regular basis through electronic means and open meetings, information about the activities of the local Board. (20 CFR 679.390) This includes:

- a. Information about the Local Area Plan, or modification to the Local Area Plan, before submission of the Local Area Plan;
- b. List and affiliation of Local Area WDB members;
- c. Selection of one-stop operators;
- d. Award of grants or contracts to eligible training providers of workforce investment activities including providers of youth workforce investment activities;
- e. Minutes of formal meetings of the Local Area Board; and
- f. Local Area Board by-laws, consistent with § 679.310(g).

Section 6. Proxy Representation and Voting

A member may designate a representative to attend a meeting of the Board in his/her absence. The proxy must meet the membership criteria for the member's affiliation type. The proxy will count toward the appointed member's attendance. The representative may participate in discussions and may vote so long as the member provides written voting instructions to the Chair allowing his/her proxy representative to cast votes in accordance with the written voting instructions.

Each Board member present shall be entitled to one vote on each matter for which a vote is taken. Votes may be cast telephonically or via electronic medium.

Section 7. Conflict of Interest and Voting

No WDB member (whether compensated or not) shall engage in any activity, including participation in the selection, award or administration of a sub-grant or contract supported by WIOA funds if a conflict of interest, real or apparent would be involved. Such a conflict would arise when:

- i. The individual,
- ii. any member of the individual 's immediate family,
- iii. the individual's partner, or
- iv. an organization which employs, or is about to employ any of the above, has a financial interest in the firm or organization selected for the award.

No WDB member, member of his/her immediate family, officers, employees, or agents of the WDB member's agency or business, shall neither solicit nor accept gratuities, favors, or anything of value from contractors, potential contractors, or parties to sub agreements.

By-Laws Guidance

A WDB member shall not cast a vote on, or participate in, any decision-making capacity on the provision of services by such member (or any organization which that member directly represents), nor on any matter which would provide any direct financial benefit to that member.

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

Article 4 Organization

Section 1. Officers

The officers of this Board shall be a Chair, a Vice-Chair, and a Secretary.

Section 2. Election of Officers

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

The Chair shall appoint a nominating committee to recommend officers who shall be elected from the Board's business sector membership and shall begin their term at the beginning of the new program year effective July 1. These officers shall serve until their successors are elected and qualified or until they are no longer Board members. If an officer is unable to complete his/her term the Board shall elect a successor to complete the remaining portion of the original term. The Vice-Chair shall not be required to succeed the Chair at the end of the Chair's term of office.

Section 3. Chair

The Chair shall preside at Board meetings, designate standing and ad hoc committees deemed appropriate and appoint their Chair and members. The Chair shall not vote except in the case of a tie, in which event he/she shall cast the deciding vote.

Section 4. Vice-Chair

The Vice-Chair shall assume all duties and responsibilities of the Chair in his/her absence from meetings. In the event that the office of Chair is vacated before the end of the term, the Vice-Chair shall assume the office in an acting capacity until such time as the Board elects a new Chair.

By-Laws Guidance

Section 5. Secretary

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

Section 6. Executive Committee

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

Section 7. Vacancy

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

Article 5 Committees

Section 1.

The Chair of the Board shall have the power, except as otherwise provided in this Article, to appoint the members of any Committee for a term of two (2) years. No Committee, except as elsewhere provided in this Article, shall take any action or position on behalf of the Board, bind the Board, or exercise the authority of the Board in the management of the Corporation. The Chair of all the Committees shall be members of the Board. The Executive Committee of the Board shall meet at the call of the Chair of the Board or the written request of any two (2) members of the committee. The Board's other Committees shall meet at the call of their respective Chair or the Chair of the Board.

Section 2.

Electronic meetings shall be permissible in lieu of face-to-face committee meetings at the discretion of the Committee Chair. An electronic meeting of the Committee occurs when Board members are in different locations, connected by electronic means, through audio, video, or both. All votes taken during an electronic meeting shall be by roll call. All scheduled electronic meetings shall be held in such a way that all members participating can hear each other at the same time. When speaking, each member will be asked to clearly identify himself, so that proper recognition is given and recorded. All Board policies, administrative practices, and by-laws shall apply equally to electronic meetings.

By-Laws Guidance

Section 3.

The Local Area WDB may establish standing committees to provide information and assist the Board in carrying out its responsibilities (20 CFR 679.360).

Article 6

Amendments

Section 1. Amendment Procedure

Board by-laws can be amended at any regular Board meeting provided the proposed amendment(s) has been submitted in writing to the Board members at least two weeks prior to the meeting.

Section 2. Vote Needed

The by-laws shall be amended upon affirmative vote by a two-thirds majority of the Board.

Article 7

Severability

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

Adopted This NUMBER DATE Day of MONTH, YEAR.

Board Director, Printed Name and Signature

Date

Chief Local Elected Official Printed Name and Signature

Date

Board Chair, Printed Name and Signature

Date

Guidance Regarding Meetings and Conferencing via Electronic Means

All public WDB meetings and Committee meetings will be held at specified times and places which are convenient and open to the public.

The Board believes it is in the best interest of its members, systems, and customers that the fullest participation and attendance in all meetings be achieved whenever possible. Furthermore, it recognizes that the use of electronic, audio or video conferencing for meeting attendance and voting requirements is permissible so long as the meeting is conducted in accordance with the Sunshine Provision.

The Board in all of its regular and special, standing committee, and ad hoc committee meetings complies with and intends to comply with the provisions of the Sunshine Provision. Therefore, the Board hereby adopts this policy, to be used when needed, to make use of the capabilities for conferencing by electronic means or any other type of audio or video conferencing for its meetings *or* any of the standing committee and ad hoc committee meetings as set forth and adopted according to the following rules as applicable:

- A. All pertinent provisions of the Sunshine Provision must be complied with, including specifically the proper notice of any regular or special meeting, the proper record keeping or minutes of each meeting, the appropriate agenda preparation for each meeting, which in addition shall be posted along with the notice of the meeting; and, in particular, any use of closed sessions shall be in compliance with the provisions of WIOA.
- B. All Board and Committee members attending meetings by electronic conferencing shall be entitled to vote as if they were personally and physically present at the meeting site so long as a quorum is, in total, present and accounted for, and their votes shall be recorded by the Board Director.
- C. A Board or Committee member who attends a meeting by electronic, video, or audio conference must provide notice to the Board Director at least 24 hours prior to the meeting unless such advance notice is impracticable.
- D. The location of the meeting included on the notice shall be equipped with a suitable transmission system (e.g., a speakerphone) in order that the public audience, the members in attendance and any staff in attendance will be able to hear any input, vote, or discussion of the conference and that the member attending by electronic means shall have a similar capability of hearing and participating in such input, vote, or discussion.
- E. As the Board or its committees begin each new matter of business, the Chair will check with all remote locations(s) where members are to ensure that each such connection is active.

Guidance Regarding Meetings and Conferencing via Electronic Means

- F. When a motion is made, and seconded, and discussion regarding the motion begins, the Chair will check that the connection with remote location(s) where members are present is active. Prior to closing discussion and taking any vote, the Chair will ask all remote location(s) where member(s) is(are) present whether there are any additional comments, questions, or information to be added to the discussion.

- G. All decisions will be made using majority rule except when a higher vote is required. There will be no muting of any connections with remote location(s) where members are present at any time. There will be no sidebar discussions.

- H. The procedures outlined above shall also apply to each Board and its Committee members.

Local Area WDB Membership Requirements

Representative of Business (WIOA Section 107(b)(2)(A))

Who May Satisfy the Requirements:

The majority of the members of the Local Area WDB must be representatives of private sector business in the local area. At a minimum, two members must represent small business as defined by the U.S. Small Business Administration. Business representatives serving on Local Area WDBs may also serve on the State Board. Each business representative must meet the following criteria:

- be an owner, chief executive officer, chief operating officer, or other individual with optimum policy making and hiring authority;
- provide employment opportunities in **in-demand** industry sectors or occupations, as those terms are defined in WIOA section 3(23); and provide high-quality, work-relevant training and development opportunities to its workforce or the workforce of others (in the case of organizations representing business as per WIOA Sec. 107(b)(2)(A)(ii); and
- are appointed from among individuals nominated by local business organizations and business trade associations.

In North Carolina, examples of allowable business organizations may include chambers of commerce, trade organizations, large non-profit organizations, such as Rex Hospital, and for-profit organizations, such as Duke Hospital, depending on the specific circumstances. Examples of unallowable business organizations include the N.C. Department of Public Safety or other state or municipal agencies.

Representative of Workforce (WIOA Section 107(b)(2)(B))

Who May Satisfy the Requirements:

Not less than 20% of the members of the Local Area WDB **must** be workforce representatives. These representatives:

- **must include two or more representatives of labor organizations**, where such organizations exist in the local area. Where labor organizations do not exist, representatives must be selected from other employee representatives;

Employee representatives must come from organizations that advocate, enhance, or protect the rights of a group of employees. In North Carolina, such examples include the North Carolina Association of Educators (NCAE), the State Employees Association of North Carolina (SEANC), and the National Guard Association). The National Council for Accreditation of Teacher Education (NCATE) is an example of an organization that is not allowable as a labor organization.

Local Area WDB Membership Requirements

- **must include one or more representatives of a joint labor management, or union affiliated, registered apprenticeship** program within the area who must be a training director or a member of a labor organization. If no union affiliated registered apprenticeship programs exist in the area, a representative of a registered apprenticeship program with no union affiliation must be appointed, if one exists.

In addition to the representatives enumerated above, the Local Area WDB **may** include the following to contribute to the 20% requirement:

- one or more representatives of community-based organizations that have demonstrated experience and expertise in addressing the employment, training, or education needs of individuals with barriers to employment, including organizations that serve veterans or provide or support competitive integrated employment for individuals with disabilities; and

In North Carolina, examples of allowable community-based organizations include organizations such as Goodwill and community action agencies.

- one or more representatives of organizations that demonstrated experience or expertise in addressing the employment, training, or education needs of eligible youth, including representatives of organizations that serve out-of-school youth.

Community College representatives would not be appropriate for this category.

Representatives of Education and Training (WIOA Section 107(b) (2)(C))

Who May Satisfy the Requirements:

The balance of Local Area WDB membership **must include:**

- **At least one** eligible provider administering **adult education and literacy** activities under WIOA Title II;
- **At least one** representative from an **institution of higher education** providing workforce investments activities, including community colleges; and
- **At least one representative** from each of the following governmental and economic and community development entities:
 - **Economic and community development** entities;
 - The **State Employment Service Office** under the Wagner-Peyser Act (29 U.S. C. 49 et seq.) serving the local area; and
 - The programs carried out under Title I of the Rehabilitation Act of 1973, other than Sec. 112 or part C of that title.

Local Area WDB Membership Requirements

In addition to the representatives enumerated above, the Chief Local Elected Official (CLEO) **may** appoint other appropriate entities in the local area, including:

- Entities administering education and training activities who represent local educational agencies or community-based organizations with demonstrated expertise in addressing the education and training needs for individuals with barriers to employment;
- Governmental and economic and community development entities who represent transportation, housing, and public assistance programs;
- Philanthropic organizations serving the local area;
- and Other appropriate individuals as determined by the Chief Local Elected Official (CLEO).
- The board chair shall be elected among the business representatives.

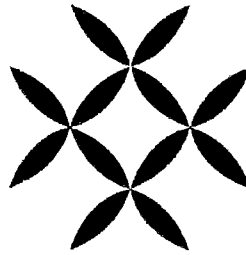
The Division of Workforce Solutions may request additional information from Local Area WDBs on representatives and the organizations they represent at any time in order to determine compliance with these requirements. The final determination on whether requirements are met is made by the Division of Workforce Solutions.

BOARD OF COMMISSIONERS

P. MICHAEL McLAIN
Chairman

SANDRA J. DUCKWALI
Vice Chairman

GARRY W. MEIGGS
CLAYTON D. RIGGS
TOM WHITE



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MICHAEL RENSHAW
County Manager

ANGELA WOOTEN
Clerk to the Board

JOHN S. MORRISON
County Attorney

RESOLUTION No. 2015-05-01

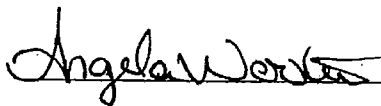
**APPROVING NORTHEASTERN WORKFORCE DEVELOPMENT CONSORTIUM
AGREEMENT**

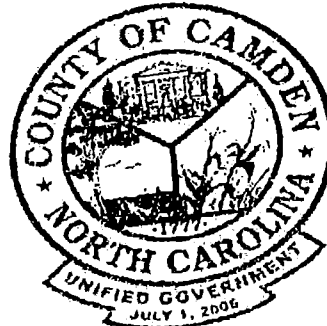
WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT; Chairman Michael McLain, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

ADOPTED, by the Camden County Board of Commissioners on this 4th day of May, 2015.


(Clerk to the Board)



Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

The Consortium shall be composed of the following independent and contiguous units of general purpose local government (the “Counties”):

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Camden County

Chairman Michael McChain
(Name of WIOA County Appointed Representative)

Michael McChain
(Signature of WIOA County Appointed Representative)

Date: May 5th, 2015

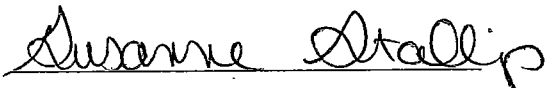
**RESOLUTION APPROVING NORTHEASTERN WORKFORCE DEVELOPMENT
CONSORTIUM AGREEMENT**

WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Ellis Lawrence, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Chowan County Board of Commissioners on this 18th day of May, 2015.



(Clerk to the Board)

Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

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

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Chowan

Ellis Lawrence
(Name of WIOA County Appointed Representative)

Ellis Lawrence
(Signature of WIOA County Appointed Representative)

Date: 6/1/15

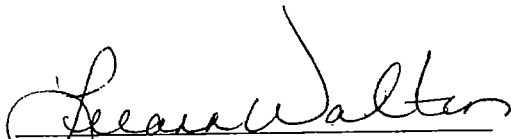
**RESOLUTION APPROVING NORTHEASTERN WORKFORCE
DEVELOPMENT CONSORTIUM AGREEMENT**

WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Marion Gilbert, Currituck County Commissioner, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Currituck County Board of Commissioners on this 1st day of June, 2015.



(Clerk to the Board)



Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

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

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Currituck

Marion Gilbert, Commissioner
(Name of WIOA County Appointed Representative)

Marion Gilbert
(Signature of WIOA County Appointed Representative)

Date: 6/1/15

**RESOLUTION APPROVING NORTHEASTERN WORKFORCE DEVELOPMENT
CONSORTIUM AGREEMENT**

WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

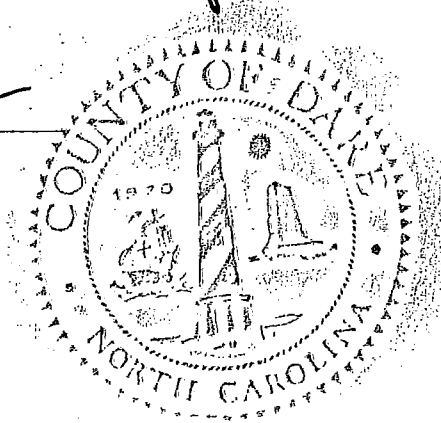
WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Robert Woodward, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the DARE County Board of Commissioners on this 20th day of April, 2015.

[Signature]
(Clerk to the Board)

GARY L. GROSS



Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

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

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA
 1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
 2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
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3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

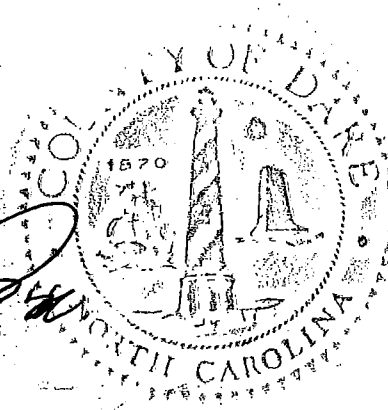
ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: DARE

Robert Woodard
(Name of WIOA County Appointed Representative)

[Signature]
(Signature of WIOA County Appointed Representative)



Date: 4/20/15

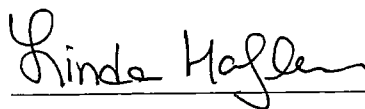
**RESOLUTION APPROVING NORTHEASTERN WORKFORCE
DEVELOPMENT CONSORTIUM AGREEMENT**

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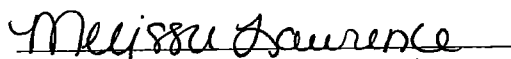
WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a “County Appointed Representative” for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Gates County, is hereby designated the “County Appointed Representative” for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Gates County Board of Commissioners on this 18th Day of May, 2015.



Linda Hofler, Chairman
Gates County Board of Commissioners



Melissa C. Lawrence, Clerk
Gates County Board of Commissioners



Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

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

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| E. Gates | J. Washington |

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

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3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Gates

Linda Hofler
(Name of WIOA County Appointed Representative)

Linda Hofler
(Signature of WIOA County Appointed Representative)

Date: 6/3/15

**RESOLUTION APPROVING NORTHEASTERN WORKFORCE DEVELOPMENT
CONSORTIUM AGREEMENT**

WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Earl D. Pugh, Jr., is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Hyde County Board of Commissioners on this 4th day of May, 2015.

Lois Statesberry
(Clerk to the Board)

Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

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

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA
 1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
 2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Hyde

Earl D. Pugh Jr.
(Name of WIOA County Appointed Representative)

Earl D. Pugh Jr.
(Signature of WIOA County Appointed Representative)

Date: May 4, 2015

**RESOLUTION APPROVING NORTHEASTERN WORKFORCE DEVELOPMENT
CONSORTIUM AGREEMENT**

WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Lloyd Griffin, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Pasquotank County Board of Commissioners on this 20th day of April, 2015.

Iman B. Scott
Asst (Clerk to the Board)

Joseph S. Winslow, Jr.
Joseph S. Winslow, Jr., Chairman
Pasquotank County Board of Commissioners

Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

The Consortium shall be composed of the following independent and contiguous units of general purpose local government (the “Counties”):

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS


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

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Pasquotank

Lloyd Griffin
(Name of WIOA County Appointed Representative)


(Signature of WIOA County Appointed Representative)

Date: 4/20/15



MARY P. HUNNICUTT
CLERK TO BOARD

W. FRANK HEATH, III
COUNTY MANAGER

PERQUIMANS COUNTY BOARD OF COMMISSIONERS

P.O. BOX 45
HERTFORD, NORTH CAROLINA 27944
TELEPHONE: 1-252-426-7550

JANICE MCKENZIE COLE
CHAIR

EDWARD R. MUZZULIN
VICE CHAIRMAN

T. KYLE JONES

FONDELLA A. LEIGH

WALLACE E. NELSON

MATTHEW PEELER

W. HACKNEY HIGH, JR.
COUNTY ATTORNEY

RESOLUTION APPROVING NORTHEASTERN WORKFORCE DEVELOPMENT CONSORTIUM AGREEMENT

WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT the Commissioner Fondella A. Leigh, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Perquimans County Board of Commissioners on this 4th day of May, 2015.

Mary P. Hunnicutt

Clerk to the Board



Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

The Consortium shall be composed of the following independent and contiguous units of general purpose local government (the “Counties”):

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Perquimans

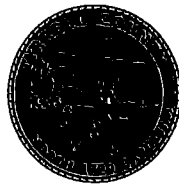
Fondella A. Leigh
(Name of WIOA County Appointed Representative)

Fondella A. Leigh
(Signature of WIOA County Appointed Representative)

Date: 5/4/2015

Tyrrell County Board of Commissioners

Post Office Box 449
Columbia, North Carolina 27925
Telephone (252) 796-1371



Leroy Spivey, Chairman
Carl Willis, Vice Chairman
Nathan T. Everett
Nina Griswell
Larry G. Hill

David L. Clegg, County Manager
Penny Rhodes Owens, Clerk to the Board
David Gadd, County Attorney

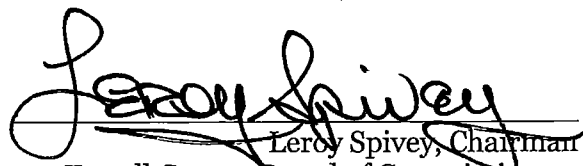
RESOLUTION OF THE TYRRELL COUNTY BOARD OF COMMISSIONERS APPROVING THE NORTHEASTERN WORKFORCE DEVELOPMENT CONSORTIUM AGREEMENT

WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

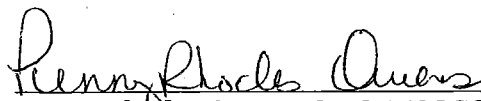
WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, The Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Leroy Spivey, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Tyrrell County Board of Commissioners on this 21st day of April, 2015.


Leroy Spivey, Chairman
Tyrrell County Board of Commissioners

ATTEST:


Penny Rhodes Owens, CMC, NCCCC
Clerk to the Board

Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

The Consortium shall be composed of the following independent and contiguous units of general purpose local government (the “Counties”):

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

ARTICLE VI. ASSURANCES AND CERTIFICATIONS

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

ARTICLE VII. FINANCING

1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
2. Any entity or joint agency created or designated by this Local Workforce Development Area, including the Northeastern Workforce Development Board, and the Albemarle Commission as administrative/fiscal agent, shall be considered a public agency for the purposes of the Local Government Budget and Fiscal Control Act of the State of North Carolina.

ARTICLE VIII. LIABILITY

1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
2. As among the Counties themselves, liability shall be supported, as follows:
 - a. To the extent that one or more (but not all) of the Counties benefit from WIOA funds, the expenditure of which is disallowed for any reason, said County or Counties shall be liable for the repayment of such funds.
 - b. To the extent that one or more of the Counties cannot be identified as the benefitting County or Counties of the WIOA funds in question, any disallowed expenditure shall be divided among the Counties on a pro rata basis, based upon the percentage of all WIOA funds allocated to each of the Counties for the program fiscal year during which the disallowed funds were disbursed. The percentage allocated shall be that percentage allocated for the appropriate fund source(s) disallowed.
3. Nothing contained in this Article VIII shall be interpreted so as to prohibit the Counties (or any of them) from seeking contribution or indemnification from the fiscal agent, any subrecipient, service provider, contractor or from any other such responsible person or entity.
4. The Counties shall contractually be held harmless by the program service providers from liabilities arising out of activities by the said providers under WIOA. In addition, each such provider will be required in its contract for services

to maintain a faithful performance blanket bond (or similar such coverage), which bond to the extent possible under prevailing insurance practices, shall name the Counties as additional insurers.

ARTICLE IX. ESTABLISHMENT OF A WORKFORCE DEVELOPMENT BOARD

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

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

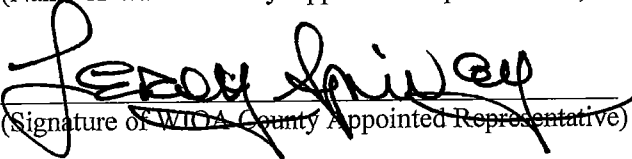
The agreement may be amended at any time upon the consent of all of the parties as evidenced by resolution of the governing bodies of each County and as approved by the State.

ARTICLE XII. TERMINATION

This Agreement may be terminated effective at the end of the current grant administration agreement program year upon the giving by any of the Counties of written notice of termination, which notice shall be given by certified mail to each of the other Counties and to the Albemarle Commission and which notice shall be so mailed to such entities not less than six months prior to the end of the current grant administration agreement program year

COUNTY: Tyrrell

Leroy Spivey
(Name of WIOA County Appointed Representative)


(Signature of WIOA County Appointed Representative)

Date: April 21, 2015

**RESOLUTION APPROVING NORTHEASTERN WORKFORCE DEVELOPMENT
CONSORTIUM AGREEMENT**

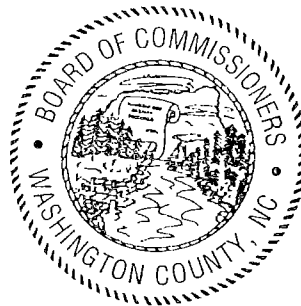
WHEREAS, the counties of Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington, being independent and contiguous units of local county government (the "Counties"), wish to agree to establish a workforce development consortium ("Consortium") to act jointly as a Local Workforce Development Area under the Workforce Innovation and Opportunity Act (WIOA), Public Law 113-128 as enacted July 22, 2014; and

WHEREAS, in addition to specific authority to enter into the agreement attached hereto, a "County Appointed Representative" for WIOA purposes upon whose representations the State, the Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely, must be designated and authorized to execute the attached agreement and such other agreements as are necessary for purposes of WIOA and who shall sit on the Consortium Board.

BE IT RESOLVED, THAT Commissioner Tracey A. Johnson, is hereby designated the "County Appointed Representative" for the foregoing purposes and as such he/she is fully authorized to execute the attached agreement and such other and further agreements on behalf of this County as are necessary for these purposes.

The foregoing Resolution was adopted by the Washington County Board of Commissioners on this 4th day of May, 2015.

Julie J. Bennett
(Clerk to the Board)



Northeastern Workforce Development Consortium Agreement

ARTICLE I. TITLE AND PURPOSE

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

ARTICLE II. MEMBERSHIP

The Consortium shall be composed of the following independent and contiguous units of general purpose local government (the “Counties”):

- | | |
|--------------|---------------|
| A. Camden | F. Hyde |
| B. Chowan | G. Pasquotank |
| C. Currituck | H. Perquimans |
| D. Dare | I. Tyrrell |
| E. Gates | J. Washington |

ARTICLE III. CERTIFICATION OF AUTHORITY

1. AUTHORITY UNDER STATE AND LOCAL LAW

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

2. SPECIFIC RESOLUTIONS TO ENTER INTO AGREEMENT

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

3. DESIGNATION OF COUNTY APPOINTED REPRESENTATIVE FROM EACH MEMBER COUNTY

Each of the Counties designates a County Appointed Representative for Workforce Innovation and Opportunity Act purposes, upon whose representations the State, the Northeastern Workforce Development Board, the Albemarle Commission (as the local administrative/fiscal agent) and the other Counties may rely. Such person shall be the signatory of this agreement and shall be authorized to execute such other agreements as are necessary for WIOA purposes and shall constitute the Consortium Board. The respective Counties may from time to time by resolution

designate some other person as the County Appointed Representative for Workforce Innovation and Opportunity Act purposes and such person shall have the same authority, duties and responsibilities as the originally designated County Appointed Representative.

4. DESIGNATION OF CHIEF ELECTED OFFICIAL (CONSORTIUM CHAIRMAN) FOR LOCAL WORKFORCE DEVELOPMENT AREA

1. The "chief elected official" (Consortium Chairman) of the Local Workforce Development Area shall be the presiding officer of the Consortium Board and the chief executive officer of the Consortium. Such official shall be authorized to exercise all functions, duties and responsibilities of the WIOA "chief elected official" which are required under the WIOA.
2. Upon the designation of the Counties as a Local Workforce Development Area, the Consortium Board shall meet and shall elect one of its members as the WIOA "chief elected official" until his/her successor shall have been duly elected and qualified.

ARTICLE IV. PROCEDURAL MATTERS

Except as otherwise set forth in this Agreement, with respect to adoption or approval of matters concerning the administration of the WIOA within the area, the vote of a majority of the total number of members of the Consortium Board shall be required for action of the Consortium. The members of the Consortium Board shall be entitled to vote only if in attendance at the meeting and no voting by proxies shall be allowed; provided, however, that the Consortium Board may take action without a meeting and with or without notice if said action is in writing and signed by all members of the Consortium Board and provided further that a meeting may be duly conducted by conference telephone or other similar means if all Board members participating in the meeting are able to hear each other. Meetings of the Consortium Board may be called by the local administrative/fiscal agent, "chief elected official" or by two Board members. Except for action taken by unanimous written consent as referred to above, notice of any meeting of the Consortium Board shall be given at least five (5) days prior to said meeting, which notice shall be in writing and shall state the purposes of said meeting and which notice shall be deemed to have been given upon the mailing of such notice by regular mail or email; provided, however that the "chief elected official" in his discretion may call an emergency meeting by causing the giving of telephonic notice not less than twenty-four hours, which notice shall state the purpose of said meeting.

ARTICLE V. DURATION

This agreement will become effective on the date of the last County Appointed Representative's signature and shall continue in effect until the local Workforce Development Area is re-designated by the Governor of North Carolina or by termination of this Agreement by any of the Counties as provided for in Article XII.

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

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1. It is anticipated that funding necessary to implement this agreement will be derived from federal grant funds received through the Governor of North Carolina. The Counties accordingly agree that they shall not be assessed except by the unanimous agreement of the Counties or except as set forth in Article VIII below.
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1. The Counties acknowledge that they are jointly and severally accountable for liabilities arising out of activities within the local area under the Workforce Innovation and Opportunity Act, and all funds received by the local workforce development area pursuant to WIOA. Liability includes, but is not limited to, responsibility for prompt repayment from non-program funds of any misexpenditures of WIOA funds by any entity within the local area.
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The Counties agree that the Northeastern Workforce Development Board shall be established in accordance with Section 107 of the Workforce Innovation and Opportunity Act and applicable State of North Carolina laws including G.S. 143B-438.11.

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

ARTICLE X. APPOINTMENT OF PERSONNEL

Appointment of personnel shall be as described in the Northeastern Workforce Development Board/Chief Elected Official Agreement.

ARTICLE XI. AMENDMENTS

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

ARTICLE XII. TERMINATION

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COUNTY: Washington

Tracey A. Johnson
(Name of WIOA County Appointed Representative)

Tracey A. Johnson
(Signature of WIOA County Appointed Representative)

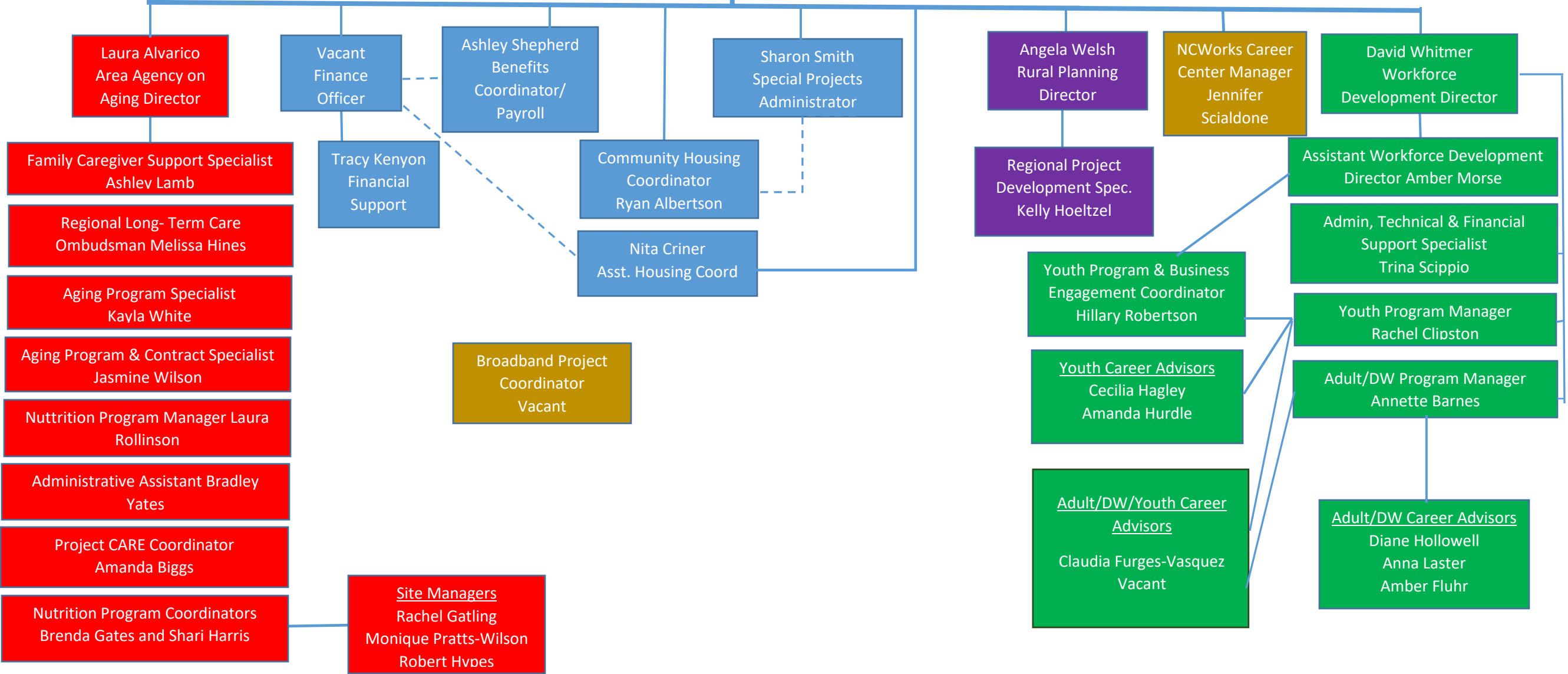
Date: May 4, 2015



Albemarle Commission

Michael Ervin
Executive Director

Nicole Owens
Admin & Front Desk Specialist



Northeastern Workforce Development Board WIOA Board List

August 2023

	Category	Name and Business Title	Business Name and Address	Phone Number	Email Address	Term
1.	Business, Chair (July 1, 2023 – June 30, 2024)	Sean Lavin, Manager of Program Operations	TCOM, LP, 190 TCOM Drive, Elizabeth City, NC 27909	252-714-3358	lavinsh@tcomlp.com	July 1, 2022 - June 30, 2024 3 rd term Leadership (Chair), Career Center Committee
2.	Business	Richard Thorne, Jr., President of HDM Associates	HDM Associates 106 Tarheel Court Elizabeth City NC 27909	757-639-2820	hdm.rtt@gmail.com	July 1, 2022 - June 30, 2024 2 nd term Career Center Committee
3.	Business	Ervin Bateman, Owner	Sugar Creek Restaurant, 7340 S. Virginia Dare Trail, Nags Head, NC 27959	252-202-1072	poorridge@charter.net ervinbateman@darenc.com	July 1, 2022 – June 30, 2024 (Appointed 8/3/2023)
4.	Business	Alvan Overton, Owner	Bout Thyme Kitchen 109 N Church Street Hertford, NC 27944	252-331-9054	Overton06@gmail.com	July 1, 2022 - June 30, 2024 (Appointed 3.24.21) 1 st term NextGen Committee

Notes:

- In obtaining nominations and making appointments, follow Workforce Innovation and Opportunity Act Section 107(b)(2) and US Department of Labor Training and Employment Guidance Letter (TEGL) 27-14.

- *If Local Workforce Development Board Area has more than 19 total members: 1) add lines to chart and complete all columns for additional members; 2) ensure required percentages are still met.

Northeastern Workforce Development Board WIOA Board List

August 2023

5.	Business	Kirstin Bradley, Pharmacy Manager	Columbia Pharmacy, 214 Main St Columbia, NC 27925	919-810-0405	knbradle@gmail.com	July 1, 2022- June 30, 2024 Appointed 4/21/2022 1 st term BROC Committee
6.	Business	JD Williamson, President	Williamson CPA, PLLC, 1079 Tulls Creek Road, Moyock, NC 27958	757-449-9697	johndouglaswilliamson@gmail.com	July 1, 2022 - June 30, 2024 2 nd term Finance Committee (Chair), Leadership
7.	Business	Krystal Watson, VP of HR	Regulator Marine, 187 Peanut Drive, Edenton, NC 27932	252-482-3837	krystal.watson@regulatormarine.com	July 1, 2022- June 30, 2024 (Appointed 3/1/2022) 1 st term BROC Chair
8.	Business	Lisa Brown, Managing Broker/Owner	Inner Banks Real Estate Group, Inc 260 Hwy 158 E. Camden, NC 27921	757-619-8064	intheobx@gmail.com	July 1, 2022 - June 30, 2024

Notes:

- In obtaining nominations and making appointments, follow Workforce Innovation and Opportunity Act Section 107(b)(2) and US Department of Labor Training and Employment Guidance Letter (TEGL) 27-14.

- *If Local Workforce Development Board Area has more than 19 total members: 1) add lines to chart and complete all columns for additional members;
2) ensure required percentages are still met.

Northeastern Workforce Development Board WIOA Board List

August 2023

						(Appointed 3.24.21) 1 st term NextGen Committee
9.	Small Business	Carlos Riddick, Owner/Office Manager	Paradise House of Funerals, Inc, 383 Hwy 64 W Plymouth, NC 27962	252-217-5174	Carlosriddick66@gmail.com	July 1, 2022 - June 30, 2024 Appointed: 12/28/2021 1 st term Finance Committee
10.	Small Business (Vice-Chair July 1, 2023 – June 30, 2024)	Janet Russ, Vice-President	Coastal Electric Contracting Company, 9010 Piney Wood Rd., Fairfield, NC 27826	252-926-8251	coastalelectric@hotmail.com	July 1, 2022 - June 30, 2024 3rd term Finance Committee, Leadership
11.	Labor Organization, or where none exists, other representative of employees (provide organization affiliation)	Dave Carroll (Organized Labor), Range Control Officer, Air Force Dare County Bombing Range	AFL-CIO; 202 West Amberjack Court, Nags Head, NC 27959	252-489-1572	dave@paxgaea.com	July 1, 2023– June 30, 2025 5 th term BROC Committee
12.	Labor Organization, or where none exists, other	Charlie Long, Int'l Asst. of Machinist and	International Association of	757-466-7665	tvfemtceb697@gmail.com	July 1, 2023 – June 30,

Notes:

- In obtaining nominations and making appointments, follow Workforce Innovation and Opportunity Act Section 107(b)(2) and US Department of Labor Training and Employment Guidance Letter (TEGL) 27-14.

- *If Local Workforce Development Board Area has more than 19 total members: 1) add lines to chart and complete all columns for additional members;
2) ensure required percentages are still met.

Northeastern Workforce Development Board WIOA Board List

August 2023

	representative of employees <i>(provide organization affiliation)</i>	Aerospace Workers, Business Representative	Machinist & Aerospace Workers, 5307 E. Virginia Beach Blvd., Norfolk, VA			2025 2 nd term Career Center Committee
13.	Joint Labor- Management, or union affiliated, registered apprenticeship program. Or where none exists, representative of registered apprenticeship program <i>(provide representative's affiliation)</i>	Montique McClary Human Resources Director (Apprenticeship)	City of Elizabeth City Parker Midgett Bldg. 302 E. Colonial Ave Third Floor A Elizabeth City NC 27909	252-335-2199	mmclary@cityofec.com	July 1, 2023– June 30, 2025 2 nd term Career Center Committee
14.	Labor or Apprenticeship or Community Based Organization or organizations addressing needs of eligible youth <i>(Identify choice of category represented)</i>	Dr. David R. Loope Vice-President, Beaufort-Hyde Partnership for Children (Community Based Organization)	5337 US Hwy 264 E Washington, NC 27889	252-940-6201	Dave.loope@beaufortcc.c.edu	July 1, 2023 – June 30, 2025 3 rd term BROC Committee
15.	Adult Education and Literacy eligible under WIOA Title II	Kimberly Gregory Director, College and Career Readiness	1208 N. Road Street Elizabeth City NC 27909	252-335-0821 ext. 2259	Kimberly_gregory73@albemarle.edu	July 1, 2023 – June 30, 2025 2 nd term NextGen Youth Committee
16.	Higher Education	Amber Lennon, Director of Career & Professional Development & QEP	Elizabeth City State University	980-335-3304	alennonharmon@ecs.edu	July 1, 2023 – June 30, 2025

Notes:

- In obtaining nominations and making appointments, follow Workforce Innovation and Opportunity Act Section 107(b)(2) and US Department of Labor Training and Employment Guidance Letter (TEGL) 27-14.

- *If Local Workforce Development Board Area has more than 19 total members: 1) add lines to chart and complete all columns for additional members; 2) ensure required percentages are still met.

Northeastern Workforce Development Board WIOA Board List

August 2023

			1704 Weeksville Rd, Elizabeth City, NC 27909			Appointed 4/21/22 1 st term Finance Committee
17.	Vocational Rehabilitation Program	Angela Ferebee, Unit Manager	Vocational Rehabilitation, 401 S. Griffin Street Ste. 100 Elizabeth City, NC 27909	(252) 621-6160	angela.r.ferebee@dhhs.nc.gov	July 1, 2023 – June 30, 2025 Appointed 5/7/2023 to fill term 1 st term Career Center Committee
18.	Economic Development	Joseph (Trey) Goodson III, Director of Marketing & Communications	NC East Alliance, 209 E. 5 th St. Greenville, NC	252-814-0484	goodson@nceast.org	July 1, 2023 – June 30, 2025 Appoint 2.10.23 – completing prior term 1 st term BROC Committee
19.	Wagner-Peyser Act	Larry Donley, Regional Operations Manager	NC Division of Workforce Solutions;	252-355-9067 ext. 231	Larry.donley@nccommerce.com	July 1, 2023 – June 30, 2025

Notes:

- In obtaining nominations and making appointments, follow Workforce Innovation and Opportunity Act Section 107(b)(2) and US Department of Labor Training and Employment Guidance Letter (TEGL) 27-14.

- *If Local Workforce Development Board Area has more than 19 total members: 1) add lines to chart and complete all columns for additional members;
2) ensure required percentages are still met.

Northeastern Workforce Development Board WIOA Board List

August 2023

			3101 Bismark Street, Greenville, NC 27834			3 rd term Career Center Committee
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- * **By submission of this form, the Workforce Development Board certifies its compliance with the appointment and nomination process of business representatives from among local business organizations and business trade associations. [WIOA Section 107(b)(2)(A)]**

Notes:

- In obtaining nominations and making appointments, follow Workforce Innovation and Opportunity Act Section 107(b)(2) and US Department of Labor Training and Employment Guidance Letter (TEGL) 27-14.

- *If Local Workforce Development Board Area has more than 19 total members: 1) add lines to chart and complete all columns for additional members;
2) ensure required percentages are still met.

1 **BYLAWS**
2 **NORTHEASTERN WORKFORCE DEVELOPMENT BOARD**

3
4 **ARTICLE I**
5 **NAME AND LOCAL AREA**
6

7 **Section 1. Name**

8 The name of this organization shall be the Northeastern Workforce Development
9 Board, hereafter referred to as the NWDB.
10

11 **Section 2. Local Area (LA)**

12 The area served by the NWDB shall be the area served by the Northeastern Workforce
13 Development Consortium. This area consists of the following counties: Camden,
14 Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell, and
15 Washington.
16

17 **Section 3. Purpose**

18 Workforce Development Boards have been established in each Local Area as a means of
19 enhancing the partnership concept and addressing employment and training problems at
20 the local level. Planning for employment and training programs under the Workforce
21 Innovation and Opportunity Act (WIOA) and/or other federal, state, local or foundations
22 grants awarded are accomplished at the regional level through the Northeastern
23 Workforce Development Board.
24

25 **ARTICLE II**
26 **DUTIES AND RESPONSIBILITIES OF THE WORKFORCE**
27 **DEVELOPMENT BOARD**
28

29 **Section 1. Duties and Responsibilities of the NWDB Regarding Federal and**
30 **State Mandates**

31 The local Workforce Development Board in coordination and conjunction with the
32 Chief Elected Official shall carry out the duties and responsibilities assigned to the
33 board by the Workforce Innovation and Opportunity Act, the Commission and all
34 grant funding awarded to the local area through the Division of Workforce Solutions.
35 The duties and responsibilities shall include but are not limited to the following:
36

- 37 A. Develop an annual workforce investment plan.
38 B. Conduct oversight of the NC Works Career Center system, Youth,
39 Adult and Dislocated Worker employment and training activities provided
40 under Title I of the Workforce Innovation and Opportunity Act.
41 C. Select NC Works Career Center operators and certify the operators and centers

- 42 using the State’s certification process.
- 43 D. Negotiate memorandums of understanding with each NC Works Career Center
44 partner as required in Section 121(a) (1) of the Workforce Innovation and
45 Opportunity Act.
- 46 E. Select eligible Youth service providers based on the recommendations of the
47 Youth Committee, and identify eligible providers of Adult and Dislocated
48 Workers intensive services and training services.
- 49 F. Approve and maintain a list of training providers that are eligible to receive
50 referrals of WIOA participants to train.
- 51 G. Negotiate and reach agreement on local performance measures with the Chief
52 Elected Official and the Commission.
- 53 H. Carry out analysis of regional conditions and assist the Governor’s designee,
54 the Division of Workforce Solutions, in developing the statewide labor market
55 information system under the Wagner-Peyser Act.
- 56 I. Lead efforts to engage employers and coordinate workforce development
57 activities with economic development strategies.
- 58 J. Promote private sector involvement in the statewide workforce investment
59 system.
- 60 K. Lead efforts to develop and implement career pathways.
- 61 L. Identify and promote proven and promising practices for meeting the needs of
62 employers, and workers and jobseekers.
- 63 M. Develop strategies for using technology to maximize the accessibility and
64 effectiveness of the local workforce development system and employers, and
65 workers and jobseekers.
- 66 N. Enhance coordination with education partners.
- 67 O. Assess the physical and programmatic accessibility of Career Centers annually
68 in accordance with applicable nondiscrimination provisions under Title I of the
69 WIOA and the Americans with Disabilities Act.

70

71 **Section 2. Duties and Responsibilities of the NWDB Regarding NWDB**
72 **Personnel Oversight**

73 The NWDB and Consortium shall consult with the Albemarle Commission on the
74 employment and discharge of the NWDB Director and make recommendations as to
75 the Director’s duties, compensation, and employment.

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ARTICLE III
NWDB MEMBERSHIP

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Section 1. General

NWDB members shall be appointed in a manner consistent with WIOA Section 107.

Section 2. Membership

The Northeastern Workforce Development Board shall consist of 19-members from the private and public sector from the ten (10) county Albemarle region. This diversity of the representatives insures a geographical balance.

Nominations for private sector business representatives will come from general purpose business organizations such as: (Chamber of Commerce's or Like organizations).

The nominees shall be referred to and appointed by the Workforce Development Consortium to the Workforce Development Board. Each member must have the policymaking authority coming from these organizations, agencies or entities they represent.

There shall be at least one member from the below categories to be eligible for membership and consistent with WIOA Section 107.

The general business category (Private sector) must represent at least 51% (10 members) of the board's membership:

- a. Business

At least 20% (4) of the Board's membership must be comprised of a combination of representatives from:

- a. Organized Labor, two (2) members
- b. Apprenticeship
- c. Community Based Organizations

The public sector category (public) will make up the balance of the membership as follows:

- a. Adult Education and Literacy
- b. Higher Education
- c. Economic Development
- d. Vocational Rehabilitation

125 e. State Employment Service

126
127 Section 3. Terms of Membership

128 NWDB members will serve two-year terms and may be reappointed for additional terms
with no limit of total terms served.

- 129
130 1. Business (private sector) representative terms expire on even years
131 2. Non-business (public sector) representative terms expire on odd years.

132
133 All terms expire on June 30 and NWDB members will be appointed or reappointed on
134 or before the July meeting.

135
136 Members filling a vacant position will complete the term of the vacant position.

137
138 At the end of the appointment, the member will be eligible to continue to be a member
139 for the term as described above.

140
141 Section 4. Vacancies

142 Once there is a vacancy to the NWDB board, the NWDB Director shall immediately
143 notify the Chief Elected Official and the Chair of the NWDB Board of any vacancy.
144 The vacant position will be filled by a like or similar appointee determined by the
145 category/classification needed to comply with the WIOA Section 107 to maintain
146 balanced representation between the private and public sectors.

147
148 **ARTICLE IV**
149 **OFFICERS**

150
151 **Section 1. Chair**

152 The NWDB shall have a Chair who will be elected from among the representatives of
153 the private sector by the NWDB membership. The Chair shall preside at all meetings
154 of the group, appoint committees and their Chair and Vice-Chair as needed and in
155 general perform all duties incident to the office of Chair.

156
157 **Section 2. Vice-Chair**

158 The NWDB shall have a Vice-Chair who will be elected from among the
159 representatives of private sector by the NWDB membership. In the absence, disability
160 or resignation of the Chair, the Vice-Chair shall perform the duties of that officer.

161 **Section 3. Term of Office**

162 The term of office of the Chair and Vice-Chair shall be for a period of one (1) year.
163 Officers may succeed themselves. In the event of the resignation of an officer, the
164 replacement shall serve out the remainder of the term.

165
166 A. Elections. The terms of office shall begin on the date of the first meeting in July.
167 Elections shall be held on or before the regularly scheduled NWDB meeting in
168 July.

169
170 **ARTICLE V**
171 **STAFF**

172
173 **Section 1. NWDB Support**

174 The NWDB shall be supported in the performance of its duties by Albemarle
175 Commission staff member(s). This staff shall be responsive to the needs of the
176 NWDB and shall support the NWDB. The staff assignments will be made by the
177 NWDB Director.

178
179 **ARTICLE VI**
180 **ORGANIZATION**

181
182 **Section 1. Committees**

183 The NWDB shall, as necessary, be organized into standing committees to carry out its
184 functions and responsibilities. Standing committees may be established by the
185 NWDB. The NWDB Chair shall designate committee chairs and members. Non-
186 NWDB committee members shall be appointed by the Leadership Committee.
187 Resource members shall be appointed as needed by the committee on which they are
188 to serve. All committees shall have a minimum of 3 members.

189
190 **Section 2. Ad Hoc Committees**

191 Ad hoc committees may be established by the NWDB as required to deal with specific
192 issues. The NWDB Chair shall designate members.

193
194 **Section 3. Committee Meetings**

195 Committees shall meet at times and places to be designated by their respective chair.
196 Each committee member shall have one (1) vote and no proxy votes shall be allowed.

197
198
199
200

201 **Section 4. General**

202 Committees will meet as deemed necessary by the committee chair. In the absence of
203 the committee chair, the committee vice-chair will facilitate the meeting. Resource
204 members may discuss agenda items at their assigned committee meeting. Voting items
205 for committees will be decided by a majority of committee members present at a
206 meeting. Voting items for the Board will follow Article VIII Section 6.

207

208

ARTICLE VII

209

COMMITTEE STRUCTURE

210

211 **Section 1. Committees**

212 All board members will serve on at least one committee. The NWDB shall have at
213 least the following standing committees:

214

215

1. Youth Committee This committee will provide information and assist with
216 planning, operational and other issues relating to the provisions of services to
217 youth and shall include community-based organizations with a demonstrated
218 record of success in serving eligible youth. The Youth Committee shall include up
219 to fifteen (15) members representing agencies, organizations and businesses
220 identified by NWDB.

221

222

2. Leadership Committee Responsibilities of this committee will include but are
223 not limited to the following:

224

225

Acting as the overseer of committees, in this capacity coordinating the
226 work of the standing and ad-hoc committees and monitoring their
227 performance.

228

229

Acting for the full NWDB in bona fide emergencies--when NWDB action
230 is imperative and circumstances make assembling the NWDB impractical.

231

232

Providing direction to the Board and staff regarding moving the board's
233 strategic plan forward.

234

235

The Leadership Committee shall be composed of the NWDB Chair, Vice-Chair,
236 Chair of any standing committees, and Chair of any Ad-hoc committees.

237

238

3. Career Center Committee. This committee will provide information and assist
239 with operational and other issues relating to the one-stop delivery system.

239

243 **ARTICLE VIII**
244 **BOARD MEETINGS**

245
246 **Section 1. Quorum**

247 A majority of members will constitute a quorum for the transaction of business.
248 Vacancies will not be considered in the total to determine a quorum.

249
250 **Section 2. Attendance**

251 The NWDB recognizes the value of time and effort of all volunteering board
252 members. The board also recognizes the necessity of regular attendance and
253 engagement at scheduled and committee meetings. It may be recommended to the
254 appointing body that a member be dismissed and replaced. The following criteria will
255 be considered grounds for such recommendation:

- 256
- 257 a. Three (3) unexcused absences from regular board and committee meetings
258 without notification to the Board Chair or Board approved designee OR
 - 259 b. Missing (excused or unexcused) fifty percent (50%) of regular board and
260 committee meetings during a twelve (12) month period OR
 - 261 c. Actions which are in violation of the Code of Conduct that would render the
262 member unsuitable to represent the category to which he/she has been
263 assigned by the NWDB.
- 264

265 An excused absence is determined by proper notification to the Board Chair or Board
266 approved designee at least 1 hour before the meeting. The 12-month period begins on
267 the appointment date of the member.

268
269 The decision to recommend to the appropriate appointing body dismissal of a member
270 will be based on the sound and considered judgment of the NWDB Leadership
271 Committee and a two-thirds vote of all Leadership Committee members. This
272 recommendation will be presented to the Consortium for the final action.

273
274 **Section 3. Electronic Participation**

275
276 Members may participate via electronic media (i.e.; telephone conference, video
277 conference or similar communication equipment).

- 278
- 279 A. Prior to the NWDB meeting, any items on the agenda that will be voted on shall
280 have been received by all members at least 24 hours prior to the meeting.
- 281
282

- 283 B. Electronic media shall be set up at the meeting so that all members present will
284 be able to hear the vote and participate in the discussion by attending
285 electronically.
- 286 C. The Clerk shall record the name of the member in the minutes as voting
287 “electronically”.
- 288 D. Participation by such means shall constitute presence in person at the meeting.
- 289 E. Members are encouraged to attend electronically no more than two meetings
per year. Exceptions to this may be made by the NWDB Chair on an individual
basis with prior approval.

290
291

292 Section 4. Regular Meetings

293 The NWDB shall meet, at a minimum, on a quarterly basis. Notifications of meetings
294 with agenda shall be sent electronically at least forty-eight hours prior to the meeting
295 date, unless a hard copy is requested.

296

297 Section 5. Meeting Reimbursement

298 Members will have their mileage to and from required meetings reimbursed at the
299 federal per mile rate. Food will usually be provided at the meetings.

300

301 Section 6. Special Meetings

302 The Chair may call special meetings of the NWDB as required. Upon receipt of
303 written requests from a majority of members of the NWDB, the Chair shall call a
304 special meeting of the NWDB to convene within fourteen (14) days.

305

306 Section 7. Voting

307 All actions of the NWDB shall be determined by a majority vote of the members
308 present except the adoption and amendment of the bylaws, which must be approved
309 by the Consortium. Each member of the NWDB shall have one (1) vote. No proxy
310 voting shall be allowed.

311

312 Section 8. Order of Business

313 The Chair shall be responsible for orderly business of the NWDB and for calling items
314 of the agenda and the consent agenda if appropriate.

315

316 Section 9. Agenda

317 The NWDB Director in consultation with the Chair shall develop the agenda,
318 including a consent agenda when appropriate, for NWDB meetings. “Other business”
319 shall be on all agenda in the event that any board member has an item of business or
320 concern to bring before the NWDB.

321

322 Section 10. Rules

323 All procedures of the NWDB not set forth in these bylaws or the NWDB
324 Agenda/Review Procedures shall be governed by the rules set forth in “Rules of

325 Procedure for Board of County Commissioners, Third Edition”, by Joseph S. Ferrell
326 and published by the School of Government. The following clarifications shall be
327 incorporated as well:

328 A. Rule 14. –Action by the Board. Any member, including the chair, may make a
329 motion.

330 B. Rule 15. -Second not Required. All motions will require a second.

331 C. Rule 23. -Duty to Vote. A member who fails to vote, not having been excused,
332 shall be recorded as voting in the affirmative.

333

334 **Section 11. Open Meetings**

335 All meetings of the NWDB shall be open to the general public and minutes shall be
336 maintained and transmitted to members.

337

338 **Section 12. Public Comments**

339 Public comments at board meetings shall be at the discretion of the board.

340

341 **Section 13. Closed Session**

342 The NWDB may hold closed sessions only as permitted under the North Carolina
343 General Statutes.

344

345 **Section 14. Accessible Accommodations**

346 Board meetings will be held in accessible facilities with accessible materials available
347 upon request.

348

349

ARTICLE IX

350

BYLAWS AMENDMENT PROCEDURE

351

352 Only the Consortium may amend the bylaws with a thirty (30) day notice prior to the
353 Consortium meeting. The NWDB can provide recommendations to the Consortium by
354 a two-thirds vote of the members present.

355

356

ARTICLE X

357

CONFLICT OF INTEREST

358

359 **Section 1. Conflict of Interest**

360 No member of the NWDB serving under the Act shall cast a vote on the provision of
361 services by that member, or any organization that the member directly represents, or
362 vote on any matters that would provide direct financial benefit to the member.

363 Members abstaining from voting will be recorded in the minutes. All board members
364 and committee members will sign a Conflict of Interest statement provided by the
365 staff.

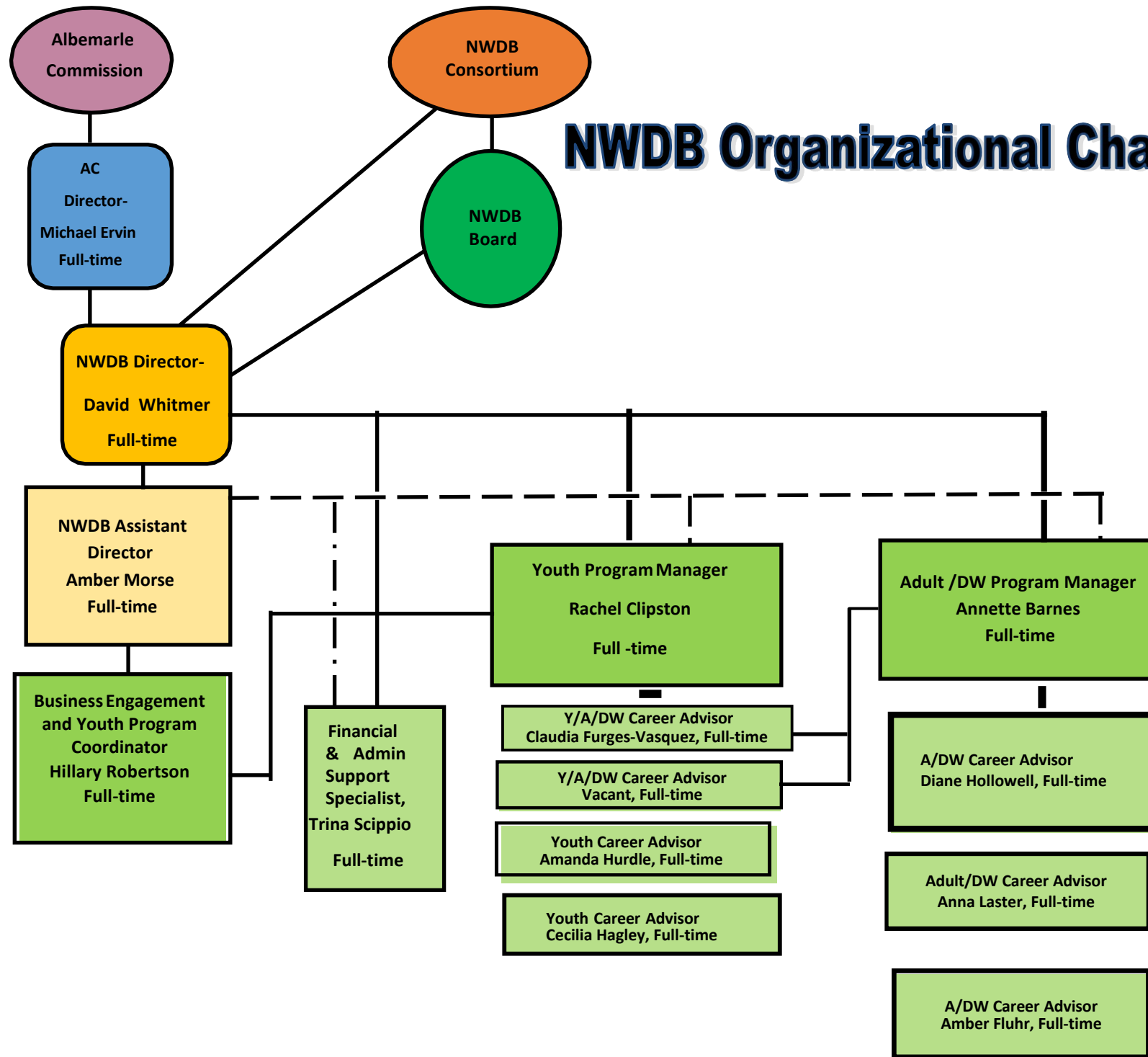
Local Area WDB By-Laws Required Elements – Crosswalk

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

Local Area WDB By-Laws Required Elements – Crosswalk

North Carolina Specific Requirements That Must be Specified Within the By-Laws.	The Article/Section Where the Required Elements are Located Within <i>Current</i> By-Laws.
8. The adopted generally accepted parliamentary procedure, such as Robert’s Rules of Order, chosen by the Local Area WDB.	Article VI Section 10
9. Whether an appointee filling a vacancy will serve the remainder of the unexpired term or be appointed for a new full term.	Article III Section 3
10. The Local Area WDB’s policy assuring attendance and participation of its members.	Article VII Section 2
11. Quorum requirements to be not less than 51% constituting 51% of the total filled Local Area WDB positions.	Article VIII Section 1
12. Any standing committees the Local Area WDB has established shall be included in the by-laws.	Article VII Section 1
13. The Local Area WDB’s conflict of interest policy, which may not be any less stringent than the requirements of the Commission’s Policy Statement, shall be referenced in the by-laws.	Article X Section 1
14. The process the Local Area WDB will take when expedient action is warranted between Local Area WDB meetings, such as calling a special meeting or allowing the Executive Committee to act on behalf of the Local Area WDB.	Article VII Section 1 (2) – Leadership Committee
15. Local Area WDB meetings will be held in accessible facilities with accessible materials available upon prior request.	Article VIII Section 14
16. The Local Area WDB will meet no less than four times per program year.	Article VIII Section 4

NWDB Organizational Chart



Instructions for Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Before completing this certification, read the instructions below which are an integral part of the certification.

1. By signing and submitting the certification signature page with this proposal, the prospective primary participant is providing the certification set out above.
2. The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out above. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participants, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, Subpart 9.4, debarred, suspended, declared ineligible or voluntarily excluded from participation in this covered transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "A Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Instructions for Certification Regarding Debarment, Suspension, and Other Responsibility Matters

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR Part 9, Subpart 9.4, debarred, suspended, ineligible or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-Procurement programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, Subpart 9.4, suspended, debarred, ineligible or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters


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

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

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Michael, L Ervin, Executive Director, Albemarle Commission

Printed Name and Title of Authorized Administrative Entity Signatory Official



03 / 18 / 2024

Signature

Date

Title	Debarment Form
File name	Northeastern Debarment Form.docx
Document ID	a281d804b67289eba7aa114cac9e4e58e6563b10
Audit trail date format	MM / DD / YYYY
Status	● Signed

Document History



SENT

03 / 18 / 2024

16:14:32 UTC-4

Sent for signature to Mike Ervin (mervin@accog.org) from dwhitmer@accog.org
IP: 65.141.36.74



VIEWED

03 / 18 / 2024

17:51:49 UTC-4

Viewed by Mike Ervin (mervin@accog.org)
IP: 75.165.148.123



SIGNED

03 / 18 / 2024

17:53:43 UTC-4

Signed by Mike Ervin (mervin@accog.org)
IP: 75.165.148.123



COMPLETED

03 / 18 / 2024

17:53:43 UTC-4

The document has been completed.

Directions for Completing Attachment: NCWorks Career Center Locations

Complete the Attachment on the next page to describe the Local Area WDB's One-Stop Career Center system.

Column A

Include each One-Stop Career Center(s)' name and street address, host facility, phone number, and hours of operation. List each name, street address, phone number, and hours of operation for locations of additional Youth Sites, if they are not included in the One-Stop Career Centers listed. List the counties served by the One-Stop Career Center.

Column B

Specify the type of Career Center and list all counties served by each site. Type of Center Designations: Comprehensive or Affiliate Sites.

Column C

List the on-site partners, identify funding source and agency name such as Title I (Adult and Dislocated Worker (DW)), Youth, Job Corps, YouthBuild, National Farmworkers and Native American Programs), Wagner-Peyser, Trade Act, Career and Technical Education. Career Center Partners should, at a minimum, reflect required WIOA partners (WIOA 121(b)(1)(B)).

Column D

List the Career Center Operator (agency name) and Method of Selection (Competitive Procurement, Sole Source to include year of procurement and/or if contract was extended).

Column E

List the WIOA Providers of Title I Adult and DW Career Services (agency name) and method of selection. (Method of Selection: Competitive Procurement/Sole Source/Contract Extended).

Column F

List the name of the Functional Manager (manages the day-to-day operations).

Column G

Indicate whether WIOA Title I youth services are provided onsite. List the name of the onsite provider(s). Provide a list of the youth services that are provided onsite.

Column H

Indicate additional on-site partners.

**PY 2024 WIOA Northeastern WDB
NCWorks Career Center Locations (Effective July 1, 2024)**

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
<p>NCWorks Career Center - Elizabeth City, 111 Jordan Plaza, Elizabeth City, NC 27909, M-Th 8:30am - 4:00pm, Friday - 8:30am - 2:00pm, 252-621-6350 Pasquotank, Camden, Currituck, Perquimans, Dare</p>	<p>Tier 1</p>	<p>Division of Workforce Solutions (Wanger Peyser); NWDB (Title I); Title V - NCOA Senior Community Service Employment; Telamon Corporation; Vocational Rehabilitation; River City YouthBuild; Veterans Employment Programs;</p>	<p>Albemarle Commission - Competitive Procurement</p>	<p>NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to failed procurement, the board provides services in-house with approval from DWS; a waiver was received to provide services for PY 23; Procurement</p>	<p>Center Manager</p>	<p>NWDB currently provides Youth Services; All 14 program elements are available</p>	<p>TANF; Community Services Block Grants</p>

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
		Division of Employment Security, College of the Albemarle Title II and Perkins		process for PY 24 has been conducted and a waiver request has been submitted. .			
NCWorks Career Center - Edenton, 118 Blades Street, Edenton, NC 27932, Tuesday and Thursday 8:30am - 4:00pm Chowan, Gates, Washington, Perquimans, Tyrrell, Hyde	Tier 2	Divion of Workforce Solutions (Wagner Peyser); NWDB (Title I); Veterans Employment Programs	Albemarle Commission – Competitive Procurement	NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to failed procurement, the board provides services in-house with approval from DWS; a waiver was received to	Center Manager	NWDB provides Youth Services; All 14 program elements are available	College of the Albemarle - Adult Education and Literacy and Perkins Career and Technical Education Programs; TANF; Community Services Block Grants; Vocational Rehabilitation; Senior Community

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
				provide services for PY 23; Procurement process for PY 24 has been conducted and a waiver request has been submitted. .			Service Employment Program; Division of Employment Security; Telamon Corporation; River City YouthBuild
Northeastern Workforce Development Board, 101 ARPDC Street, Hertford, NC 27944, Monday and Wednesday 8:00am - 5:00pm; 252-333-5247 Perquimans	Affiliate	Title I Youth	N/A - Not a Center	Adult/DW Services not available	Title I Youth Program Manager	NWDB Provides Youth Services; All 14 Program elements are available	N/A Not a Center

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
College of the Albemarle, Elizabeth City Campus, 1208 N. Road Street, Elizabeth City, NC 27909, Monday - Wednesday 8:30am - 5:00pm 252-312-7357 Pasquotank	Affiliate	Title I Adult/DW and Youth	N/A – Not a Center	NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to failed procurement, the board provides services in-house with approval from DWS; a waiver was received to provide services for PY 23; Procurement process for PY 24 has been conducted and a waiver request	Center Manager	NWDB Provides Youth Services; All 14 Program elements are available	N/A Not a Center

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
				has been submitted.			
College of the Albemarle, Currituck Campus, 107 College Way, Barco, NC 27917, 252-312-6852, Thur and Fri 8:00am - 4:30pm (Hours are currently limited due to staffing) Currituck	Affiliate	Title I Adult/DW and Youth	N/A Not a Center	NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to failed procurement, the board provides services in-house with approval from DWS; a waiver was received to provide services for PY 23; Procurement process for PY	Center Manager	NWDB Provides Youth Services; All 14 Program elements are available	N/A Not a Center

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
				24 has been conducted and a waiver request has been submitted.			
Hyde County Department of Social Services, 35015 US HWY 264 Engelhard, NC 27824, Mon and Wed 8:30am - 5:00pm, 252-312-6859 Hyde	Affiliate	Title I A/DW and Youth	N/A Not a Center	NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to failed procurement, the board provides services in-house with approval from DWS; a waiver was received to provide services	Center Manager	NWDB Provides Youth Services; All 14 Program elements are available	N/A Not a Center

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
				for PY 23; Procurement process for PY 24 has been conducted and a waiver request has been submitted.			
Tyrrell County Finance Building, 108 Water Street, Columbia, NC 27925, Tuesday 8:30am - 5:00pm, 252-312-6859 Tyrrell	Affiliate	Title I Adult/DW and Youth	N/A Not a Career Center	NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to failed procurement, the board provides services in-house with approval from	Center Manager	NWDB Provides Youth Services; All 14 Program elements are available	N/A Not a Center

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
				DWS; a waiver was received to provide services for PY 23; Procurement process for PY 24 has been conducted and a waiver request has been submitted.			
Gates County Department of Social Services, 122 Main Street, Gatesville, NC 27938, Wednesday and Friday 8:30am - 5:00pm, 252-333-5247 Gates	Affiliate	Title I Adult/DW and Youth	N/A Not a Career Center	NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to failed procurement, the board provides	Center Manager	NWDB Provides Youth Services; All 14 Program elements are available	N/A Not a Center

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
				services in-house with approval from DWS; a waiver was received to provide services for PY 23; Procurement process for PY 24 has been conducted and a waiver request has been submitted			
Washington County Center (Beaufort County Community College); 100 Highway 32 North, Roper, NC 27970; Monday & Wed 8:30am – 5:00pm.	Affiliate	Title I Adult/DW and Youth	N/A Not a Career Center	NWDB currently provides WIOA Career Services; A competitive process is used to determine provider; Due to	Center Manager	NWDB Provides Youth Services; All 14 Program elements are available	N/A Not a Career Center

A. One-Stop Location(s) <i>(Address, Phone number and Hours)</i> Counties Served	*B. Comprehensive or Affiliate Sites	C. On-site Partners	**D. Career Center Operator, Method of Selection, Year Procured, Contract Extension (Y/N)	E. Provider(s) of WIOA Title I Adult/DW Career Services and Method of Selection	F. Functional Manager <i>(manages the day-to-day operations)</i>	G. WIOA Title I Youth Services Provided Onsite (Y/N) Name of Youth Provider(s) <i>(list youth services provided)</i>	H. Additional Partners
252-337-4128 Washington				failed procurement, the board provides services in-house with approval from DWS; a waiver was received to provide services for PY 23; Procurement process for PY 24 has been conducted and a waiver request has been submitted			

Notes:

- **Type of Center Designation: Comprehensive or Affiliate Site*
 - *** Method of Selection: Competitive Procurement, Sole Source, Contract Extended*
 - *Directions and explanations provided on the preceding page.*
-

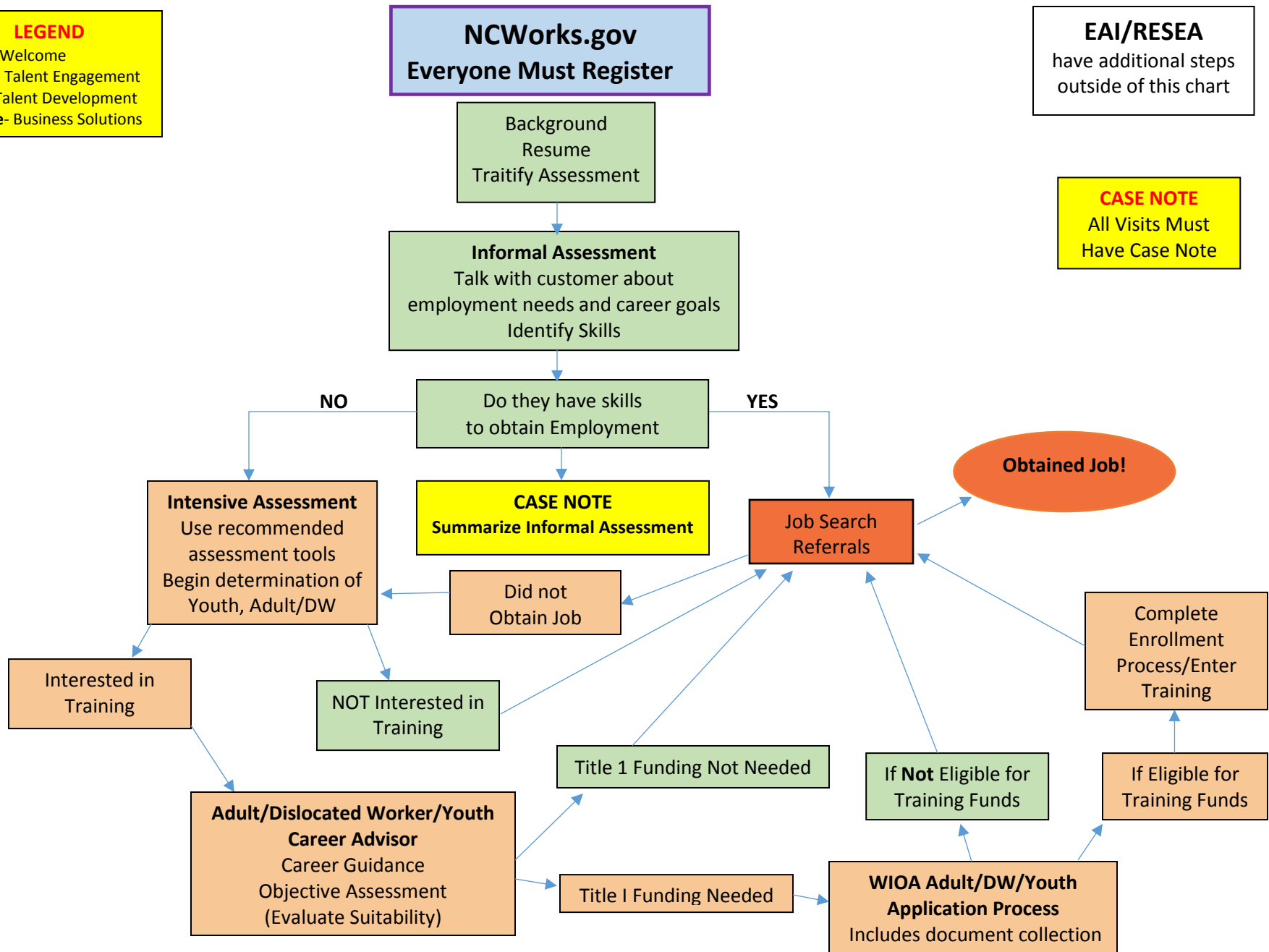
Northeastern WDB Integrated Services Customer Flow Chart

Greet Customer - Orientation

LEGEND
Blue – Welcome
Green - Talent Engagement
Tan – Talent Development
Orange - Business Solutions

EAI/RESEA
 have additional steps
 outside of this chart

CASE NOTE
 All Visits Must
 Have Case Note





Northeastern Workforce
Development Board
ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

NC Works Career Center Memorandum of Understanding
Program Year 2021 – Program Year 2023
(July 1, 2021 – June 30, 2024)

The Northeastern Workforce Development Board (WDB), with the agreement of the Chief Local Elected Official (CLEO), shall develop and enter into this Memorandum of Understanding (MOU) between the Northeastern WDB and the One-Stop Partners under the Workforce Innovation and Opportunity Act (WIOA) P.L. 113-128, concerning the operation of the One-Stop delivery system.

I. Required Partners WIOA 121 (b)(1)(B)

1. Title I Adult, Dislocated Workers, Youth, Job Corps, YouthBuild, National Farmworkers Jobs Program (NFJP) and Native American Programs
2. Programs authorized under the Wagner-Peyser Act
3. Adult education and literacy activities authorized under title II
4. Programs authorized under title I of the Rehabilitation Act of 1973
5. Activities authorized under title V of the Older Americans Act of 1965
6. Career and technical education programs at the postsecondary level authorized under the Carl D. Perkins Career and Technical Education Act of 2006
7. Activities authorized under chapter 2 of title II of the Trade Act of 1974
8. Activities authorized under chapter 41 of title 38, United States Code: Job Counseling, Training, and Placement Service for Veterans
9. Employment and training activities carried out under the Community Services Block Grant Act
10. Employment and training activities carried out by the Department of Housing and Urban Development
11. Programs authorized under state unemployment compensation laws
12. Programs authorized under section 212 of the Second Chance Act of 2007
13. Programs authorized under part A of title IV of the Social Security Act: Temporary Assistance for Needy Families

II. Additional Partners

The local WDB may have specialized centers to address special needs, such as the needs of dislocated workers, youth, or key industry sectors or clusters. With the approval of the Northeastern WDB and CLEO, the following entities may be additional one-stop partners.

1. Employment and training programs administered by the Social Security Administration, including the Ticket to Work and Self-Sufficiency Program established under section 1148 of the Social Security Act
2. Employment and training programs carried out by the Small Business Administration
3. Programs authorized under section 6(d)(4) of the Food and Nutrition Act of 2008
4. Work programs authorized under Section 6(o) of the Food and Nutrition Act of 2008
5. Programs carried out under section 112 of the Rehabilitation Act of 1973
6. Programs authorized under the National and Community Service Act of 1990
7. Other appropriate federal, state, or local programs, including employment, education, and training programs provided by public libraries or in the private sector.

III. Roles and Responsibilities WIOA Section 121 (b)(1)(A)

Each required partners of the One-Stop Delivery System shall:

- a.) provide access through the one-stop delivery system, including making the career services (eligibility determination, outreach, initial assessment, labor exchange service, job search, recruitment, referrals, job listings, training provider information, local area performance, supportive service information, financial aid assistance, career planning, financial literacy, and more) that are applicable to the program or activities available at the one-stop centers.
- b.) use a portion of the funds available for the program and activities to maintain the one-stop delivery system, including payment of the infrastructure costs of one-stop centers.
- c.) enter into a local MOU (shown by signature on this document) with the local board, relating to the operation of the one-stop system.
- d.) participate in the operation of the one-stop system consistent with the terms of this MOU, the requirements of this title, and the requirements of the federal laws authorizing the program or activities.
- e.) use a common one-stop delivery system identifier (in North Carolina this is NCWorks).
- f.) identify strategies to meet the needs of individuals with barriers to employment.

IV. Costs of Services (WIOA Regulations 678.700, USDOL December 27, 2016: Infrastructure Funding Guidance)

This section must contain effective time period, infrastructure and shared services budget, identify all one-stop partners/CLEOs/local Boards participating, and describe the periodic review and reconciliation process to ensure equitable benefit among partners. The infrastructure funding agreement (IFA) may have a different effective time period from the duration of the MOU. Also, the infrastructure funding agreement must include binding signatories if submitted as a separate document.

- a.) Identification of the infrastructure costs budget, which is a component of the overall one-stop operating budget.

The budget is determined annually and identified in the IFA

- b.) If different from Section I above, identify all one-stop partners, CLEOs, and the Local WDB participating in the IFA.

Same as above

- c.) Describe how the periodic modification and review process to ensure equitable benefit among one-stop partners will be conducted and include a timetable.

Infrastructure costs will be reviewed before each program year and the shares owed by each partner will be adjusted accordingly.

- d.) Provide the process used to reach consensus among all partners when developing the IFA. (Or, if applicable, provide assurance that the local area followed the State Funding Mechanism process.)

The process used to reach consensus among all partners when developing the infrastructure funding agreement is outlined in the IFA.

- e.) Describe the process to be used among partners to resolve issues related to infrastructure funding during the MOU duration period when consensus cannot be reached.

If partners are unable to reach a consensus and resolve issues related to infrastructure funding during the duration of the MOU, partner contribution defaults to the State Funding Mechanism limits.

V. Funding definitions

- a.) Cash and In-Kind for Ongoing One-Stop Delivery System Operators

Non-cash contributions must be valued consistent with 2 CFR 200.306 and reconciled regularly (i.e., monthly or quarterly). Third-party in-kind contributions are contributions of space, equipment, technology, non-personnel services, or other like items to support the infrastructure costs associated with one-stop operations. The value of third-party in-kind contributions must also be consistent with the Uniform Guidance at 2 CFR 200.306 and reconciled on a regular basis (e.g., monthly or quarterly) to ensure they are fairly evaluated and meet the partners' proportionate share.

b.) Infrastructure Costs One-Stop Centers

Non-personnel costs necessary for the general operation of the one-stop center. The funds provided under this paragraph by each one-stop partner shall be provided only from funds available for the costs of administration under the program administered by such partner and shall be subject to the program's limitations with respect to the portion of funds under such program that may be used for administration (WIOA Regulations 678.720).

c.) Non-personnel costs include: Rental of the facilities; Utilities and maintenance; Equipment (including assessment-related products and assistive technology for individuals with disabilities); and Technology to facilitate access to the one-stop center, including technology used for the center's planning and outreach activities.

NOTE: The IFA is a required component of the MOU and not a separate document. The reasonable cost allocation methodology should be provided and consistent with Federal Cost Principles in the Uniform Guidance 2 CFR Part 200.94.

VI. Methods of Referrals

Methods to ensure the needs of workers and youth, and individuals with barriers to employment, including individuals with disabilities, are addressed in the provision of necessary and appropriate access to services, including access to technology and materials, made available through the one-stop delivery system.

Partners will utilize methods of referrals of individuals between one-stop operators and one-stop partners for appropriate services and activities.

VII. Certification and Continuous Improvement

The parties herein shall comply with established Certification and Continuous Improvement Criteria established by the state board, in consultation with CLEOs and local boards. The objective criteria and procedures for use by local boards in assessing at least once every 3 years the effectiveness, physical and programmatic accessibility in accordance with section 188, if applicable, and the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), and continuous improvement of one-stop centers and the one-stop delivery system.

VIII. Performance and Accountability

Each partner is responsible for ensuring that its legislated programs, services, and activities are provided in the one-stop center in accordance with the goals, objectives, and performance measures of the Workforce Innovation and Opportunity Act (WIOA) P.L. 113-128 and regulations. Each partner agrees to work to support the achievement of WIOA and one-stop performance measures.

IX. Confidentiality of Information

Exchange of information among partners is encouraged and expected. Exchanged information shall remain private and confidential in accordance with the most restrictive confidentiality requirements of any of the partners collecting, receiving, or sharing information. Each partner agrees to collect and share information necessary to track the performance of the One-Stop Center in accordance with provisions of the Workforce Innovation and Opportunity Act (WIOA) P.L. 113-128 and accompanying regulations.

X. Monitoring and Oversight

The CLEO, the WDB, the DWS, United States Department of Labor, and local area administrative entity have the right to monitor activities under this MOU to ensure performance goals are being maintained and that the MOU terms and conditions are being fulfilled. The partners shall permit on-site visits and reviews by the above-mentioned agencies or their designee.

XI. Disputes

The parties shall first attempt to resolve any disputes informally. Any party shall call a meeting of the partners to discuss and resolve disputes. Should informal resolution efforts fail, the dispute shall be referred to the Chair of the local WDB who shall place the dispute upon the agenda of a regular or special meeting of the Board's Executive Committee. The Executive Committee shall attempt to mediate and resolve the dispute. Finally, if the Executive Committee's resolution efforts fail, any party may file a grievance in accordance with agreed upon WIOA grievance procedures.

XII. Duration

This MOU shall remain in effect for three years, until terminated by the repeal of the WIOA P.L. 113-128, or otherwise by action of law.

Any party may withdraw from this MOU by giving written notice of intent to withdraw at least 60-calendar days in advance of the effective withdrawal date. Notice of withdrawal shall be given to all parties at the addresses shown within this MOU, and to the contact persons so listed, considering any information updates received by the parties.

Should any one-stop partner withdraw, this MOU shall remain in effect with respect to the remaining Partners until a new MOU is executed or the end of the current federal program year (July through June).

The WDB reserves the right to terminate the participation of any partner upon 60-day notice if the partner's actions are inconsistent with the terms and conditions of this MOU.

This memorandum shall be reviewed not less than once every 3-year period to ensure appropriate funding and delivery of services. [WIOA 121].

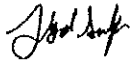
XIII. Modification and Assignment

This MOU may be modified at any time by written agreement of the parties. Assignment of responsibilities under this MOU by any of the parties shall be effective upon written notice to the other parties. Any assignee shall also commit in writing to the terms of this MOU.

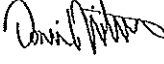
Such other provisions, consistent with the requirements of this title, as the parties to the agreement determine to be appropriate.

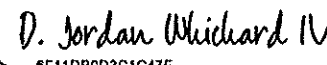
XIV. Signatures

By signatures hereto, the partner(s) attest to participation in the development of this MOU and will support and implement the provisions contained herein. I certify that I have read and understand the above information and agree to the terms outlined herein. By signing this document, I also certify that I have the legal authority to bind my agency to the terms of this Memorandum of Understanding.

Lloyd E. Griffin, III		10 / 27 / 2021
Printed Name	Signature	Date
Northeastern WDB, Chief Local Elected Official		

Sean Lavin		10 / 20 / 2021
Printed Name	Signature	Date
Northeastern WDB, Workforce Development Board Chair		

David Whitmer		10 / 08 / 2021
Printed Name	Signature	Date
WIOA Title I: Adult, Dislocated Worker, and Youth Formula programs		

Jordan Whichard Chief Deputy Secretary	<div style="border: 1px solid black; padding: 2px; display: inline-block;"> <small>DocuSigned by:</small>  <small>6E14DB0D3C1C47E...</small> </div>	08-NOV-2021
Printed Name	Signature	Date
WIOA Title III: Wagner-Peyser Act Employment Service (ES) program Trade Adjustment Assistance (TAA) activities Jobs for Veterans State Grants (JVSG) programs State Unemployment Compensation Laws		

N/A		
Printed Name	Signature	Date
Title I Job Corps		

Dr. Lenora Jarvis-Mackey *Lenora Jarvis-Mackey* 10 / 09 / 2021
 Printed Name Signature Date
 Title I Youth Build

Susan Oney *[Signature]* 10 / 08 / 2021
 Printed Name Signature Date
 Title I National Farmworkers Jobs Program (NFJP)

N/A
 Printed Name Signature Date
 Title I Native American Programs

Gilda Rubio-Festa *Gilda Rubio-Festa* 10 / 18 / 2021
 Printed Name Signature Date
 Adult education and literacy activities authorized under Title II

Dr. David Loope *David R. Loope* 10 / 11 / 2021
 Printed Name Signature Date
 Adult education and literacy activities authorized under Title II; Career and technical education programs at the postsecondary level authorized under the Carl D. Perkins Career and Technical Education Act of 2006

Dr. Jack Bagwell *[Signature]* 10 / 14 / 2021
 Printed Name Signature Date
 Adult education and literacy activities authorized under Title II; Career and technical education programs at the postsecondary level authorized under the Carl D. Perkins Career and Technical Education Act of 2006

William T. Ross
 Printed Name Signature Date
 Programs authorized under Title I of the Rehabilitation Act of 1973

Jordan Thomas *Jordan Thomas* 10 / 08 / 2021
 Printed Name Signature Date
 WIOA Title IV: Services for the Blind

Donna Whitt
 Printed Name Signature Date
 Activities authorized under Title V of the Older Americans Act of 1965

Dr. Landon B. Mason *Landon Mason* 10 / 18 / 2021
 Printed Name Signature Date
 Employment and training activities carried out under the Community Services Block Grant Act

N/A
 Printed Name Signature Date
 Employment and training activities carried out by the Department of Housing and Urban Development

N/A
 Printed Name Signature Date
 Reentry Employment Opportunities (REO) programs authorized under sec. 212 of the Second Chance Act of 2007 (42 U.S.C. 17532) and WIOA sec. 169)

Christine M. Dowdell *Christine M. Dowdell* 10 / 09 / 2021
 Printed Name Signature Date
 Temporary Assistance for Needy Families (TANF)

Susan M. Chaney *Susan M. Chaney* 10 / 18 / 2021
 Printed Name Signature Date
 Temporary Assistance for Needy Families (TANF)

Clifton Hardison *Clifton Hardison* 10 / 11 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Brandy Mann *B* 10 / 08 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Craig Patterson *Craig Patterson* 10 / 08 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Charles P. Lycett *Charles P. Lycett* 10 / 11 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Laurie Potter *Laurie Potter* 10 / 11 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Katherine V. Ford *Katherine V. Ford* 10 / 09 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Samantha Hurd *Samantha A. Hurd* 10 / 11 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Willie R. Smith, III *Willie R. Smith, III* 10 / 14 / 2021
Printed Name Signature Date
Temporary Assistance for Needy Families (TANF)

Jordan Thomas *Jordan Thomas* 10 / 08 / 2021
 Printed Name Signature Date
 WIOA Title IV: Services for the Blind

Donna Whitt *Donna Whitt* 10/13/2021
 Printed Name Signature Date
 Activities authorized under Title V of the Older Americans Act of 1965

Dr. Landon B. Mason _____
 Printed Name Signature Date
 Employment and training activities carried out under the Community Services Block Grant Act

N/A _____
 Printed Name Signature Date
 Employment and training activities carried out by the Department of Housing and Urban Development

N/A _____
 Printed Name Signature Date
 Reentry Employment Opportunities (REO) programs authorized under sec. 212 of the Second Chance Act of 2007 (42 U.S.C. 17532) and WIOA sec. 169)

Christine M. Dowdell *Christine M. Dowdell* 10 / 09 / 2021
 Printed Name Signature Date
 Temporary Assistance for Needy Families (TANF)

Susan M. Chaney _____
 Printed Name Signature Date
 Temporary Assistance for Needy Families (TANF)

Dr. Lenora Jarvis-Mackey *Lenora Jarvis-Mackey* 10/09/2021
 Printed Name Signature Date
 Title I Youth Build

Susan Oney *[Signature]* 10/08/2021
 Printed Name Signature Date
 Title I National Farmworkers Jobs Program (NFJP)

N/A
 Printed Name Signature Date
 Title I Native American Programs

Gilda Rublo-Festa *Gilda Rublo-Festa* 10/18/2021
 Printed Name Signature Date
 Adult education and literacy activities authorized under Title II

Dr. David Loope *David R. Loope* 10/11/2021
 Printed Name Signature Date
 Adult education and literacy activities authorized under Title II; Career and technical education programs at the postsecondary level authorized under the Carl D. Perkins Career and Technical Education Act of 2006

Dr. Jack Bagwell *[Signature]* 10/14/2021
 Printed Name Signature Date
 Adult education and literacy activities authorized under Title II; Career and technical education programs at the postsecondary level authorized under the Carl D. Perkins Career and Technical Education Act of 2006

William T. Ross *CARL THOMPSON* *[Signature]* 10/19/21
 Printed Name Signature Date
 Programs authorized under Title I of the Rehabilitation Act of 1973



Audit Trail

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Sent for signature to David Whitmer (dwhitmer@accog.org), Lenora Jarvis-Mackey (ljarvismackey@rivercitycdc.org), Susan Oney (soney@telamon.org), Gilda Rublo-Festa (rublo-festag@nccommunitycolleges.edu), Dr. David Loope (dave.loope@beaufortccc.edu), Dr. Jack Bagwell (president@albemarle.edu), William Ross (billy.ross@dhhs.nc.gov), Jordan Thomas (jordan.thomas@dhhs.nc.gov), Donna Whitt (donna.whitt@nccoa.org), Dr. Landon B. Mason



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(dr.landon.mason@eicca.org), Christine Dowdell
(christine.dowdell@chowan.nc.gov), Susan Chaney
(schaney@perqdss.net), Clifton Hardison
(cliftonh@wcchs.org), Brandy Mann (bmann@tyrrellcounty.net),
Craig Patterson (cpatterson@camdencountync.gov), Charles
Lycett (lycettc@dcdss.org), Laurie Potter
(lpotter@hydecourtync.gov), Kathy Ford
(kathy.ford@pcdss.com), Samantha Hurd
(samantha.hurd@currituckcountync.gov) and Willie R. Smith



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



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
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
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
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
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 10 / 18 / 2021 Signed by Susan Chaney (schaney@perqdss.net)
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 10 / 18 / 2021 Signed by Dr. Landon B. Mason (dr.landon.mason@efcca.org)
SIGNED 11:03:19 UTC-4 IP: 63.237.29.9

 10 / 18 / 2021 Viewed by Gilda Rubio-Festa
VIEWED 12:02:55 UTC-4 (rublo-festag@nccommunitycolleges.edu)
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(rublo-festag@nccommunitycolleges.edu)
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INCOMPLETE

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This document has not been fully executed by all signers.

Workforce Innovation and Opportunity Act of 2014

July 1, 2022 – June 30, 2023

Infrastructure Funding Agreement Signatory Page

Northeastern WDB

Local Workforce Development Area Name

We affirm that the Local Area Workforce Development Board (WDB) and the Chief Local Elected Official (CLEO) of the Local Area, in partnership, have developed and now submit this Local Infrastructure Funding Agreement in compliance with the provisions of the Workforce Innovation and Opportunity Act of 2014 and instructions issued by the Governor under authority of the Act.

10/31/2022

Submission Date

Workforce Development Board
Chair

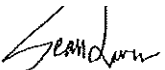
Chief Local Elected Official

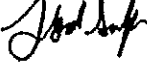
Sean Lavin
Typed or Printed Name

Lloyd E. Griffin III
Typed or Printed Name

Workforce Board Chair
Typed or Printed Title

Chief Elected Official
Typed or Printed Title


Signature


Signature

10 / 31 / 2022
Date

10 / 31 / 2022
Date

Northeastern Workforce Development Board
NCWORKS Career Center
Partner Infrastructure Funding Agreement (IFA)

I. Purpose

This Partner Infrastructure Funding Agreement (IFA) is entered by and between the Northeastern Workforce Development Board and Northeastern Workforce Development Board NCWorks Partners. This IFA provides information on the shared infrastructure cost and/or in-kind arrangements. All partners to this IFA recognize that infrastructure and other additional costs are applicable to all required partners, as outlined in Section 121(b)(1)(B) of the Workforce Innovation and Opportunity Act (WIOA), whether they are physically located in the NCWorks Career Center or not. Each partner's contributions to these costs, however, may vary, as these contributions are based on the proportionate use and relative benefit received.

The sharing and allocations of infrastructure costs among NCWorks partners are governed by WIOA Sec. 121(b), its implementing regulations, and the Federal Cost Principles contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR part 200 (Uniform Guidance).

Infrastructure costs are defined as non-personnel costs that are necessary for the general operation of the NCWorks Career Center, including: rental of the facilities; utilities and maintenance; equipment (including assessment related and assistive technology for individuals with disabilities); technology to facilitate access to the center; and many other infrastructure costs, such as signage and supplies. NCWorks Career Center shall share in additional costs, which must include applicable career services and may include shared operating costs and shared services that are necessary for the general operation of the Career Center.

II. Northeastern Workforce Development Board NCWorks System Infrastructure Budget

\$443,210.38

III. Cost Allocation Methodology

There is a two-tiered approach for determining infrastructure and additional costs for required WIOA Career Center partners using the Local Funding Mechanism (LFM). For Temporary Assistance for Needy Families (TANF), Community Services Block Grant (CSBG), and Senior Community Service Employment (SCSEP) programs, the LFM method uses a funding percentage cap of 1.5% to determine the agency's proportionate share of infrastructure and additional costs. The 1.5% is then distributed to workforce boards based on workforce service criteria outlined by each agency. The Vocational Rehabilitation (VR) program authorized by WIOA Title IV, postsecondary career and technical education programs authorized under the Carl D. Perkins Career and Technical Education Act of 2006, and programs under the Adult Education and Family Literacy Act (AEFLA) authorized by WIOA Title II contribute proportionate shares based on the number of VR and adult education clients who received services in the previous program year and were documented in NC Works.

The LFM is used to negotiate appropriate contributions from each required partner that will be allocated to the Northeastern WDB, as outlined below. The two-tiered approach methodology

does not include Division of Workforce Solutions (DWS) administered programs or WDB administered programs. For all other required partners with State agencies, infrastructure contributions will be transferred to DWS as a lump sum based on the LFM for the agency. Once DWS receives funding from the State agency, DWS will distribute funding to the local area via the funding methodology set up for each State agency, as outlined in the table below.

For required partners without a State agency, but which are federally funded, the LFM is used as well; however, this negotiation will vary per WDB and should be outlined in the table below. Not all federally funded required partners may administer programs in a WDB's Local Area. In such cases, infrastructure cost sharing is not required.

For required partner programs administered by the DWS - Title III Wagner-Peyser Employment Services, Trade Adjustment Assistance (TAA), and Jobs for Veterans State Grants (JVSG) - the cost sharing model is based on the grant employees' proportionate use of the NCWorks Career Center. DWS and WDB will pay a cost per employee housed in the center. The cost per employee will be based on the total infrastructure cost of the NCWorks Career Center, where applicable.

(Please do not delete any partners from the table. If not applicable, please write N/A)

WIOA Required Partners	Funding Methodology
WIOA Title I: Adult, Dislocated Worker, and Youth formula programs	Proportionate use -- cost per employee
WIOA Title I: Job Corps	N/A
WIOA Title I: YouthBuild	Local negotiation
WIOA Title I: Native American programs	N/A
WIOA I: National Farmworker Jobs Program (NFJP)	Local negotiation
WIOA Title III: Wagner-Peyser Act Employment Service (ES) program	Proportionate use -- cost per employee
WIOA Title III: Trade Adjustment Assistance (TAA) activities	Proportionate use -- cost per employee
Jobs for Veterans State Grants (JVSG) programs	Proportionate share
Senior Community Service Employment program (SCSEP)	Local negotiations
Unemployment Compensation (UC) programs	Based on Title I Dislocated Worker formula
Reentry Employment Opportunities (REO) programs (Second Chance Act of 2007)	N/A
WIOA Title II: Adult Education and Family Literacy Act (ABFLA) program	A calculated amount per participant served is allocated based upon the number of ABFLA participants receiving staff assisted services at a WDB within each provider's service area.

Carl D. Perkins Career and Technical Education programs	A calculated amount per participant served is allocated based upon the number of CTE participants receiving staff assisted services at a WDB within each provider's service area.
WIOA Title IV; Vocational Rehabilitation (VR) Services program	Based on the number of VR clients with IPEs that received NCWorks service in the previous program year. Differences are reconciled in following program year.
Department of Housing and Urban Development Employment and Training programs	N/A
Services for the Blind	Based on the number of VR clients with IPEs that received NCWorks service in the previous program year. Differences are reconciled in following program year.
Community Services Block Grant (CSBG) programs	CSBG amount is based on 2017 survey of Community Action Agencies, the amount of awarded CSBG identified as being directed to employment screening was calculated. In aggregate, employment services accounted for 20% of the CSBG awards, 20% times the state maximum percent of 1.5% = amount to be awarded for infrastructure cost sharing. The amount for infrastructure cost sharing was allocated to counties/agencies based on each their allocation of CSBG funding.
Temporary Assistance for Needy Families (TANF) program	TANF Amount to distribute is determined by county(ies) coding (method of recording expenditures) to WFCBG for Employment Services in FY2020-2021. The percentage of funding for each county of the total allocation of the TANF Work First County Block Grant (this funding provides dollars for Employment Services Funded with TANF) is applied to the coded expenditure amount.

IV. IFA Modifications

The partners recognize that modifications to the IFA may be necessary during the program year. Any authorized representative of a partner may make a written request for modification. In order to be valid, any modification to the IFA must be in writing, with a thirty (30) days' notice, signed, and sent to David Whitmer, Director, Northeastern Workforce Development Board. If *Northeastern Workforce Development Board* requests a modification, notice will be sent to the partner organization contact and address identified in section V. IFAs shall be reviewed by all partners at least once per year as part of the WDB's Local Plan MOU update process. If partners are unable to reach a consensus and resolve issues related to infrastructure funding during the duration of the MOU, partner contribution defaults to the State Funding Mechanism limits.

V. Partner Infrastructure Contributions

For required partners that have a State agency, required infrastructure costs will be transferred to DWS. DWS will then distribute the funds to each WDB based on the methodology agreed on between the agency and the NC Director's Council.

Where DWS needs to contribute funds to a WDB, the DWS Finance Unit will issue checks to WDBs that are to receive IFA funding. Checks will be issued after each board's designated DWS Planner has received, reviewed, and accepted the board's fully compliant IFA documents. Because funding will not be distributed through the Workforce Information System Enterprise (WISE), for reporting purposes, boards will be expected to keep a list of all IFA expenditures and invoices and have them available for on-site monitoring.

Where the WDB needs to contribute funds to DWS, DWS will issue an invoice, which will provide the required documentation and audit trail, to allow the WDB to draw down the funds and write a check to DWS. The local areas that owe DWS will be invoiced the amount owed and tracked for receipt by the DWS finance unit. (Please do not delete any of the partners from the table. If not applicable, please write N/A).

For partners cost sharing funds not distributed by the DWS, Northeastern Workforce Development Board will invoice Partner within thirty (30) days of the signed MOU for infrastructure cost sharing effective July 1, 2022.

NCWorks Partner	Infrastructure Total Share \$	Funded	In-clud	Payment	In-clud Description	Partner Contact (Name, Organization, Address, email and phone number)
WIOA Title I: Adult, Dislocated Worker, and Youth formula programs;	\$141,608.35	Yes	N/A	Check	N/A	David Whitmer Northeastern WDB 101 ARPDC Street Hertford, NC 27944 dwhitmer@accog.org 252-404-7093
WIOA Title I: Job Corps	N/A	N/A	N/A	N/A	N/A	N/A
WIOA Title I: YouthBuild	\$785.23	Yes	N/A	One-time payment Invoiced by NWDB	N/A	Dr. Lenora Jarvis-Mackey River City YouthBuild 501 E. Main Street Elizabeth City, NC ljarvismackey@rivercitycdc.org 252-331-2925
WIOA Title I: Native American programs	N/A	N/A	N/A	N/A	N/A	N/A
WIOA Title I: National Farmworker Jobs Program (NFJP)	\$350	N/A	N/A	N/A	N/A	Susan Oney Vice President of Workforce and Career Services Telamon Corporation 5560 Munford Rd, Ste. 107 Raleigh, NC 27612 soney@telamon.org 919-239-8117
WIOA Title III: Wagner-Peyser Act Employment Service (ES) program; WIOA Title III; Trade Adjustment Assistance (TAA) activities; Jobs for Veterans State Grants (JVSG) programs	\$270,643.03	Yes	N/A	Check	N/A	Jordan Whichard Chief Deputy Secretary NC Department of Commerce 301 N. Wilmington St Raleigh, NC 27601-1058

						<p>Jordan.whichard@nccommerce.com 919-814-2000</p>
Senior Community Service Employment program (SCSEP)	\$2,250	Yes	N/A	One-time payment involved by NWDB	N/A	<p>Joanne Wolfe National Council on Aging 112 N Circle Drive Rocky Mount, NC 27804 Joanne.wolfe@ncoa.org 252-210-9621 Donna Whitt National Council on Aging Donna.whitt@ncoa.org 571-527-4001</p>
Unemployment Compensation (UC) programs	\$24,846	Yes	N/A	Check	N/A	<p>Jordan Whichard Chief Deputy Secretary NC Department of Commerce 301 N. Wilmington St Raleigh, NC 27601-1058</p>
Reentry Employment Opportunities (RRO) programs (Second Chance Act of 2007)	N/A	N/A	N/A	N/A	N/A	N/A
WIOA Title II: Adult Education and Family Literacy Act (ABFLA) programs	\$138	Yes	N/A	Check	N/A	<p>Penelope Radcliffe Beaufort County CC 5337 Hwy 264E Washington, NC 27889 252-940-6298 Penelope.radcliffe@beaufortccc.edu</p> <p>Dr. Kimberly Gregory College of the Albemarle 1208 N Road St, Elizabeth City, NC 27909 252-335-0821 ext 2259 Kimberly.gregory73@albemarle.edu</p>
Carl D. Perkins Career and Technical Education programs	\$177	Yes	N/A	Check	N/A	<p>Dr. Jack Bagwell College of the Albemarle 1208 N. Road Street Elizabeth City, NC 27909 president@albemarle.edu 252-335-0821</p> <p>Dr. David Loope Beaufort Community College 5337 US 264 Washington, NC 27889 Dave.loope@beaufortccc.edu 252-940-6201</p>

WIOA Title IV: Vocational Rehabilitation (VR) Services program	\$3,248	Yes	N/A	Check	N/A	Carl Thompson Vocational Rehabilitation 3340 Jaeckle Drive Wilmington, NC 28403 carl.thompson@dhhs.nc.gov 919-746-6840
WIOA Title IV: Division of Services for the Blind	\$141	Yes	N/A	Check	N/A	Jordan Thomas Services for the Blind 404 St. Andrews Drive Greenville, NC 27834 Jordan.thomas@dhhs.nc.gov 252-355-9016
Department of Housing and Urban Development Employment and Training programs	N/A	N/A	N/A	N/A	N/A	N/A
Community Services Block Grant (CSBG) programs	\$988	Yes	N/A	Check	N/A	Dr. Landon B. Mason Economic Improvement Council 712 Virginia Road Edenton, NC 27932 dr.landon.mason@elcca.org 252-482-4495
Temporary Assistance for Needy Families (TANF) program	\$1,421	Yes	N/A	Check	N/A	Cheri Blount Chowan Co. DSS 100 Freemason Street Edenton, NC 27932 cheri.blount@chowan.nc.gov 252-482-7441 Susan Chaney Perquimans Co. DSS 103 Charles Street Hertford, NC 27944 schaney@perqdss.net 252-426-1806 Clifton Hardison Washington Co. DSS 209 E Main Street Plymouth, NC 27962 cliftonh@wcchs.org 252-793-4041 Valarie Phelps Tyrrell Co. DSS 102 N Road Street Columbia, NC 27925 vphelps@tyrrellcountv.net 252-796-3421 Nekla King Camden Co. DSS 117 NC Hwy 343 S Camden, NC 27921

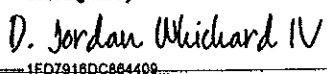
						<p>nking@camdencountync.gov 252-331-4787 Chuck Lycatt Dare Co. DSS 107 Exeter Street Manteo, NC 27954 lycattc@dcdds.org 252-475-5500 Laurie Potter Hyde Co. DSS 1430 Main Street Swan Quarter, NC 27885 lpotter@hydecountync.gov 252-926-4476 Kathy Ford Pasquotank Co. DSS 709 Roanoke Avenue Elizabeth City, NC 27909 Kathy.ford@pcdss.com 252-338-2126 Samantha Hurd Currituck Co. DSS 2793 Caratoke Hwy Currituck, NC 27929 Samantha.hurd@currituckcountync.gov 252-232-3083 Wille R. Smith III Gates County DSS 122 Main Street Gatesville, NC 27938 wsmith@gatescountync.gov 252-357-0075</p>
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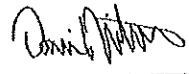
VI. Term of Agreement

This Agreement will remain in effect from July 1, 2022 to June 30, 2023. It shall be reviewed by the Parties as necessary or at least once per year as part of the WDB's Local Plan update.

VII. Signatures

Please do not delete signature lines. If a partner is not applicable, please place N/A on the signature line. It is allowable to add signature lines, if necessary. Strike-throughs are not allowed, as this is a legally binding document. Please note the status of any missing signatures (e.g., forthcoming, cannot obtain, refused to sign), and do not leave signature lines blank.


	DocuSigned by: <i>D. Jordan Whichard IV</i>	Chief Deputy Secretary	18-Nov-2022
Jordan Whichard			
Printed Name	Signature	Title	Date
Representing:			
WIOA Title III: Wagner-Peyser Act Employment Service (ES) program			
Trade Adjustment Assistance (TAA) activities			
Jobs for Veterans State Grants (JVSG) programs			
Unemployment Compensation (UC) programs			

David Whitmer		NWDB Director	10 / 10 / 2022
Printed Name	Signature	Title	Date
Representing: WIOA Title I: Adult, Dislocated Worker, and Youth Formula programs			

N/A			
Printed Name	Signature	Title	Date
Representing: WIOA Title I: Job Corps programs			

Dr. Lenora Jarvis-Mackey	<i>Lenora Jarvis-Mackey</i>	President/CEO	10 / 12 / 2022
Printed Name	Signature	Title	Date
Representing: WIOA Title I: YouthBuild program			

N/A			
Printed Name	Signature	Title	Date
Representing: WIOA Title I: Native American programs			

Susan Oney		VP of Workforce and Career Services	10 / 14 / 2022
Printed Name	Signature	Title	Date
Representing WIOA Title I: National Farmworker Jobs Program (NFJP)			

Donna Whitt *Donna Whitt* CFO 10 / 11 / 2022

Printed Name Signature Title Date
 Representing: Senior Community Service Employment program (SCSEP); National Council on Aging

N/A

Printed Name Signature Title Date
 Representing: Reentry Employment Opportunities (REO) programs (Second Chance Act of 2007)

Penelope Radcliffe *Penelope Radcliffe* Director, C&CR 10 / 11 / 2022

Printed Name Signature Title Date
 Representing: WIOA Title II: Adult Education and Family Literacy Act (AEFLA) programs
 Beaufort County Community College

Dr. Kimberly Gregory *Kim* Director, C&CR 10 / 10 / 2022

Printed Name Signature Title Date
 Representing: WIOA Title II: Adult Education and Family Literacy Act (AEFLA) programs
 College of the Albemarle

Dr. David Loope *David R. Loope* President 10 / 11 / 2022

Printed Name Signature Title Date
 Representing: Carl D. Perkins Career and Technical Education programs
 Beaufort County Community College

Dr. Jack Bagwell *Jack Bagwell* President 10 / 10 / 2022

Printed Name Signature Title Date
 Representing: Carl D. Perkins Career and Technical Education programs
 College of the Albemarle

Carl Thompson *Carl Thompson* Regional Director 10 / 10 / 2022

Printed Name Signature Title Date
 Representing: WIOA Title IV: Vocational Rehabilitation (VR) Services program

Jordan Thomas *Jordan Thomas* VR Counselor 10 / 12 / 2022

Printed Name Signature Title Date
 Representing: WIOA Title IV: Services for the Blind

N/A

Printed Name	Signature	Title	Date
Representing: Department of Housing and Urban Development Employment and Training Programs			

Dr. Landon B. Mason	<i>Landon Mason</i>	Executive Director	10 / 10 / 2022
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Printed Name	Signature	Title	Date
Representing: Community Services Block Grant (CSBG) programs			

Cheri Blount	<i>Cheri L. Blount</i>	Director	10 / 11 / 2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Chowan			

Susan M. Chaney	<i>Susan M. Chaney</i>	Director	10 / 11 / 2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Perquimans			

Clifton Hardison	<i>Clifton Hardison</i>	Director	10 / 17 / 2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Washington			

Brandi Mann		Director	
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Tyrrell			

Nekia King	<i>Nekia King</i>	Director	10 / 10 / 2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Camden			

Charles P. Lycett	<i>Charles P. Lycett</i>	Director	10 / 10 / 2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Dare			

Laurie Potter	<i>Laurie Potter</i>	Director	10 / 10 / 2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Hyde			

Kathy V. Ford *Katherine V. Ford* Director 10 / 19 / 2022
Printed Name Signature Title Date
Representing: Temporary Assistance for Needy Families (TANF) program – Pasquotank

Samantha A. Hurd *Samantha A. Hurd* Director 10 / 28 / 2022
Printed Name Signature Title Date
Representing: Temporary Assistance for Needy Families (TANF) program – Currituck

Willie R. Smith III *Willie R. Smith, III* Director 10 / 11 / 2022
Printed Name Signature Title Date
Representing: Temporary Assistance for Needy Families (TANF) program – Gates

David Whitmer *David Whitmer* Director 10 / 10 / 2022
Printed Name Signature Title Date
Northeastern Workforce Development Board Director

N/A

Printed Name	Signature	Title	Date
Representing: Department of Housing and Urban Development Employment and Training Programs			

Dr. Landon B. Mason	<i>Landon Mason</i>	Executive Director	10/10/2022
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Printed Name	Signature	Title	Date
Representing: Community Services Block Grant (CSBG) programs			

Cheri Blount	<i>Cheri L. Blount</i>	Director	10/11/2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Chowan			

Susan M. Chaney	<i>Susan M. Chaney</i>	Director	10/11/2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Perquimans			

Clifton Hardison	<i>Clifton Hardison</i>	Director	10/17/2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Washington			

Valerie Phelps	<i>Valerie Phelps</i>	Director	10/28/2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Tyrrell			

Nekia King	<i>Nekia King</i>	Director	10/10/2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Camden			

Charles P. Lycett	<i>Charles P. Lycett</i>	Director	10/10/2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Dare			

Laurie Potter	<i>Laurie Potter</i>	Director	10/10/2022
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Printed Name	Signature	Title	Date
Representing: Temporary Assistance for Needy Families (TANF) program - Hyde			



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(dr.landon.mason@elcca.org), Cheryl Blount
(cheri.blount@chowan.nc.gov), Susan Chaney
(schaney@perqdss.net), Clifton Hardison
(cliftonh@wcchs.org), Brandy Mann (brandy@tyrrellcounty.net),
Nekla King (nking@camdencountync.gov), Charles Lycett
(lycettc@dcdss.org), Laurie Potter
(lpotter@hydecourtync.gov), Kathy Ford
(kathy.ford@pcdss.com), Samantha Hurd
(samantha.hurd@currituckcountync.gov) and Willie R. Smith





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



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
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
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
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

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Lloyd Griffin (legriffin111@gmail.com) from
dwhitmer@accog.org
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SIGNED

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IP: 174.206.35.238



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Northeastern Workforce Development Board

ALBEMARLE COMMISSION

REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

September 24, 2020
NWDB Issuance No. 40

Subject: Northeastern WDB Eligible Training Provider Approval Policy

Purpose: To provide eligibility criteria, biennial certification procedures, penalties, and appeals processes for implementing Eligible Training Provider (ETP) requirements in accordance with the Workforce Innovation and Opportunity Act (WIOA) of 2014. These guidelines are applicable to providers of occupational skills training services for adults, dislocated workers, youth, and other populations as defined by WIOA Title 1-B

Background: WIOA seeks to promote an environment that fosters customer choice in education and training through data transparency in performance accountability. Such an environment will enhance the quality of customers' choices in the attainment of skills, credentials, certificates, and diplomas that will lead to employment in occupations that are in demand in the local economy. WIOA sets forth the requirements and general processes by which training providers and programs can be included on the State Eligible Training Provider List (ETPL) by validating that all listed providers and their programs meet minimum State standards.

Effective Date: July 1, 2022 *(Revised April 22, 2024)*

Expiration: Indefinite

Contact: NWDB Director

Reference: NCWorks Commission Policy Statement Number: CPS 11-2021

Attachments: Attachment A - Eligible Training Provider Guidelines *(Revised 4/22/24)*
Attachment B – Training Provider Questionnaire *(Effective 4/22/24)*
Attachment C – Training Program Information Spreadsheet *(Effective 4/22/24)*

David Whitmer, NWDB Director

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SIGNED

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COMPLETED

04 / 22 / 2024

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Eligible Training Provider Guidelines

The workforce development system, established under the Workforce Innovation and Opportunity Act (WIOA), emphasizes informed customer choice, job-driven training, provider performance, and continuous improvement. The selection of legitimate training providers and quality training programs is vital to achieving these core principles.

Training and Employment Guidance Letter (TEGL) 03-2018 issued by the United States Department of Labor (USDOL) provides guidance on performance reporting on Eligible Training Providers (ETPs). It states: *States must collect and report performance information on all individuals and WIOA Title I Core Program participants (of Adult, Dislocated Worker, and Youth Programs) served by each program on the state list of Eligible Training Providers (ETP List). The requirements for ETP reporting can be found in WIOA section 116(d)(4) and 116(d)(6)(B) and in the WIOA Joint & Department of Labor Only Final Rules at 20 CFR 677.230 and 20 CFR 680.490.*

North Carolina is charged with ensuring that data elements related to the initial application, continued eligibility and performance information regarding approved training providers, and programs are entered into the supported State system, NCWorks Online (www.ncworks.gov).

North Carolina received a waiver from USDOL for program years 2018 through 2020, which required training providers to only report performance information on individuals enrolled in WIOA Title I programs. Beginning July 1, 2021, training providers will need to submit required performance information on all enrollees, regardless of WIOA status.

Training providers and their associated training programs are initially approved to be on the State ETPL, and from the State's list each individual Local Area Workforce Development Board (WDB) can select the training providers and programs they wish to use within their region as necessary. Hence, a training provider may be approved to be on the State ETPL, but a Local Area WDB may choose to not opt in to use a provider or some of its training programs for its specific region.

This guidance addresses the process for establishing initial criteria for the State approval of training providers and their training programs to produce the Eligible Training Provider List. This policy also addresses the appeal process for denial, suspension, termination, and removal of training providers and/or training programs. (Providers eligible for the ETPL under Workforce Investment Act (WIA) previously remained eligible to stay on the list through September 30, 2016. These providers are subject to the continued eligibility procedures under WIOA, in order to continue as an ETP.)

Definitions

1. **Eligible Training Provider (ETP)** is a provider of training services who has met the eligibility requirements to receive WIOA Title I-B Adult, Dislocated Worker, and Youth funds to provide training services to eligible individuals. This includes:

- Post-secondary education institutions;
- Registered Apprenticeship programs¹;
- Other public or private providers of training, which may include joint labor-management organizations and eligible providers of adult education and literacy activities under Title II, if such activities are provided in combination with occupational skills training;
- Local Area WDBs that meet the condition set forth in WIOA Sec. 107(g)(1); and
- Community Based Organizations (CBOs) or private organizations of demonstrated effectiveness that provide training under contract with a Local Area WDB.

2. Eligible Training Provider List (ETPL) is North Carolina’s statewide list of approved providers of training services who are eligible to receive WIOA Title I-B funds.

Note: having a program on this list simply means that basic WIOA criteria for eligibility has been met. It DOES NOT mean that the program will be certified at the local WDB level and made available to WIOA customers in the local WDB area. This list is displayed and maintained in NCWorks Online.

3. Program of Training Services is defined as one or more courses or classes, or a structured regimen that leads to one of the following:

- A recognized post-secondary credential, secondary school diploma or its equivalent
- Employment
- Measurable skill gains toward such a credential or employment

4. In-demand refers to occupations, industry sectors or clusters, or career pathways that have been identified in State, regional, and/or local area workforce development plans as emerging, growing, a priority for local area workforce partners, or otherwise having the best job prospects due to the workforce needs or hiring demands of employers.

5. Informed Customer Choice refers to the knowledge of the choices available to job seekers necessary for them to make sound career decisions. NCWorks Career Center staff will provide access to the following: skills assessment tools; career planning resources; updated labor market information identifying industry sectors and occupational clusters that are high-growth, high-demand, projecting skills shortages, and/or vital to the regional economy; and access to the ETPL through the NCWorks Online system (www.ncworks.gov), to ensure that job seekers can make an informed customer choice and are prepared with the skills needed to fill hiring opportunities in in-demand sectors and career pathways in high wage occupations. The NCWorks Online system provides relevant information on available training programs, including performance and cost.

Part I – Roles and Responsibilities of the State and Local Area WDBs

The quality and selection of providers and programs or training services, including Registered Apprenticeship programs and others, are vital to achieving the WIOA core principles. The North Carolina Division of Workforce Solutions (DWS) plays a leadership role in ensuring the success of the eligible training provider system in partnership with Local Area WDBs, the virtual one-stop system, and its partners. The approved list of eligible training providers is the primary

¹Only Registered Apprenticeship programs registered under the National Apprenticeship Act (29 U.S.C 50, *et. Seq.*) are included as eligible training providers. For additional information, please refer to page 9 of this policy.

tool for participants seeking training to identify appropriate providers with the assistance of their individual Career Advisor(s), and relevant information such as cost and program outcomes.

A. Roles of the State

DWS is the designated State agency for WIOA administration. DWS must establish criteria and procedures for initial determination and renewals of eligibility for training providers and training programs to receive funds under WIOA Title I-B. The DWS Eligible Training Provider Coordinator and his or her staff has explicit responsibility for managing and disseminating the approved list of eligible training providers. The State must perform the following required roles:

- Establish eligibility procedures and criteria clarifying State and Local Area WDB roles and responsibilities;
- Establish a mechanism for adding Registered Apprenticeship programs to the list and verifying registered status at least every two years;
- Consult with the NCWorks Commission and DWS when establishing these procedures;
- Determine whether the provider submitted accurate information, and take enforcement actions as needed;
- Collaborate with the Local Area WDBs on eligible training provider issues when necessary;
- Notify training providers and the Local Area WDBs of the denial of programs at the State level;
- Disseminate information concerning the ETPL to the Local Area WDBs and maintain the State ETPL via NCWorks Online;
- Evaluate the performance data of all training providers during the subsequent eligibility review;
- Monitor training providers for compliance and performance;
- Monitor Local Area WDBs and the administration of the ETPL implementation;
- Determine if State-established minimum performance levels for eligibility are met;
- Remove programs and/or providers that do not meet State-established program criteria, performance levels for eligibility, and/or are out of compliance with the provisions of WIOA law; and,
- Develop and implement a complaint and appeals procedure.

B. Roles of the Local Area WDBs

As indicated in TEGl 08-19 and its Attachment II, WDBs have specific responsibilities to adhere to, as well as responsibilities that are allowable, but not mandatory.

WDBs must work in conjunction with the State to:

- Ensure there are sufficient numbers and types of providers of career services and training services (including eligible providers with expertise in assisting individuals with disabilities and eligible providers with expertise in assisting adults in need of adult education and literacy activities) serving the local area and providing the

services involved in a manner that maximizes consumer choice and leads to competitive integrated employment for individuals;

- Confirm the State’s Eligible Training Provider List is disseminated publicly through NCWorks Online, and its partner programs;
- Inform the State ETP Coordinator in cases where termination of an eligible provider should be considered using the State’s Complaint and Appeals procedure set forth in this policy;
- Inform the State ETP Coordinator of any changes reported by the training provider that ultimately affect their corresponding approved programs;
- Assist, when specifically requested by the State, in the collection of participant and non-WIOA participant performance information for the purposes of managing individual and ETP program performance. The State is still solely responsible for the collection of performance data, but in rare instances where communication is lost between the State and a provider, the WDB may be asked to assist in reestablishing communication and aiding the exchange of performance data.
- As determined by each WDB, set additional information requirements and minimum performance levels for local providers beyond what is required by DWS’s procedure. WDB’s may also provide comment and input into the DWS’s development of the eligible training provider procedure by contacting the ETP Coordinator. Any additional requirements established by the WDB will only affect a program’s eligibility and performance level eligibility requirements within the local area and must be monitored accordingly to ensure compliance; and,
- In instances where a WDB chooses to put in place more strenuous performance requirements than are required by the state, the WDB must remove any providers that fail to meet those local performance standards from the local ETP list. There must also be an appeal process in accordance with the State’s appeal procedure for providers of training to appeal a denial of eligibility from the local list of eligible training providers.

Part II – Eligible Training Provider Determination Process

A. Qualifications for Training Providers:

1. Licensing/Accreditation

Eligible Training Providers must be licensed by the appropriate North Carolina or federal licensing authority, as required by both North Carolina and federal law. Training providers must be in good standing and compliant with all other State and federal regulatory agencies including:

- In instances where specific occupations have governing boards that issue licenses, such as the North Carolina Department of Health and Human Services – Division of Health Service Regulation, North Carolina Department of Motor Vehicles, Training providers must be licensed by the appropriate governing board to offer training for the occupation.
- Private post-secondary institutions must be approved by a federal or North Carolina authority such as the Southern Association of Colleges and Schools.

Licensed/Accredited Training Providers not eligible to be on the ETPL include, but are

not limited to:

- Training providers that are debarred by State or federal government during the debarment period;
- Private post-secondary training providers who apply for a NC Proprietary license and are denied licensure due to the determination that the training program is not vocational in nature after vetting conducted by the NC Community Colleges.

2. **Business Requirements**

- Training providers must be a legal entity, registered to do business in the State of North Carolina.
- Training providers must have provided training services during all of the 12 months prior to applying for the ETPL and have a proven track record of students successfully completing its programs. Note: this provision does not apply to Registered Apprenticeship programs.
- Training providers are required to have refund policies specifying when refunds for tuition and other costs associated with the training program will be allowed. Refund policies that indicate that no refunds will be made are not acceptable. Refund policies must be written and published so that students are aware of how to request a refund.
- Training providers must have a grievance policy which provides for due process to allow students to file complaints with an organization against faculty, staff, or other employees. Grievance policies must be written and published so that students are aware of how to file a complaint.
- Training providers must have a form of general liability insurance. General Liability Insurance is defined as a standard insurance policy issued to business organizations to protect against liability claims for bodily injury (BI) and property damage (PD) arising out of premises, operations, products, and completed operations; and advertising and personal injury (PI) liability.
- All Public and Private providers of training services must maintain a current insurance policy for the duration of being listed as an eligible training provider per federal and state law. Upon expiration of the certificate, the provider must submit a new certificate to the DWS–ETP Coordinator.
- Training providers must establish, publish, and disseminate materials to students including, but not limited to, official catalogs and other materials. Training providers must provide to students, and to prospective students, information that is complete and accurate. The information provided must be sufficient to enable prospective students to make rational decisions about enrolling in the school and to enable enrolled students to understand their rights and responsibilities as a student in the school.
- A training provider’s financial capacity must be appropriate to its scale of operations. The school must demonstrate, principally from its annual comprehensive financial statements, and from other financial information, that it has adequate capability to satisfy its contractual obligation to students, including the capability to provide the programs and services described in its official publications and to meet its financial obligations.
- Training providers must comply with non-discrimination and equal opportunity provisions of all federal and state applicable laws including, but not limited to:
 - Regulations under Section 188 of the Civil Rights Act of 1964;

- 29 CFR 37, Title VI of the Civil Rights Act of 1964;
- Age Discrimination Claims Assistance Act of 1988;
- Sections 504 and 508 of the Rehabilitation Act of 1973;
- Title IX of the Education Amendments of 1972;
- Title II Subpart A of the Americans with Disabilities Act of 1990; and
- The Genetic Information Nondiscrimination Act of 2008.

3. **Necessary Documentation for Eligibility Determination**

The training provider must meet all State criteria listed in Part II numbers 1 and 2 of this policy to allow the State to make an eligibility determination, along with the necessary documentation listed below. The information requirements established mandate that a provider of training services submit appropriate, accurate, and timely information to the State, to enable the State to disseminate information that assists participants in choosing training providers. Documents to be collected and reviewed are:

- College’s or Company’s Accreditation (state or national);
- Legitimacy of the College or Company (must include the provider’s NCID # or FEIN #);
- Most recent financial audit or financial statements for the prior six months
- Agreement for a drug-free workplace and;
- General Liability Insurance – If this expires during the Program Year, it is the responsibility of the training provider to submit the current policy.

B. Eligible Training Provider Exemptions

Certain training providers are not subject to the requirements of the ETP provisions, as set forth in WIOA Title I-B Section 122, because they are exempt from ETP requirements. However, it is required that such a training provider’s basic information be entered in NCWorks Online.

Training services exempt from the ETP eligibility requirements include:

- **On-The-Job Training (OJT)** - Training by an employer that is provided to a paid participant while engaged in productive work in a job that provides knowledge and skills essential to the full and adequate performance of the job and is made available through an OJT program;
- **Customized Training** – Training:
 - That is designed to meet the specific requirements of an employer (including a group of employers);
 - That is conducted with a commitment by the employer to employ an individual upon successful completion of the training, and;
 - For which the employer:
 - Pays a significant portion of the cost of training, as determined by the Local Area WDB involved, taking into account the size of the employer and such other factors as the local board determines to be appropriate, which may include the number of employees

participating in training, wage and benefit levels of those employees (at present and anticipated upon completion of the training), relation of the training to the competitiveness of a participant, and other employer-provided training and advancement opportunities; and,

- In the case of customized training involving an employer with locations in multiple local areas in the State, a significant portion of the training cost, as determined by the Governor, takes into account the size of the employer and other factors as the Governor determines to be appropriate.
- **Incumbent Worker Training** – Training designed to assist workers in obtaining the skills necessary to retain employment or avert layoff;
- **Transitional Jobs** – Time-limited work experiences which are to be combined with comprehensive employment and supportive services and are to be designed to help individuals establish a work history, demonstrate success in the workplace, and develop the skills that lead to entry into and retention of unsubsidized employment;
- **Internships and Work Experience** – Planned, structured learning experience that takes place in a workplace for a limited time period. Work experience may be paid or unpaid, as appropriate. An internship or work experience may be arranged within the private (for profit) sector, the non-profit sector, or the public sector.
- Instances where the Local Area WDB provides training services through a pay-for-performance contract, or;
- When circumstances as described in WIOA Section 134(c)(3)(G)(ii) occur, and the Local Area WDB determines that:
 - there are insufficient providers, or;
 - there is a training services program with demonstrated effectiveness offered in the local area by a community-based organization or other private organization to serve individuals with barriers to employment, or;
 - it would be most appropriate to award a contract to an institution of higher education or other eligible provider of training services in order to facilitate the training of multiple individuals in in-demand industry sectors or occupations, and such contract does not limit customer choice.

C. State Eligible Training Provider Application Process

All providers and programs that have not previously been eligible to provide training services under WIOA sec. 122 or WIA sec. 134, except for Registered Apprenticeship (RA) Programs, must submit required information to be considered for initial eligibility. The requirements to become an eligible training provider apply to all organizations providing WIOA Title I-B training to adults, dislocated workers, and youth with the specific exception of RAs. For RAs, under WIOA, all programs must be included upon request and maintained on the list of ETPs for as long as that program remains registered.

State ETPL Application Process

The State of North Carolina uses a two-tier eligibility determination approach. First, the training provider must be an eligible entity to apply for the ETPL by meeting the State's criteria listed in Part II numbers 1 and 2 of this policy. Second, the training programs offered by the training provider must meet eligibility and performance criteria to be listed on the ETPL.

Under WIOA Title I-B, a training provider must provide verifiable program-specific information based on criteria established by the State. The application process for initial eligibility on the ETPL is as follows:

1. The training provider must submit a fully completed online application via the State's website, www.ncworks.gov. Further, the provider must submit any required supporting documentation by electronically uploading such documentation into their online application.

The application will include the following required information:

- a. At least one or more factors for performance [refer to ETP Performance section for details on performance information];
 - b. A description of the degree in which the training provider is in partnership with a business. This could include information about the quality and quantity of employer partnerships;
 - c. A description of the accessibility of all training programs pertaining to physical access, programmatic process, and communications. This includes, but is not limited to, location, delivery of service, and access for individuals with barriers;
 - d. Other documentation as needed [refer to the Qualifications for Training Providers section for other documentation information].
2. An initial review is conducted by the state's ETP Program Coordinator and/or ETP staff to determine if the training provider is an eligible entity.
 3. Once the training provider is deemed eligible, the training provider will receive access to key their training program(s) into their NCWorks Online profile for review.
 4. The training provider will then be instructed to submit each desired program for program review and approval via the virtual one-stop system.
 5. The application is reviewed by the ETP Program Coordinator and/or ETP staff using a standard ETP Rubric.

Rubric Components include the following factors in determining a quality training program:

- I. Performance Data
 - II. Partnership(s) with Employer(s)
 - III. In-Demand Occupation/Industry
 - IV. Credential obtained upon program completion
 - V. Accessibility of Program
6. A determination of eligibility letter will be sent electronically to the training provider.
 - a. If approved, a WIOA Eligible Training Provider Agreement and

Approved Program List Addendum (ETPL Contract) is sent by the state's ETP Coordinator or ETP Staff to the provider within 30 days of the provider's application submittal.

Once the contract is signed, the State will disseminate the new program listing on the State's website and virtual one-stop system (NCWorks Online).

- b. If denied, the training provider has the right to appeal or reapply when ready.

NWDB Local Application Process:

NWDB has established its own review process to determine if training providers and training programs meet the needs of the local area. These criteria overlap with many elements of the state criteria but are evaluated through a local lens to determine if the training provider and its training programs meet the unique needs of the area. NWDB may choose to opt-in at its own discretion for any training programs included on the State ETPL.

Training providers who wish to be added to NWDB's local approved training list must submit a written request. The below process will be used to review training providers and training programs submitted for inclusion on the local approved training list:

- The training provider contact is provided with Attachment #40B Training Provider Questionnaire and Attachment #40C Training Program Information Spreadsheet.
- The training provider contact returns the completed Attachment #40B Training Provider Questionnaire and Attachment #40C Training Program Information Spreadsheet to the NWDB contact.
- NWDB staff will review the information provided and make a determination as to whether the training provider and their programs will be added to the local approved training list.
- NWDB staff will respond to the training provider within 60 calendar days of receipt of all requested information to advise of the decision.

D. Registered Apprenticeships & Industry Recognized Apprenticeship Programs

Registered Apprenticeship (RA) – TEGL 13-16 defines a Registered Apprenticeship as "...a proven model of job preparation that combines paid on-the-job training (OJT) with related instruction to progressively increase workers' skill levels and wages. Registered Apprenticeship is also a business-driven model that provides an effective way for employers to recruit, train, and retain highly skilled workers. It allows employers to develop and apply industry standards to training programs, thereby increasing productivity and the quality of the workforce. As an 'earn and learn' strategy, Registered Apprenticeship offers job seekers immediate employment opportunities that pay sustainable wages and offer advancement along a career path. Graduates of Registered Apprenticeship programs receive nationally-recognized, portable credentials, and their training may be applied toward further post-

secondary education.”

Registered Apprenticeship Programs are not subject to the same eligibility procedures for ETPL approval. RA Programs are considered eligible, and will be added to the ETPL, if the program sponsor indicates its desire to be on the ETPL. RA Programs will remain on the ETPL for as long as the program remains registered under the National Apprenticeship Act or until the program sponsor notifies the State that it no longer wants to be included.

Industry Recognized Apprenticeship Program (IRAP) – In March 2020, USDOL produced Final Rule 20-386-NAT to define and give specific instructions pertaining to IRAPs. IRAPs are high-quality apprenticeship programs, recognized as such by a third-party entity under standards established by the department in the new rule. Through these programs, individuals will be able to obtain workplace-relevant training and progressively advancing skills that result in an industry-recognized credential, all while getting paid for their work. An IRAP is developed or operated by entities such as trade and industry groups, corporations, non-profit organizations, educational institutions, unions, and joint labor-management organizations. Unlike RA Programs, IRAPs are subject to the same eligibility process and requirements as a standard training provider.

Part III – Eligible Program of Training Services

A program of training services may be delivered in person, online, or in a blended approach and is defined, under WIOA, as one or more courses or classes, or a structured regimen that leads to:

- a recognized post-secondary credential, secondary school diploma or its equivalent, Types of acceptable Credentials:

- Secondary School diploma or equivalent
- Associate's Degree
- Bachelor's degree
- Graduate degree for purposes of the Vocational Rehabilitation program
- Occupational licensure
- Occupational certificate, including RA and Career and Technical Education educational certificates
- Occupational certification
- Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment.
- employment, or
- measurable skill gain toward such a credential or employment.
 - The Employment and Training Administration (ETA) defines a measurable skill gain as one of the following types of gains:
 - Educational Functioning Level (EFL) gain
 - Attainment of Secondary School Diploma
 - Secondary Transcript/Report Card
 - Training Milestone
 - Skills Progression

A. Initial Period of Eligibility for Approved Programs

Initial eligibility will be granted for a 12-month period once approved by the State. After the initial period, the training provider is subject to continuing eligibility requirements.

B. Technology-Based Learning

Training providers using technology-based learning, also referred to as **distance**, **online**, **web-based**, or **computer-based** learning, must meet the following requirements:

- Training providers offering distance learning programs must be licensed to provide training in the State of North Carolina.
- Training providers must have a platform for student interaction with an instructor or instructors.
- Training providers must ensure periodic assessment of each student.
- Training providers' policy must describe the responsibilities of each party (training provider, participant) to the distance learning experience.
- Training providers must have procedures in place for tracking student's participation in the training program.
- Training providers must comply with any additional requirements determined by the Local Area WDB.

C. Criteria for Determining Program Eligibility

State – In establishing criteria pursuant to WIOA Sec. 122(b)(1), the State shall consider each of the following: *(An addendum will be created and added to this policy at a later date to provide more clarity to the following areas.)*

- Performance Accountability and Outcomes

- Ensure access to training services throughout the State (including use of technology)
- Dissemination of the training provider’s Performance Outcomes and training information
- Training must lead to “In-Demand” industry occupations and sectors
- State licensing requirements and licensing status of providers
- Encouragement of industry recognized certifications
- Provider’s ability to offer a credential
- Quality of training
- Ability to serve individuals with barriers
- Other including:
 - Compliance
 - Informed Choice
 - Providers must meet the needs of local employers and participants
 - Accountability of providers

D. Criteria for Registered Apprenticeship (RA) Program Inclusion

The inclusion process for a RA program begins once a RA indicates they wish to be placed on the ETPL. At that time, the RA must supply the following information to the State:

- Occupations included in the RA
- The name and address of the RA sponsor
- The name and address of related technical instruction provider and location of instruction if different from the program sponsor’s address
- The method and length of instruction and;
- The number of active apprentices

The RAs are automatically eligible to be included in the state’s ETPL and are exempt from eligibility and performance requirements. (Note that Pre-Apprenticeship programs do not have the same automatic ETP status. [20 CFR Sec. 680.470]) Any voluntarily provided performance data will be provided by the State Apprenticeship Agency. Once on the state ETPL, RAs will be included and maintained on the list until:

- the RA notifies the State agency that it no longer wants to be included on the list.
- the program becomes deregistered under the National Apprenticeship Act.
- the program is determined to have intentionally supplied inaccurate information.
- a determination is made that the RA substantially violated any provision of Title I of WIOA or the WIOA regulations, including 29 CFR part 38.

E. Program Costs

An eligible training provider must make available to the prospective students its schedules of tuition and fees. The institution shall disclose all fees required to be paid by students

(including tuition, required fees, books, supplies, activities, etc.), and any non-refundable fees must be so identified. A reduction in tuition, fees, or other charges may be implemented when there are specific criteria for student eligibility and selection procedures precisely disclosed within the policy at the institution. All students within the enrollment period that the reduction is offered shall be eligible to apply. The cost of the training to WIOA participants must not exceed the cost charged to any other student in the program. All costs necessary for successful completion of a program must be clearly stated. A breakdown of cost must be identified for publication on the ETPL. A breakdown may include the following:

- Tuition
- Fees
- Books
- Licensing cost
- Certificate fees
- Graduation fees
- Uniforms
- Tools
- Registration fees
- Supplies

F. Publication of ETPL

[ETA TEGL 08-19 pg. 1-8]

WIOA requires that the State disseminate the statewide list of all eligible training providers and accompanying performance and cost information to WDBs and to the public. The State of North Carolina will post the list on its Virtual One-Stop System (NCWorks Online). Individuals, counselors, and providers will have direct access to the list.

Training providers will appear on the statewide ETPL after verification by the State to determine eligibility. As new programs, and providers, are verified and approved, the statewide list will be updated on an ongoing basis. If a program is removed from the list, the WDB will cease to approve additional Individual Training Accounts for that program, and the ineligible program will be removed from the statewide list.

The State ETPL must be accompanied by appropriate information to assist participants in choosing employment and training activities. Such information must include the following, disaggregated by local areas served, as applicable:

- Recognized post-secondary credential(s) offered;
- Provider information supplied to meet the State's eligibility procedure;
- Performance and cost information aligned with the time periods; and,
- Additional information as determined by the State as follows:
 - Program length including number of units such as credits, hours, weeks, or semesters needed to earn the credential(s) offered.
 - Program Service/Location and type
 - Class/Faculty size
 - Program prerequisites
 - Target occupations

- Program description, and
- Additional information as deemed appropriate.

G. Solicitation of Training Providers

The State and each Local Area WDB may solicit an invitation to training providers to submit applications to apply for status as approved training providers. This solicitation may be done through various appropriate methods, including, but not limited to, mailings, email, phone conversations, and in-person meetings. The State may also solicit training providers from outside of the State.

Part IV – Continuing Eligibility

Eligible training providers that were determined to be initially eligible under WIOA Title I-B will be subject to the application procedure for continued eligibility when their initial year of eligibility expires. In addition, all providers previously approved under Continuing Eligibility will have a review at least every two years to determine continuing eligibility status.

A. Application Process

Initially, one month prior to the expiration of the initial period of eligibility, eligible training providers must submit a new and completed ETP application on the State’s virtual one-stop system (NCWorks Online), and for each program for which recertification is sought. The training provider must confirm all detailed program information listed. To maintain eligibility status, training providers must submit any such information as the State may request to adequately prepare the performance information for each training program for which continued eligibility is being sought.

In determining continuing eligibility status, the State will take into consideration the following elements:

1. Changes in Organization/Provider Information:
 - a. Business Requirements
 - b. Accreditation/licensure renewals, if necessary
 - c. Updated Certificate of Insurance
 - d. Updates and/or changes in refund or grievance policies, if any;
2. Changes in Program Information:
 - a. Schedule changes
 - b. Curriculum updates
 - c. Match against In-Demand List
 - d. Credential offered
 - e. Review of business partners that affect the program; and
3. The performance of providers of training services on the performance accountability measures described in WIOA Sec 116(b)(2)(A)(i)(I-IV). This includes the timeliness and accuracy of the eligible training provider’s performance reports. The State reserves the right to establish minimum performance standards. Until the performance data for all accountability measures

are available, the State may consider alternate factors related to performance for that accountability measure. Once training providers have two years of performance outcomes using the WIOA performance indicators specified in section 116, the State will then take them into account.

4. To ensure equity throughout the State, these factors will be taken into consideration when determining eligibility:
 - a. Specific economic, geographic, and demographic factors in the local area for which providers are seeking continued eligibility; and
 - b. Characteristics of the populations served, including demonstrated difficulties in serving these populations.

Upon review of the factors above, the State will determine if the program maintains eligibility. Continued eligibility status will be confirmed and transmitted to each provider through the NCWorks Online email messaging system.

A continuing eligibility review must be conducted at least once every two years from the date of any prior continuing eligibility review.

B. Continuing Eligibility Review for Registered Apprenticeship (RA) and Industry Recognized Apprenticeship Programs (IRAPs)

RAs that have initially indicated their desire to be placed on the State ETPL are not subject to the same continuing eligibility and performance requirements of the State's ETPL policy.

Note: Pre-Apprenticeship programs do not have the same automatic ETP status. [20 CFR sec. 680.470].

The biennial review of provider eligibility will include verification of the registration status of RA and removal of any programs as described in 20 CFR Sec 680.470. Any voluntarily provided performance data on RAs will be provided by the State Registered Apprenticeship Agency. Once on the State ETPL, RAs will be included and maintained on the list until:

- the RA notifies the State agency that it no longer wants to be included on the list.
- the program becomes deregistered under the National Apprenticeship Act.
- the program is determined to have intentionally supplied inaccurate information.
- a determination is made that the RA substantially violated any provision of Title I of WIOA or the WIOA regulations, including 29 CFR part 38.

Unlike RA Programs, IRAPs will be held to the same recertification process as all other Eligible Training Providers.

Part V – Eligible Training Provider Performance

A. Background

In accordance with WIOA section 116 and regulations at 20 CFR 677.230 and 20 CFR 680.490, North Carolina is required to report performance information about ETPs to USDOL ETA. This requirement covers all three WIOA Title I programs: Adult, Dislocated Worker, and Youth. Further, as noted previously, all waivers regarding the reporting of data

for all participants (not solely WIOA participants) have expired. This means that starting with PY 2021 (July 1, 2021 to June 30, 2022), all approved programs of study that appear on North Carolina's ETPL must have data submitted not only for the WIOA participants within

the program, but also for every individual in that program of study regardless of WIOA participation status.

B. Annual Performance Data Submission

Performance reporting for ETPL will be comprised of data from multiple sources:

- NCWorks Online, North Carolina's chosen case management platform
- Provider initial application and recertification documentation
- Data submitted directly from providers

The ETPL contains approved programs of study. This means that a single training provider may have more than one program of study appearing on the ETPL. Therefore, as outlined in TEGE 03-18, providers "must submit data to the State for all of their approved programs in a manner that allows the State to generate and report separate records for each program of study." Further, this policy applies to all programs of study on the ETPL, including those programs that did not serve WIOA participants during the reporting period. In other words, if a program of study appears on the ETPL during a given reporting period, providers will be required to submit data for that program of study, whether or not WIOA participants made use of that program of study.

The State will collect performance data from eligible training providers on an annual basis. Under 20 CFR 680.460, ETPs are required to report the data requested by the State as a criterion of continued eligibility on North Carolina's ETPL. To make this process as easy as possible for providers, North Carolina will be offering a downloadable MS Excel spreadsheet that will enable easy data uploading. The spreadsheet is formatted with tabs for each of a provider's approved programs of study. The provider need only complete the Excel tab for each program, and that will provide the State all of the necessary information to complete its required reporting. The required data elements on the MS Excel spreadsheet are as follows:

- **SSN** – the participant's nine-digit Social Security Number²
- **Start Date** – the participant's enrollment date in the approved program of study
- **Status** – the participant's status in the approved program of study; options include Enrolled, Completed, Withdrew, or Transferred
- **Exit Date** – the date the participant left the approved program of study (those with a status of Completed, Withdrew, or Transferred)
- **Credential** – a Yes/No/Unknown response on whether the participant attained the credential tied to the approved program of study

C. Performance Data for Initial and Continued Eligibility and Program Quality

² If providers are unable to provide SSN data for its programs, please contact the ETP Coordinator for data submission instructions.

For training providers applying for initial or continued eligibility, one of the required factors that the State must consider is performance. This is essential, ensuring that North Carolina maintains a list of high-quality training providers, and enables participants to make informed decisions on the types of training that will lead to their individual success.

For North Carolina, the performance metrics being used to evaluate a provider's performance include:

- Employment Q2: the percentage of all program participants who are in unsubsidized employment during the second quarter after exit from the program
- Employment Q4: the percentage of all program participants who are in unsubsidized employment during the fourth quarter after exit from the program
- Credential Attainment: the percentage of program participants who obtain a recognized postsecondary credential or a secondary school diploma or its recognized equivalent

Note: The State acknowledges that obtaining timely and accurate information regarding employment is difficult and may represent an undue burden on training providers. The State will work with providers, individually, to develop a corrective action plan to address data collection. Providers and programs will maintain eligibility throughout the corrective action process.

The minimum levels of performance required will be noted in both the initial and continued eligibility applications.

In addition to the performance metrics noted above, in an effort to maintain the highest quality list of training providers, North Carolina may also consider these additional factors:

- The degree in which the training program relates to in-demand industry sectors and occupations
- Length and cost
- Training delivery method including reasonable access for:
 - individuals who are employed
 - individuals with barriers to employment and
 - how easily accessed the program is in rural areas
- Credentials:
 - is the credential highly valued by employers/industries?
 - are they required for specific occupations?
- Training program completion rates
- Participant outcome information including the percentage of participants who entered unsubsidized employment in an occupation directly related to the program of training.

D. Insufficient Performance Data

In the event the training provider does not have the required performance data, it must 1) show good cause as to why the data is unavailable and 2) provide alternative information that demonstrates compliance with State eligibility criteria. "Good cause" should include:

- The training program is new and data on past performance is not available;

- Only partial performance data is available;
- Collection of data will cause excessive costs and/or hardship for the training provider during the initial eligibility; and/or
- Other reasonable circumstances that may cause data to be unavailable.

If the required and alternate information cannot be provided, DWS ETP staff will provide technical assistance to allow the provider an opportunity to demonstrate its ability to meet eligibility criteria. DWS ETP staff will assist the provider in developing a plan of action with an appropriate timeline to be determined on an individual basis. If the provider is unresponsive or unable to meet the requirements set forth by the agreement, the provider may be ruled ineligible.

E. Alternate Performance Information

Until the performance data for each accountability measure is available, the State may consider alternate factors related to performance for that accountability measure if the information is substantially similar to the information otherwise required. In considering alternate factors related to performance, the State may set minimal performance criteria, use existing available data, or develop other proxies as appropriate. Once training providers have two years of performance outcomes using the WIOA performance indicators specified in section 116, the providers will be expected to supply the originally required information.

Supplemental data may include documentation on self-employment and self-reported earnings, a copy of a W-2 form or pay stub that documents employment during the time period in the measure.

Part VI – Notice of Ineligibility, Suspension, Termination of Eligible Training Providers, and Complaints from Participants against Training Providers

A. Complaints from Participants

If a participant wishes to file a complaint against a Training Provider, DWS staff and/or Local Area WDB staff must refer to NCWorks Commission Policy Statement Number CPS 08-2021.

DWS ETP Program Coordinator and staff, DWS Ombudsman, and the Local Area WDB will work transparently through the investigation process to ensure:

- a safe process is provided for the complainant.
- a thorough and efficient investigation into the allegations has been performed to determine the appropriate action.

B. Initial Eligibility Denials

A training provider may be denied initial eligibility for the following reasons:

- The application is not complete, or information was not provided in a timely manner;
- The training provider does not meet the WIOA definition of an eligible training entity;
- The training program does not meet the WIOA definition of an eligible training service;

- The training program does not result in a WIOA recognized credential;
- Performance data is not included with the application.
- The training program does not support in-demand occupations and/or sectors identified through labor market analysis;
- The training provider is not in compliance with the WIOA statute, regulations, or any agreement executed under WIOA law;
- The State or Local Area WDB determines that the training provider intentionally supplied inaccurate information.

C. Reapplication

When a training provider or program is denied for any reason other than lack of documentation or information, the provider must wait six months to reapply.

D. Denial Notice

Within 10 business days after the State determines that a training provider’s application does not meet the eligibility criteria, the State shall issue a denial notice to the training provider.

The notice shall be emailed to the training provider at the email address listed on the application and to the attention of the contact person identified on the application. The notice shall clearly:

- display the “date emailed”;
- identify the program that was denied or terminated;
- state specific reason(s) for the action; and
- state the training provider has the right to appeal within 30 calendar days of the date the notice is emailed.

E. Suspension/Removal

A **training program** may be removed from the ETPL for the following reasons:

- The State determines that the training provider supplied inaccurate information;
- The training program no longer meets the WIOA definition of occupational skills training;
- The program does not meet minimum performance standards once established. If there are not students enrolled in the training program during the past year, there will be no performance data to review for continued eligibility. The State must examine the demand for the related occupation to determine if there is still a demand for it and decide whether to keep the program on the ETPL for another year.

A **training provider** may be removed from the ETPL for the following reasons:

- Intentionally supplying inaccurate or false information;
- Substantially violating a provision of WIOA Title I or its implementing regulations;
- Failure to meet required performance outcomes;
- Failure to abide by the equal opportunity and nondiscrimination requirements under

- WIOA Section 188;
- Failure to comply with monitoring and audits;
- Failure to maintain required licenses and accreditation requirements;

- Failure to comply with all applicable provisions in the ETPL contract and/or policy;
or
- Other just cause.

F. Notification and Termination Letter

Within 10 days after the State determines that a training provider is in violation of any of the reasons indicated above, a notice of violation or finding shall be issued by the State, requiring the development of a corrective action plan. The letter should include a detailed description of the violation or finding, an invitation to work collaboratively to develop a mutually agreed upon corrective action plan, and a specific timeframe of 14 days to respond to the notification. If the training provider fails to respond, a termination letter will then be issued.

The termination notice shall be mailed to the training provider at the address listed on the application and to the attention of the contact person identified on the application.

The notice shall clearly:

- display the “date mailed”;
- identify the violation or finding;
- state specific reason(s) for the action; and
- state the training provider has the right to appeal within 30 calendar days of the date indicated on the notice. When a training program is removed from the State ETPL, WIOA participants currently enrolled in the program may complete their training as outlined in their WIOA Individual Employment Plan (IEP) unless the program or provider has lost state licensing, certification, or authorization to operate by the appropriate state oversight agency.

Note: The State reserves the right to terminate a provider based on prior violation history if violations reoccur. The State will bypass the Corrective Action Plan (CAP) process and send a termination letter to the training provider if the evidence gathered during the investigation does prove gross negligence on behalf of the training provider occurred. The training provider will have 30 days from the date of the termination letter to appeal. A due process hearing will be set up for a final ruling on whether the training provider will be allowed to remain on the State ETPL.

G. Corrective Action Plan (CAP)

The State and the Eligible Training Provider must develop a mutually agreed upon CAP, if the provider is:

- found in violation of their contract, or
- if the provider is requesting technical assistance to become compliant.

1. Prior to Plan Development:

If the provider is found in violation of the contract, the State must identify the finding and how it was acquired. Examples include, but are not limited to, Local Area WDB's monitoring report, State's compliance and monitoring report, continuing eligibility review, and information reported through an anonymous tip or random review; i.e., secret

shopper, Secretary of State website check, or other means that provides evidence of potential non-compliance with ETPL contract provisions or ETPL policy.

Identify which law or provision is being violated. Gather supporting documents and/or conduct interviews (if necessary) to determine if the finding or allegation of wrongdoing is factually based. This will determine whether the provider can continue to receive referrals during the CAP process or not.

2. Notification Letter:

The State will send a letter via mail within 10 business days of determining a violation has occurred. The letter should include what the violation or allegation is, an invitation to develop a corrective action plan, and specific timeframe of 14 days to respond to the notification. If the training provider chooses not to respond to the letter, it is confirming its decision to withdraw participation from the ETPL.

3. Development of CAP:

The training provider, along with assistance from the State, must develop a corrective action plan. The CAP will serve as a reapplication and should contain the following:

- Details of discussion; date, time, method of communication (phone, in-person meeting, online meeting, etc.), persons involved in discussion, and relevant details;
- Description of circumstances;
- Description of steps that will be taken to rectify the situation, including procedural changes to prevent reoccurrence;
- Appropriate timeframe to achieve completion/resolution:
 - Depending on severity of issue, time frames will vary
 - An evaluation of progress must be periodically conducted. The State will determine the date(s) of progress evaluation, based on the severity of the issue and the complexity of the actions necessary to achieve completion/resolution.

4. Repayment of Program Funds

A provider of training services whose eligibility is terminated due to the termination causes displayed above, shall be liable for the repayment of funds of all adult, dislocated worker, and youth funds received under Title I-B of WIOA during the period of noncompliance. [Ref. Act Sec 122(f)(1)(c)] No repayment funds should be collected from the training provider until the opportunity to appeal is over, which is 90 days from the date of the initial denial notice.

H. Appeal Hearing Process

State:

Following issuance of a denial of eligibility, determination of suspension, or termination of eligibility, the training provider will have 30 days in which to submit an appeal to the DWS. Within 30 days of the receipt of the appeal, the training provider will be notified of the date, time, and place where a due process hearing will be conducted. After that hearing, a final decision will be issued within 30 days.

The Appeals Hearing Panel will consist of staff who serve a one-year rotating term and shall be represented in the following manner:

1. One DWS Management representative
2. One Local Area WDB Director
3. One Regional Director

All appeals must be forwarded, in writing, to the following address:

**NC Division of Workforce Solutions
Attn: ETP Program Coordinator
4316 Mail Service Center
Raleigh, NC 27699-4316**

Local:

A provider choosing to appeal a local decision must submit a formal written appeal to the Northeastern WDB within 30 calendar days of the issuance of the denial notice. The appeal must include:

- A statement of the desire to appeal
- Specification of the program in question; and
- Specifically, and in detail the grounds and reasons upon which it is claimed that the denial was erroneous.

NWDB will not consider any repeal/reversal of the decision that is not set forth in the manner outlined above. NWDB will determine whether a meeting for fact-finding is necessary and will issue a decision no later than 30 calendar days from the date the appeal request is received or either the date a face-to face meeting (in-person or virtual) is held by the NWDB.

Training providers and/or programs denied for any reason other than lack of documentation or information must wait at least 6 months to reapply.

Training Provider Questionnaire for NWDB Local Area Review

Please provide the following information in order for NWDB to complete a review of your organization and training programs for consideration of approval for the local approved training list. NWDB staff will notify the provider of the decision within 60 calendar days of the receipt of all requested information.

- 1. Provide a description and brief history of your organization**
- 2. Describe your billing processes.**
- 3. List partnerships with specific local area employers.**
- 4. Does your organization have a website? Please provide the link.**
- 5. Describe how the programs of study will lead to occupational skills resulting in national and/or industry recognized credentials identified as being in high demand in our local area. Provide supporting data specific to our region.**
- 6. Describe your process for collecting graduation/performance data for your training programs.**
- 7. Describe your process for collecting data on employment rates and wages for your graduates.**
- 8. Do any of your training programs require clinicals or hands on experience in order to obtain the associated licensure/certification? If so, do you provide placements or placement assistance?**
- 9. What supports do you have in place for students with disabilities and/or limited English proficiency?**
- 10. Are your programs currently on the local approved training lists of any other NC Workforce Development Boards? If so, please list them.**



Northeastern Workforce Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

July 1, 2015

NWDB Issuance No. 2015-6

- SUBJECT:** Workforce Innovation and Opportunity Act (WIOA) Nondiscrimination/Equal Opportunity Standards and Non-Criminal Program Complaint Procedures
- PURPOSE:** To provide Local Area minimum standards and procedures designed to ensure that all WIOA programs will be conducted in accordance with applicable equal opportunity and nondiscrimination requirements.
- BACKGROUND:** The Workforce Innovation and Opportunity Act provides the framework for a reformed national workforce preparation and employment system designed to meet the needs of the nation's employers, its job seekers and those who want to further their careers. The nondiscrimination and equal opportunity provisions of WIOA (Section 188) prohibit discrimination against applicants, beneficiaries and employees.
- ACTION:** Attachment A contains information concerning the Local Area Equal Opportunity Policy and Complaint Procedures. Service providers are required to establish and maintain policies and guidelines that incorporate these minimum standards contained in Attachment A.
- EFFECTIVE DATE:** Immediately
- EXPIRATION DATE:** Indefinite
- CONTACT:** NWDB Director
- DISTRIBUTION:** NWDB staff and WIOA service providers
- ATTACHMENTS:** Attachment A – Complaint Procedures (updated 12/30/19, 07/01/2021, 3/29/2022, 1/9/24, 4/29/2024)
Attachment B – Complaint Form
Attachment C – "Equal Opportunity Is the Law" Posters (updated 12/30/19, 07/01/2021, 3/29/2022, 1/9/24)

David Whitmer, NWDB Director

NORTHEASTERN WORKFORCE DEVELOPMENT BOARD

Complaint Procedures

Equal Opportunity/Nondiscrimination Complaints

It is against the law for this recipient of Federal financial assistance to discriminate on the following basis:

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

Any person who believes that he/she or any specific class of individuals has been or is being excluded from participation, denied benefits, subjected to discrimination or denied employment in the administration of or in connection with any WIOA funded activity or program, on the grounds of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in WIOA may file a written complaint. The complaint may be filed by the person or a representative.

The complaint may be filed either with the Local Area (LA) or with the Director of the Directorate of Civil Rights (DCR). A complaint filed based on the above grounds must be filed within 180 days of the alleged discrimination, unless extended by the Director of DCR for good cause shown. Each complainant and respondent has the right to be represented by an attorney or other individual of his or her choice.

Complaints filed at the Local Area Level

Complaints at the contractor level must first exhaust available remedies established in contractor procedures before being subject to LA review. The contractor must conduct hearings on any program complaint and a written decision rendered within 10 days of filing. If a complaint does not receive a decision at the contractor level within 10 days of the filing or receives an unsatisfactory decision, the complainant may request a review of the complaint by the LA. Such request must be filed within 5 days of receipt of the contractor decision or within 5 days of the date a decision should have been received, whichever is earlier.

Any person who elects to file a complaint with the LA (Albemarle Commission) must allow the LA 25 days (inclusive of time at the contractor level) to process the complaint and allow 35 days for the State (Division of Workforce Solutions) to receive and review the complaint, if applicable.

1. All complaints must be filed in writing, signed by complainant or authorized representative, and include the following information:
 - a. Full name, address and telephone number of the complainant (or specify another means of contact).
 - b. Full name and address of the person or agency against which the complaint is made.
 - c. A clear, concise statement of the act or acts considered to be a violation.
 - d. In regard to disability, a statement or supporting evidence that the complainant is disabled.
 - e. Other information that will help explain and resolve the complaint.

2. Complaints filed with the LA should be mailed to:

Northeastern Workforce Development Board
101 ARPDC Street
Hertford, NC 27944

Attention: Trinia Scippio, Equal Opportunity Officer

*Relay numbers for the hearing impaired: Dial 711 or 1-800-735-8262 (Voice)

3. Hearings on any complaint filed with the Local Area must be conducted and a decision issued within 10 days of filing.

Complaint hearing procedures include the following:

- a. Reasonable notice to all parties by registered or certified mail.
 - b. A statement of the date, time and place of the hearing.
 - c. A statement of the authority and jurisdiction under which the hearing is to be held.
 - d. A reference to the particular section of the Act, regulations, grant or other agreement under the Act involved.
 - e. Notice to the parties of the specific charges involved.
 - f. The right of both parties to be represented by legal counsel or other individuals of his or her choice.
 - g. The right of each party to present evidence, both written and through witnesses.
 - h. The right of each party to cross-examine.
 - i. The right of an impartial decision-maker who has not been directly involved in the events from which the complaint arose.
 - j. A written decision made strictly on the recorded evidence must be rendered within the prescribed time frame.
4. Complete records and documentation will be kept in each contested case, including minutes of testimony, data submitted findings, appeals and final decisions.
 5. Decisions will be made not later than 25 days from the filing of the complaint at the first level, i.e. contractor.

Complaints filed at the State Level

If a complainant does not receive a decision at the local level within 25 days of the filing of the complaint or receives an unsatisfactory decision, the complainant has the right to request a review of the complaint by the State (Division of Workforce Solutions). Requests for such review must be submitted to:

**Assistant Secretary
Division of Workforce Solutions
313 Chapanoke Road, Suite 120
4316 Mail Service Center
Raleigh, NC 27699-4316 Attention: Mose Dorsey**

Such requests must be filed within 5 days of receipt of the adverse decision or 5 days from the date on which the complainant should have received a decision, whichever is earlier. The Division will conduct a review of the complaint and issue a decision within 30 days from the date of receiving the review request.

Complaints Filed at the Federal Level

Should the Division provide a decision unsatisfactory to the complainant or fail to provide one, the complainant may file a complaint with the Directorate of Civil Rights of the U.S. Department of Labor. Such requests must be submitted within 30 days of the Division's decision or 90 days from the date the complaint was initially filed at the local level, whichever is earlier.

Complaints filed with the Director, Directorate of Civil Rights must be mailed to:

**Director of the Civil Rights Center (CRC)
US Department of Labor
200 Constitution Avenue, NW Room N 4123
Washington, DC 20210**

The contractor and the LA will maintain a log of complaints filed. The log will include:

1. The name and address of the complainant.
2. The ground of the complaint.
3. A description of the complaint.
4. The date the complaint was filed.
5. The disposition and date of disposition of the complaint.
6. Other pertinent information.

Records regarding complaints and actions taken will be maintained for a period not less than three years from the date of resolution of the complaint and made available to the Directorate of Civil Rights or the State upon request. Information concerning all complaints will be kept confidential.

Non-Criminal Program Complaints

The following procedures apply to non-criminal complaints about programs and activities from participants, sub grantees, subcontractors and other interested persons. This procedure also applies to complaints arising from actions taken by the Albemarle Commission with respect to investigations, audits or monitoring reports. When a grievance stems from an alleged act that also violates a federal statute other than WIOA or a state or local law, the individual or agency may, with respect to the non-WIOA cause of action, institute a civil action or pursue other remedies authorized under other federal, state or local law against the LA or its contractor without first exhausting the remedies under WIOA. Except for complaints alleging fraud or criminal activity, complaints must be made within one year of the alleged occurrence.

Complaints at each level must be filed in writing, signed by the complainant or authorized representative, and include the following information.

All complaints must be filed in writing, signed by the complainant or authorized representative, and include the following information:

- a. The full name, address, and telephone number of the complainant;
 - b. The full name and address of the person against whom the complaint is made, if applicable;
 - c. A clear and concise statement of the acts considered to be a violation;
 - d. The provisions of WIOA, regulations, grant or other agreement under WIOA believed to have been violated; and
 - e. Other information that will help to explain and resolve the complaint.
1. Grievances arising at the local level must first exhaust review at the local level. A hearing must be held and a decision made at this level within 25 days of the filing of the complaint. If the decision is unsatisfactory to the complainant or a decision is not rendered at the contractor level within 25 days, a request for a review of the complaint may then be filed with the LA. The request must be filed with the LA within 5 days of receipt of a decision from the contractor or within 5 days of when a decision should have been rendered. The LA will review the request and issue a decision within 30 days. Requests for review at the LA level should be submitted to:

Northeastern Workforce Development Board

Trina Scippio, Equal Opportunity Officer

101 ARPDC Street

Hertford, NC 27944

Phone: (252) 404-7083

Fax: (252) 426-5435

Relay numbers for the hearing impaired: Dial 711 or 1-800-735-8262
(Voice)

2. The following provisions will apply to any hearings at the contractor and LA level.
- a) Reasonable notice to all parties by registered or certified mail.
 - b) A statement of the date, time and place of hearing.
 - c) A statement of the authority and jurisdiction under which the hearing is to be held.
 - d) A reference to the particular section of the Act, regulations, grant or other agreements under the Act involved.
 - e) Notice to the parties of the specific charges involved.
 - f) The right of both parties to be represented by legal counsel.
 - g) The right of each party to present evidence, both written and through witnesses.
 - h) The right of each party to cross-examine.
 - i) The right of an impartial decision-maker who has not been directly involved in the events from which the complaint arose.
 - j) Complete records and documentation will be kept in each contested case, including minutes of testimony, data submitted findings, appeals and final decisions.
3. If a complainant receives an unsatisfactory decision or does not receive a decision within 60 days of the filing of the complaint (the 60 days includes review at the contractor level and LA level), the complainant has the right to request a review of the complaint by the Division of Workforce Solutions. Requests for such review should be submitted to:

N.C. Division of Workforce Solutions
313 Chapanoke Road, Suite 120
4316 Mail Service Center
Raleigh, North Carolina 27699-4316
ATTENTION: Director of Field Operations

Such requests must be filed within 10 days of receipt of the adverse decision or 15 days from the date on which the complainant should have received a decision, whichever is earlier. The Division of Workforce Solutions will conduct a review of the complaint and issue a decision within 30 days from the date of receiving the review request.

With the exception of complaints alleging violations of the labor standards, the Division of Workforce Solutions decision is final unless the Director of the U.S. Department of Labor (USDOL) Civil Rights Center exercises the authority for Federal-level review in accordance with federal law.

4. Should the Division of Workforce Solutions fail to provide a decision as required, the complainant may request from the Secretary of Labor a determination as to whether reasonable cause exists to believe the Act or its regulations have been violated. The request for determination must be submitted in writing within 15 days of the date the Division of Workforce Solution's decision should have been issued. The complaint must contain the following:
 - a. The full name address and telephone number of the complainant.
 - b. The full name and address of the person against whom the complaint is made, if applicable.
 - c. A clear and concise statement of the acts considered to be a violation including the date filed with the Division of Workforce Solutions and the date on which the decision should have been issued and an attestation that no decision was issued.
 - d. The provisions of the Act, regulations, grant or other agreement under the Act believed to have been violated.
 - e. Other information that will help explain and resolve the complaint such as information concerning remedies and sanctions sought outside the Act.

The Director of the USDOL Civil Rights Center must act within 120 days of receipt of a request and, where appropriate, direct the Division of Workforce Solutions to take further action pursuant to State and local procedures. The Division of Workforce Solutions has 60 days to comply.

5. The LA and its contractors will ensure that employers, including private-for-profit employers of participants under the Act, have a grievance procedure relating to the terms and conditions of employment available to WIOA participants. Employers may operate their own grievance system or may utilize the LA grievance system. Employers will inform participants of the grievance procedures they are to follow when the participant begins employment.

An employer grievance system will provide for, upon request by the complainant, a

review of an employer's decision by the LA and the Division of Workforce Solutions, if necessary.

Participant's Signature

Date

WIOA Staff Signature

Date

Northeastern Workforce Development Board is an Equal Opportunity Employer/Program. Auxiliary aids and services are available upon request to individuals with disabilities.

NORTHEASTERN WORKFORCE DEVELOPMENT/EO COMPLAINT FORM

Auxiliary aids available upon request to individuals with disabilities.
Relay numbers for the hearing impaired: 1-800-735-2962 (TTY) and 1-800-735-8262 (Voice)

1. COMPLAINANT INFORMATION

Name

Street Address

City

State

Zip Code

Telephone number(s) where we can reach you

E-mail Address

2. RESPONDENT INFORMATION- Provide name and address of agency/employer involved.

Name of Agency, Organization, or Business

Street or Mailing Address

Telephone Number(s)

E-mail Address

3. What is the most convenient time and place for us to contact you about this complaint?

4. What date(s) did the incident take place?

Date of First Occurrence

Date of Most Recent Occurrence

5. In what area did you experience a problem? (Check one)

- Your job or seeking employment?
- Your use of facilities (Career Center) or someone (staff) who provided you with services or benefits? (This pertains to all Career Center customers, including job/training seekers and employers.)

If so, which of the following are involved? (Check all that apply)

- | | | | |
|---------------------------------------|--|--|--|
| <input type="checkbox"/> Hiring | <input type="checkbox"/> Harassment | <input type="checkbox"/> Performance Appraisal | <input type="checkbox"/> Qualification/ Testing |
| <input type="checkbox"/> Wage Related | <input type="checkbox"/> Health/Safety | <input type="checkbox"/> Grievance Procedure | <input type="checkbox"/> Discipline/Reprimand |
| <input type="checkbox"/> Benefits | <input type="checkbox"/> Transfer | <input type="checkbox"/> Layoff / Furlough | <input type="checkbox"/> Access/Accommodation |
| <input type="checkbox"/> Enrollment | <input type="checkbox"/> Promotion | <input type="checkbox"/> Intimidation/Reprisal | <input type="checkbox"/> Disability Discrimination |
| <input type="checkbox"/> Seniority | <input type="checkbox"/> Pesticides | <input type="checkbox"/> Working Conditions | <input type="checkbox"/> Discriminatory Practices |
| <input type="checkbox"/> Training | <input type="checkbox"/> Child Labor | <input type="checkbox"/> Job Classification | <input type="checkbox"/> Discharge/Termination |
| <input type="checkbox"/> Referral | <input type="checkbox"/> Application | <input type="checkbox"/> Housing/Job Related | <input type="checkbox"/> Other |

6. What do you think was the basis (reason) for the alleged discrimination? Please check the boxes next to all the bases (reasons) you think were involved in the discrimination, and answer any other questions that go along with that box.

Because of my National Origin
Are you Hispanic or Latino? Yes No
What is your national origin (the county from which you, your parents, your grandparents, or your earlier ancestors came)? _____

Because of my Limited English Proficiency
What is the language in which you feel most comfortable communicating? _____

Because of my Race
What is your race? Please check all that apply.
 White or Caucasian Native Hawaiian or Other Pacific Islander
 Black or African American Asian
 American Indian or Alaska Native

Because of my Sex (What is your sex? _____)

Because of my Pregnancy

Because of my Sexual Orientation (What is your sexual orientation? _____)

Because of my Gender Identity (What is your gender identity? _____)

Because of my Color (What is your color? _____)

Because of my Religion (What is your religion? _____)

Because of my Age (What is your date of birth? _____)

Because of my Political Affiliation/Political Belief
What is your political affiliation/political belief? _____

Because of my Disability (Please check one of the following boxes.)
 I have a disability (which may be active or inactive right now).
(What is your disability? _____)
 I have a record of a disability.
(What was your past disability? _____)
 I do not have a disability, but the organization or program treats me as if I am disabled.

Because of my Citizenship (What is your citizenship? _____)

Because of my participation in a program that receives Federal financial assistance
(Name of program: _____)

I was Retaliated Against (Retaliation) because I complained about discrimination, or because I gave a statement or was involved in some other way with someone else's discrimination complaint.

7. Briefly describe as clearly as possible your area of concern. Identify who was involved. If you believe you were discriminated against, please state how you were treated differently from others. Also attach any written material pertaining to your case.

What remedy do you seek by filing this complaint?

ATTACH ADDITIONAL PAGES AS NEEDED

FOR DISCRIMINATION ONLY- COMPLETE ITEMS 8 THROUGH 13

8. Why do you believe these events occurred?

9. What other information do you think is relevant to this complaint?

10. Please list below any persons (witnesses, fellow employees, supervisors, or others) that we may contact for additional information to support or clarify your complaint:

Name

Address

Telephone Number

11. Do you have an attorney or other representative for this complaint? Yes No
If yes, please provide name, address and phone number

12. For this incident, have you filed a case or complaint with any of the following?

- Civil Rights Division, U.S. Department of Justice
- U.S. Equal Employment Opportunity Commission
- Civil Rights Center, USDOL
- Federal or State Court
- Other _____

13. For each agency checked in #12above, please provide the following information:

Agency _____ Date Filed _____
Case or Docket No. _____
Date of Trial or Hearing _____
Location of Agency or Court _____
Name of Investigator _____
Status of Case _____
Comments _____

Agency _____ Date Filed _____
Case or Docket No. _____
Date of Trial or Hearing _____
Location of Agency or Court _____
Name of Investigator _____
Status of Case _____
Comments _____

I certify that the information furnished above is true and accurately stated to the best of my knowledge. I authorize the disclosure of this information to other enforcement agencies for the proper investigation of my complaint. I understand that my identity will be kept confidential to the maximum extent possible, consistent with applicable laws and a fair determination of my complaint.

Signature

_____ Date

Signature of Parent or Legal Guardian for a minor child

_____ Date

**MAIL FORM TO:
EO Officer, Albemarle Commission, 101 ARPDC Street, Hertford, NC 27944**

EQUAL OPPORTUNITY



IS THE LAW

It is against the law for this recipient of Federal financial assistance to discriminate on the following bases:

- Against any individual in the United States, on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief; or
- Against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I-financially assisted program or activity.

The recipient must not discriminate in any of the following areas:

- Deciding who will be admitted, or have access, to any WIOA Title I-financially assisted program or activity;
- Providing opportunities in, or treating any person with regard to, such a program or activity; or
- Making employment decisions in the administration of, or in connection with, such a program or activity.

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

WHAT TO DO IF YOU BELIEVE YOU HAVE EXPERIENCED DISCRIMINATION

If you think that you have been subjected to discrimination under a WIOA Title I-financially assisted program or activity, you may file a complaint within 180 days from the date of the alleged violation with either:

- The recipient's Equal Opportunity Officer (or the person whom the recipient has designated for this purpose); or
- Director, Civil Rights Center (CRC), U.S. Department of Labor, 200 Constitution Avenue NW., Room N-4123, Washington, DC 20210 or electronically as directed on the CRC Web site at www.dol.gov/crc.

If you file your complaint with the recipient, you must wait either until the recipient issues a written Notice of Final Action, or until 90 days have passed (whichever is sooner), before filing with the Civil Rights Center (see address above).

If the recipient does not give you a written Notice of Final Action within 90 days of the day on which you filed your complaint, you may file a complaint with CRC before receiving that Notice. However, you must file your CRC complaint within 30 days of the 90-day deadline (in other words, within 120 days after the day on which you filed your complaint with the recipient).

FOR INFORMATION OR TO FILE A COMPLAINT, CONTACT:

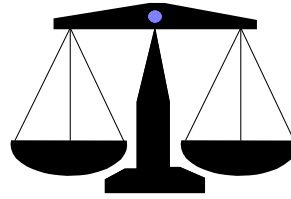
Trina Scippio, Northeastern Workforce Development Board, Equal Opportunity Officer
101 ARPDC Street, Hertford, NC 27944
Telephone: 252.404.7083 Fax: 252.426.5435
Relay numbers for the hearing impaired: Dial 711 or 1-800-735-8262 (Voice)

FOR MORE INFORMATION, CONTACT:

Mose Dorsey, Workforce Act Equal Opportunity Officer
Division of Workforce Solutions
313 Chapanoke Road, Suite 210, 4316 Mail Service Center, Raleigh, North Carolina 27699-4316
Telephone: (919) 814-0419; 1-800-735-2962 (TTY) 1-800-735-8200 (Voice)

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

IGUALDAD DE OPORTUNIDAD



ES LA LEY

La ley prohíbe que este beneficiario de asistencia financiera federal discrimine por los siguientes motivos:

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

El beneficiario no deberá discriminar en los siguientes áreas:

- decidiendo quién será permitido participar, o tendrá acceso a cualquier programa o actividad que recibe apoyo financiero bajo el Título I de WIOA;
- proporcionando oportunidades en, o tratar a cualquier persona con respecto a un programa o
- actividad semejante; o tomar decisiones de empleo en la administración de, o en conexión a un programa o actividad semejante.

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

¿QUE HACER SI USTED CREE QUE HA EXPERIMENTADO DISCRIMINACIÓN?

Si usted piensa que ha sido discriminado en un programa o actividad que recibe apoyo financiero bajo el Título I de WIOA, usted puede presentar una queja no más de 180 días después de la fecha en que ocurrió la presunta violación, ya sea con:

- El oficial de igualdad de oportunidad del recipiente (o la persona que el recipiente haya designado para este propósito);
- Director, Civil Rights Center (CRC), U.S. Department of Labor, 200 Constitution Avenue NW, Room N-4123, Washington, DC 20210 o electrónicamente como indica el sitio web del CRC www.dol.gov/crc.

Si usted presenta una queja con el recipiente, usted debe esperar hasta que el recipiente emita una decisión final escrita o que pasen por lo menos 90 días (lo que ocurra primero), antes de presentar una queja con el Centro de Derechos Civiles (CRC, por sus siglas en inglés) a la dirección mencionada previamente.

Si el beneficiario no le entrega una decisión final escrita dentro de 90 días después de la fecha en que presento su queja, usted puede presentar su queja con el CRC antes que reciba la decisión final. Sin embargo, es necesario presentar su queja con el CRC dentro de 30 días después de la fecha límite de 90 días (en otras palabras, dentro de 120 días después de la fecha en que presento la queja con el recipiente).

Si el recipiente emite una decisión final escrita, pero usted no está satisfecho con el resultado o resolución, usted puede presentar una queja con el CRC. Usted debe presentar su queja con el CRC dentro de 30 días después que reciba la decisión final escrita.

PARA INFORMACIÓN O PARA REGISTRAR UNA QUERRELA, COMUNIQUESE CON:

Trina Scippio, Northeastern Workforce Development Board, Equal Opportunity Officer
512 South Church Street, Hertford, NC 27944
Telephone: 252.404.7083 Fax: 252.426.5435
Relay numbers for the hearing impaired: Dial 711 or 1-800-735-8262 (Voice)

PARA MÁS INFORMACIÓN, LLAME A:

Mose Dorsey, Workforce Act Equal Opportunity Officer
Division of Workforce Solutions
313 Chapanoke Road, Suite 210, 4316 Mail Service Center
Raleigh, North Carolina 27699-4316
Telephone: (919) 814-0419; 1-800-735-2962 (TTY) 1-800-735-8200 (Voice)

Ayudantes auxiliares y servicios están disponibles para individuos con incapacidades si así lo requieren.
Programa de oportunidades de igualdad de empleo

**PY 2024 WIOA Northeastern WDB
Adult/Dislocated Worker Service Provider List**

WIOA Adult/Dislocated Worker Service Provider (Organization Name, Address and Phone Number)	Contact Person (Name, Title and Email Address)	County/Counties Served and where services are provided* (One-Stop, Office, and/or Both)	Type of Organization (State Agency, For-profit, Non-profit, other-specify)	Type of Contract, RFP Release Date/Year Procured/Contract extended (Y/N) (Cost Reimbursement, Fixed Price, Performance Based, Hybrid, other-specify)
TDB (RFP Conducted, Failed Procurement, waiting on response to Waiver request)	TBD	TDB	TDB	TDB
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

Notes:

- Complete all columns.

*Specify where youth services are provided: at the One-Stop Centers, the Office location provided, and/or combination. Be specific.

**PY 2024 WIOA Northeastern WDB
Youth Service Provider List**

WIOA Youth Service Provider (Organization Name, Address)	Contact Person (Name, Title, Email Address, and Contact number)	County/Countries Served and where services are provided** (One-Stop, Office, Both)	Type of Organization (State Agency, For-profit, Non-profit, other-specify)	Type of Contract/RFP Release Date/Year Procured/Contract extended (Y/N) (Cost Reimbursement, Fixed Price, Performance Based, Hybrid, other-specify)
TBD-RFP in Process	TBD	TBD	TBD	TBD

Notes:

- Complete all columns.
- Be specific to state where Youth Services are provided: at the One-Stop Centers, the Office location provided, or combination.
- Type of Contract: Cost Reimbursement, Fixed Price, Performance Based, Hybrid, Other- Be specific.
- RFP Release Date/Year Procured/Contract Extended. **Example:** RFP Released: January 4, 2022/Procured: April 2022; Extended July 2023 and July 2024.



Northeastern Workforce Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

July 1, 2015

NWDB Issuance No. 2015-11

SUBJECT: Incentives Policy for the WIOA NextGen Program

PURPOSE: To distribute the Northeastern Workforce Development Board's policy and guidelines for Incentives for NextGen Youth Participants.

BACKGROUND: The Workforce Innovation and Opportunity Act (WIOA) allows for young adults engaged in a WIOA youth funded program to be awarded non-cash incentives for recognition and achievement in WIOA related activities. This policy is designed to reward WIOA NextGen participants for academic achievement and participation in WIOA NextGen program activities. The awarding of incentives is a means to encourage attainment of individual goals that leads to the completion of a secondary school diploma or its equivalent, an occupational skills credential, a measurable skills gain, or other programmatic outcomes.

ACTION: The NWDB staff and Service Providers are required to adhere to all policies and guidelines set forth in Attachment A when providing NextGen incentives.

EFFECTIVE DATE: July 1, 2015 *(Revised July 7, 2023)*

EXPIRATION DATE: Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NWDB staff and WIOA service providers

ATTACHMENT: Attachment A – NextGen Program Incentive Policy *(Revised July 7, 2023)*
Attachment B – NextGen Incentive Award Request Form *(Revised July 7, 2023)*

David Whitmer, NWDB Director

Title	Updated NextGen Incentive Policy Cover Page
File name	Issuance #11 Next...cy Cover Page.pdf
Document ID	8d16be7c800e3cda6047bca2244472c7918449d8
Audit trail date format	MM / DD / YYYY
Status	● Signed

Document History



SENT

07 / 07 / 2023

09:35:23 UTC-4

Sent for signature to David Whitmer (dwhitmer@accog.org)
 from rclipston@accog.org
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SIGNED

07 / 07 / 2023

09:36:26 UTC-4

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COMPLETED

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The document has been completed.

PY 2024 WIOA Youth Program Elements Chart

Insert WDB Name here: Northeastern.

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

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

Please denote whether the required WIOA Program Element will be WIOA funded by the Local Area WDB, provided by referral, or both. Specify the provider(s) in the referral section.

WIOA Youth Program Elements	WIOA Funded (Specify Provider)	Referral By Agreement (Specify Providers)
1. Tutoring, study skills training, instruction, and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential.	In-house (NWDB Staff), Sylvan	Public School System; College of The Albemarle; Beaufort Community College; Martin Community College; Pitt Community College
2. Alternative secondary school services, or dropout recovery services, as appropriate.	In-house (NWDB Staff)	College of The Albemarle; Beaufort Community College; YouthBuild
3. Paid and unpaid work experiences that have as a component academic and occupational education, which may include (i) summer employment opportunities and other employment opportunities available throughout the school year; (ii) pre-apprenticeship programs; (iii) internships and job shadowing; and (iv) on-the-job training opportunities.	In-house (NWDB Staff)	Local businesses host work- based learning opportunities
4. Occupational skill training, which shall include priority consideration for training programs that lead to	College of The Albemarle; Beaufort County Community College; Martin Community	Referrals are made to College of The Albemarle; Beaufort County Community

PY 2024 WIOA Youth Program Elements Chart

Insert WDB Name here: Northeastern.

WIOA Youth Program Elements	WIOA Funded (Specify Provider)	Referral By Agreement (Specify Providers)
recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the Local Area involved.	College; Pitt Community College, MedCerts	College; Martin Community College, and Pitt Community College as appropriate. Training is often WIOA funded based on the needs of the participant, but sometimes sufficient financial aid is available through other means and WIOA funding is not needed for the cost of the training.
5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.	In-house (NWDB Staff)	College of The Albemarle; Beaufort County Community College; Martin Community College; Pitt Community College; Local businesses
6. Leadership development opportunities, which may include community services and peer-centered activities encouraging responsibility and other positive social and civic behaviors, as appropriate.	In-house (NWDB Staff)	Click here to enter text.
7. Supportive Services.	In-house (NWDB Staff)	Community-based partners provide childcare, transportation, & other services. Referrals made to College of the Albemarle, Beaufort Community College, Albemarle Alliance for Children and Families, ICPTA and other community-based organizations that sometimes have funding for supportive services prior to using WIOA funding for things like childcare.

PY 2024 WIOA Youth Program Elements Chart

Insert WDB Name here: Northeastern.

WIOA Youth Program Elements	WIOA Funded (Specify Provider)	Referral By Agreement (Specify Providers)
8. Adult mentoring for the period of participation and a subsequent period, for a total of not less than 12 months.	In-house (NWDB Staff)	Click here to enter text.
9. Follow-up services for not less than 12 months after the completion of participation, as appropriate.	In-house (NWDB Staff)	Click here to enter text.
10. Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, as appropriate.	In-house (NWDB Staff)	DSS, Trillium
11. Financial literacy education.	In-house (NWDB Staff)	Click here to enter text.
12. Entrepreneurial skills training.	In-house (NWDB Staff)	Local Community Colleges
13. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the Local Area WDB, such as career awareness, career counseling and career exploration services.	In-house (NWDB Staff)	Click here to enter text.
14. Activities that help youth prepare for and transition to postsecondary education and training.	In-house (NWDB Staff)	Click here to enter text.

NextGen Committee Membership Listing

Northeastern Workforce Development Board

Indicate the authorized maximum number of Youth Committee members [15] as of July 2015 per NWDB

Member's Name and Title	Employer/Agency (if applicable) Address, Telephone Number	Employer, Agency or Sector Represented Examples: Service Agencies, Public Housing Authority, Parent of Eligible Youth, Job Corps	WDB Member	Appointment Date	County
Dr. Kimberly Gregory Director NextGen Committee Chair	College and Career Readiness College of the Albemarle Elizabeth City, NC 27909 252-335-0821, ext. 2259 kimberly_gregory73@albemarle.edu	Educator/WIOA Title II/youth with disabilities	Yes	Aug 20, 2020	Pasquotank
Keyoshia Liverman Owner/Operator	K's Virutal Hands LLC www.ksvirtualhands.com 781 Jones White Road Roper, NC 27970 252-505-1963 Keyoshiacombs32@gmail.com	Entrepreneur/Business Owner	No	May 2019	Washington
Frankie Manning Branch Manager	Woodforest Bank 101 Tanglewood Pkwy S. Elizabeth City, NC 27909 252-335-0074/252-435-9300 (c) fmahaffey@woodforest.com	Banking Industry	No	Sep 6, 2017	Pasquotank
Lisa Brown Managing Broker/Owner	Inner Banks Real Estate Group, Inc. 260 Hwy. 158, E Camden, NC 27921 757-619-8064 info@ibxreg.com	Entrepreneur/Business Owner	Yes	June 6, 2021	Camden
Alvan Overton Restaurant Owner	Bout Thyme Kitchen 109 N Church St, Hertford, NC 27944 252-404-2550 Overton06@gmail.com	Entrepreneur/Business Owner	Yes	June 6, 2021	Perquimans



Northeastern Workforce Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

July 1, 2015 (Updated 2/15/2022)

NWDB Issuance No. 2015-18A RECINDS No. 2015-18

SUBJECT: Workforce Development Procurement Policy

PURPOSE: To establish a local policy on procurement

BACKGROUND: N/A

ACTION: Implementation of the Procurement Policy

EFFECTIVE DATE: 2/15/2022

EXPIRATION DATE: Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NWDB staff and WIOA service providers

ATTACHMENT:

A-Procurement and Contracting Policy

B-Program Cost Analysis Guide

C-Determination of Reasonableness of Profit

David Whitmer, NWDB Director

NORTHEASTERN WORKFORCE DEVELOPMENT BOARD PROCUREMENT AND CONTRACTING

Procurement and contracting is the primary management system for ensuring accountability in the proper use of grant funds and integrity regarding the legitimacy of results being accomplished in terms of both program objectives and cost effectiveness.

The nature of employment and training programs requires that flexibility be allowed to effectively respond to circumstances that will vary widely among local workforce board services areas and among the target populations to be served. Procurement and contracting is a major management tool for ensuring that appropriate flexibility does not result in unnecessary or inappropriate relaxation in the administration of funds for program activities.

This document defines the requirements and minimum standards for the policies and procedures which must be in place regarding the solicitation and acquisition of goods and services from outside and internal sources. The requirements are based on the procurement and sub-grant management principles defined in US Office of Management and Budget (OMB) Uniform Guidance 2 CFR 200 and the Workforce Innovation & Opportunity Act (WIOA) and other applicable State and Federal regulations.

Procurement

Accountability and integrity issues revolve around the procurement of goods and services. The public is interested in assuring that procurements are achieved in an environment that is free of undue influence and gives the taxpayer the best buy for their tax dollars. To ensure that these objectives are met, a heavy emphasis is placed on the integrity of the procurement process. This section addresses the major components of the process which are:

- determining what goods and services are necessary to carry out program objectives.
- determining which procurement method will be utilized to obtain those goods and/or services.
- clearly defining the goods and/or services desired.
- defining criteria and minimum qualifications for evaluating and selecting providers to provide the goods and services and,
- ensuring full and open competition to get the best services/goods and costs based on established criteria.

Procurement systems must be consistent with the principles described in this section.

A. General Requirements

The grant subrecipient must have written procurement policies and procedures consistent with the requirements described in this section which are also consistent with applicable state and local laws and regulations.

Responsible Contractors. The subrecipient shall make awards only to responsible entities possessing the ability to perform successfully under the terms and conditions of a proposed procurement at a reasonable cost.

Code of Conduct. The grant subrecipient must maintain a written code of conduct governing the performance of their employees, officers and agents involved in the award and the administration of contracts.

Arm's Length Negotiations. All negotiations of a contract for or with potential contractors/service providers must be arm's length negotiations. The definition of an arm's length negotiation is an agreement made by two parties freely and independently of each other, and without special relationship, such as being a relative, having another deal on the side or one party having complete control of the other. It becomes important to determine if an agreement was freely entered into to show that the price, requirements, and other conditions were fair and real.

Restricting Competition. The grant subrecipient must prohibit noncompetitive pricing practices between firms, organizations or affiliated companies or organizations.

Consideration to Small, Minority and Women's (SMW) Businesses and Labor Surplus Suppliers. The WDB must provide an opportunity to SMW business organizations and labor surplus suppliers to participate in its procurement process.

Occupational Skills Training. The grant subrecipient must identify occupations for which there is a demand for training.

Bidders' List. The grant subrecipient must ensure that a list of persons, firms, or other organizations which are used in acquiring goods and services are current and include sufficient numbers of qualified sources to ensure maximum open and free competition.

Avoidance of Unnecessary or Duplicative Purchases. Procedures must provide for a review of proposed procurements to avoid purchase of unnecessary or duplicative items and to facilitate the acquisition of goods/services in the most economical manner.

Adequate Administrative and Support Funds. The grant subrecipient must ensure that subrecipient contracts include adequate funds necessary for administration and supportive services. The level of administrative funding to be covered by the agreement should be determined through negotiations. If administrative funds are to be donated, the agreement must so stipulate.

Maintenance of Records. The grant subrecipient shall maintain records sufficient to detail the significant history of procurement. These records shall, at a minimum, include the following: rationale for method of procurement, selection of contract type, contractor selection or rejection, the basis for the contract price, and the contract development process.

B. Competitive Procurement Options:

Competitive procurement is the strongly preferred method for procuring goods and services. This section describes the various competitive methods to be considered and the requirements for each method.

1. Micro-Purchase Option – Threshold: \$0 - \$2,500. An acquisition of products or services where the aggregate amount does not exceed \$2,500. An exception to the formal procurement method is the case of purchases less than or equal to \$2,500 (i.e., micro purchases) or other lower threshold set by subrecipients as they deem appropriate for purchases in their policies.

Purchases below that threshold may be made without soliciting competitive price or rate quotations if the price is considered to be reasonable. A reasonable price may be by comparing to a previous purchase, personal knowledge of the item being purchased, or by comparing to similar items being purchased. Records shall need to be kept for all purchases regardless of the procurement method used, including micro-purchases. Also, to the extent practicable, micro-purchases must be distributed equitably among qualified suppliers.

2. Small Purchase Option \$2,501 - \$5,000. A simple and informal competitive process for securing services, supplies, and other property that do not cost more than \$5,000 in the aggregate on an annual basis is allowable. For purposes of economy, responsiveness to needs, and administrative efficiency, the WDB may consolidate procurements for similar needs (e.g., yearly requirements for office consumables or instructional materials), or break out project requirements into more than one procurement (e.g., separating computer hardware, and software) in order to procure the best and most effective items in each category. This option may **not** be used to purchase training services.

The WDB must not break out purchase requirements for the sole purpose of staying under the aggregate limit of \$5,000 or the administrative entity's limit, if lower. The following requirements must be met and documented:

- Price Quotes. A minimum of three price quotes is required, which are supported by documentation consisting of product or service catalogues, current price lists, or telephone quotes substantiated by a written record of the price and source providing the quote, which is signed and dated by the staff person who obtained the quotes.
 - Basis for Selection. For most commodity goods/services, the basis for selection would be the lowest price. If the basis is something other than price, the criteria for selection must be documented (e.g., the need and benefit of the purchase and the relative advantage of the offering from the provider selected).
 - Formal Document. A purchase order, letter of agreement, email, or contract must be issued. Unless required by local procedures, a bilateral contract is not required. Purchase orders, vouchers, bills, sales slips, or similar records can provide documentation. **NOTE:** For the purchase of consumable materials under \$5,000 per transaction, non-competitive procurement is an option (see Section C, Non-Competitive Procurement Options).
3. Aggregate Purchase. A purchase of multiple items of the same product. The aggregate purchase costing **\$5,000** and over, **must** have review and written approval by the DWS before the purchase is completed. The filing is to be submitted to the assigned DWS Financial Monitor via email to DWS_FinanceMonitors@ncommerce.com a minimum of ten (10) business days prior to purchase. During the onsite monitoring, the DWS Financial Monitor will review the purchase documentation against the filing submitted to DWS.

4. Request for Proposal (RFP) Method. An RFP is commonly used in procuring training or services for participants when potentially more than one entity would be submitting offers and program specifications are too broad to compare responses solely on the basis of cost. The solicitation must clearly specify deliverables and the basis for payment and incorporate a clear and accurate description of the technical requirements for the material, product, or services being procured (including quantities).

Contents of Request for Proposal. To ensure resulting proposals include the information needed to make sound award decisions, it is required that the RFP include the following elements, as appropriate to the services being solicited.

- Name and address of the WDB's administrative entity.
- Name, address, and phone number of person(s) to contact regarding the solicitation.
- General description of the sub-grant program, including identification of the applicable federal and state laws and regulations with which the selected contractor must comply. [NOTE: At a minimum, the WDB should reference the Workforce Innovation and Opportunity Act; the 2 CFR Part 200 Uniform Guidance, USDOL Regulations; and any appropriate NC Commission policy statement(s) or NC Division on Workforce Solutions operational guidance(s).]
- The population to be served and minimum levels of services to specific target groups.
- An estimate of the number/range of individuals to be served and expected results in each activity.
- Applicable coordination requirements.
- Funding parameters by activity must include a reasonable amount. An RFP with no funding or nominal funding will restrict competition and would violate the prohibition on non-competitive pricing practices under 2 CFR 200.319(a) and 29 CFR 97.36(c)(1)(iii).
- A description of the training and/or services to be provided.
- The period of performance.
- Applicable monitoring and reporting requirements, including, but not limited to, data entry, performance, and financial reporting.
- Other services or requirements (e.g., responsibility for eligibility determination, subrecipient policy on support payments, audit requirements and work statement requirements) that will affect proper budgeting by the offeror.
- Prohibition against subcontracting without subrecipient approval.
- Line item budget of proposed costs, including any profit to be realized and/or funds to be contributed.
- Documentation to be supplied by the offeror to establish its programmatic and financial capability to perform the work.
- Requirements for preparation and submission of the proposal, due date and time, content and format, number of copies, and location/person where the bid should be submitted.
- Process and procedures by which proposals will be evaluated for competitiveness, including identification of specific criteria which will be used.

- Description of the procedures for responding to bidder inquiries and a schedule for the receipt of proposals including approximate dates for review and award.
- Grievance procedures for contesting the procurement process.
- Affirmative action assurance that the offeror will comply fully with the nondiscrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act, the Non-traditional Employment for Women Act of 1991; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; the Age Discrimination Act of 1975, as amended; Title IX of the Education Amendments of 1972, as amended; and with all applicable requirements imposed by or pursuant to regulations implementing those laws, including but not limited to 29 CFR Part 34. The United States has the right to seek judicial enforcement of this assurance.

The WDB may choose to include other background and reference information in the solicitation. In organizing the solicitation package, the WDB should clearly distinguish information which is general background from that which is directly applicable to preparing and submitting a competitive proposal.

Publication Requirements and Clarifying Information. The WDB must provide adequate public notice of the solicitation prior to the date established for submission. Such notice must include written notification to all organizations on the current, applicable bidders' list and written publication in newspaper(s) of general (i.e., the WDB's service area) circulation or posting to an accessible website.

To provide the opportunity for a maximum number of qualified organizations to prepare bids, it is strongly recommended that the WDB issue the public notice a minimum of 30 days prior to the submission date for proposals.

If the WDB accepts inquiries, the solicitation should describe the process for receiving/responding to the inquiries. Any comments provided in response to inquiries must be provided to all recipients of the RFP.

Amendments to Solicitations. If a determination is made to amend (expand or restrict) the solicitation, distribution of this information to each person or organization who received an RFP is required.

Evaluating for Competitiveness/Demonstrated Performance. Criteria must be established for evaluating competitiveness and demonstrated performance. At a minimum, the procedures must include: (1) provisions for ensuring independence of ratings by those involved in the evaluation process; and (2) provisions for the use of weighted criteria and a standard evaluation worksheet. In establishing the scoring methodology to evaluate competitiveness, awarding additional points for specific organizations including minority enterprises, women-owned businesses, Community Based Organizations (CBOs), or publicly-funded educational institutions may only be given to the extent the WDB's

agency-wide policy allows such additional points in procurements for funding sources other than the Workforce Innovation and Opportunity Act (WIOA).

Selection and Award Procedures. The WDB must establish and follow procedures by which proposal evaluation results are prepared, reviewed by the WDB, and the extent to which the staff is authorized to award and negotiate resulting contracts.

This process and specific WDB authority must be reflected in the WDB bylaws, the oversight section of the local Workforce Board Area plan, and/or in the WDB's procurement procedures.

Use of Contingency Lists. If the subrecipient chooses to use a contingency list for proposals which were not selected for immediate award, but to whom contracts may be awarded if additional funds become available, the list must:

- include only proposals that have an evaluation score which meets or exceeds the minimum level defined for competitiveness.
- be developed, maintained and used in accordance with established procedures regarding the priority order for using bidders on the list.

5. Intention to Bid. This competitive method maintains the integrity of a competitive procurement process by identifying, through public notice, potential bidders to determine the feasibility of procurement.

Criteria for Use. This procedure is appropriate when there is a high level of uncertainty regarding the number of bids which will be received and whether there will be a sufficient number of bids to justify the development of a solicitation.

Procedural Requirements. To use this method, the WDB must complete the steps described below.

- a. Develop a set of preliminary training/service specifications for which the WDB intends to request bids. The specifications must include the following parameters:
 - Date the proposed solicitation will be issued
 - Specific type of training/services to be performed
 - Estimated number of participants and/or available funds or ranges, if preferred
 - Expected period of performance
 - Geographic area to be served
 - Specific target groups to be served, if applicable
 - Type of contract to be awarded
 - Expected performance
- b. Issue a public notification in the same manner as that used for the issuances of RFPs. In addition, issue letters or email notifications to all applicable organizations on the

bidders' list, requesting an indication of whether the organization intends to bid on specific training/services which are described in the letter, consistent with the specifications developed in the preceding step. The letter must indicate the date by which a response is to be received.

- c. If the intention to bid process is used and no interest is received, noncompetitive sole source procurement may be used. When one intention to bid response is received, every effort must be made to negotiate desired training/services with that provider. However, if acceptable training/services cannot be negotiated, the WDB may use a sole source justification to obtain the training/service. A complete history of this process must be documented in the procurement file.

NOTE: In the intention to bid process, a second public notice does not have to be completed if the RFP is being distributed in conjunction with an intention to bid process. In this case, the RFP must be distributed to the providers responding to the intention to bid, as well as to any party requesting it.

Limitations. Sole source procurement may not be used if more than one organization indicated its intent to bid. In this case, a solicitation for the training/services advertised must be developed and transmitted to all who responded to the intention to bid.

6. Request for Quotation/Invitation for Bid (Formal Advertising for Sealed Bids.) Under this method, bids are publicly solicited, and a contract is awarded to the responsible offeror whose bid, conforming to all material terms and conditions of the solicitation, is the lowest in price. The lowest bid should be calculated with factors such as discounts, transportation, and life cycle costs. A fixed-price contract is the preferred method to be used.

PROCUREMENT BY SEALED BIDS MAY NOT BE USED WHEN SECURING PROGRAM OR ACTIVITY TYPE SERVICES.

According to 29 CFR 95.48 and 29 CFR 97.36, all procurement contracts and other transactions between Local Area WDBs and units of state or local government must be conducted only on a cost reimbursement basis. There is no provision for profit allowed. (WIOA Section 184(a)(3)(B))

Criteria for Use. This method is appropriate and effective when the WDB is capable of specifying and describing the desired goods or services to be provided at a high level of precision and completeness. The best examples are commodity-type goods/services which are widely available in the marketplace; e.g., computer equipment and software, instructional and testing materials, furniture, or training available to the general public.

Procedural Requirements. The minimum procedural requirements for this method are:

- Prepare a Request for Quotation (RFQ)/Invitation for Bid (IFB). The RFQ/IFB must include full and clear definitions and descriptions of the items to be procured, key

- performance dimensions or specifications, format for submission of bids, submission deadline and timeframes.
- Distribute the RFQ/IFB to organizations on established bidders' list and publicly advertise the procurement in a local newspaper with WDB area-wide circulation or post to an accessible website, allowing sufficient time prior to the date of bid opening to permit adequate responses to the solicitation.
- Open all bids publicly at the time and place stated in the RFQ/IFB.
- Complete a cost or price analysis to determine the reasonableness of cost.
- Award a contract to the responsible offeror whose bid represents the lowest price and conforms to all of the specifications in the RFQ/IFB and meets the demonstrated performance criteria.
- Provide written notification to unsuccessful offerors promptly and file documentation accordingly.

NOTE: The WDB can reserve the right to reject any or all bids when there are sound reasons in the best interest of the program. However, the WDB must communicate this right in the solicitation.

C. Noncompetitive Procurement Options

Noncompetitive procurement may be necessary in selected situations when competition is not available. This method should be minimized to the extent practicable, but in every case must be justified and documented. WDBs are strongly encouraged to consult with DWS when noncompetitive procurement is being considered and the appropriateness of the circumstances are uncertain.

The Uniform Guidance states, at 2 CFR 200.320(f), that procurement by noncompetitive (sole source) proposals is procurement through solicitation of a proposal from only one source which may be used only when one or more of the following circumstances apply:

1. The acquisition of property or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold.
2. The item or service is available only from a single source;
3. The public exigency or emergency for the item or service will not permit a delay resulting from competitive solicitation;
4. The federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-federal entity; or
5. After solicitation of a number of sources, competition is determined inadequate, whether for reasons of number or quality of proposals/bids.

D. Additional Procurement Guidelines

WDB Agreements. A WDB may enter into an agreement or contract with another WDB to pay or share the cost of education, training, placing, or providing supportive services to individuals participating in programs funded by the WIOA. Any agreement must be

approved by the subrecipient and described in the subrecipient's workforce development plans.

Review Process. Noncompetitive procurements must be reviewed for competitiveness and demonstrated performance, just as competitive procurements. Because of the emergency nature of some noncompetitive procurements, the review process may be different since time may be a critical factor with such procurements.

Reasonableness of Cost. A determination of cost or price reasonableness must be completed for each procurement action for which an award is made, *both competitive and noncompetitive*, including contract modifications and renewals (unless there is no monetary impact). In making the determinations, the allowability, allocability, appropriateness, and necessity of the proposed levels of projected costs must be considered in relation to the level and scope of services to be provided.

Independent Cost/Price Estimates. Development of independent cost/price estimates is required prior to receiving bids or proposals for all procurements. The estimates should be used for internal guidance in determining cost or price reasonableness and should not be included in the solicitation or provided to outside parties.

Cost Analysis. Cost analysis is required in determining the reasonableness of a line item budget in a cost reimbursable contract, or through a fixed price contract for specified deliverables in which the price is based on the line item budget and not on market prices. The attached **Program Cost Analysis Guide** (Attachment B) is an example of the type of document that may be used in the determination of reasonableness of costs decisions.

Offeror Certification of Cost Data. When cost analysis is required and there is inadequate competition (e.g., when using a line item budget to establish a fixed price contract and the deliverables are not available on the open market for price comparison), the offeror must certify that to the best of its knowledge and belief the cost data are accurate, complete, and current at the time of agreement on the fixed price.

Contracts or modifications negotiated in reliance on such data will provide the WDBa right to a price adjustment if it is later discovered that the contractor knowingly submitted data that were not accurate, complete or current as certified (as in discovering through monitoring that the contractor has not hired the staff or purchased materials as proposed in the line item budget on which the fixed price was based).

Price Analysis. A simplified price analysis may be used in lieu of a cost analysis when reasonableness can be established on the basis of comparison of catalog or market prices of commercially available products, services or training packages sold in substantial quantities to the general public or based on prices set by law or regulation (e.g., tuition prices).

Contract Negotiations. The WDB must negotiate with contractors/service providers prior to contract execution to agree on work statement elements and verify the necessity of proposed costs in relation to the elements of service. Written documentation of the

negotiations and the final outcome must be maintained in the procurement file.

High-risk contractors/service providers should be determined prior to negotiations so that concerns may be discussed and potential sanctions established during the negotiation process.

Range of Negotiations. Negotiations must be structured around WDB established priorities, policies, definitions, and parameters included in the solicitation. Negotiation ranges are further defined by the criteria and weights used to evaluate the competitiveness of bids submitted. Negotiations cannot alter the structure of the competitive environment established in the procurement process.

Negotiating Profit/Fees. Profit is defined as the contractor's/service provider's return after meeting all WIOA-related operating expenses. It is allowable for for-profit contractors/service providers only. Profit may be paid as a lump sum after services are delivered, in the form of a fee as incremental performance benchmarks are achieved, or as part of a fixed unit price. In all cases, the earning of profit must be tied to the reasonable and measurable delivery of the contract objectives.

WDBs must not permit excess profit. Profit must be negotiated as a separate cost item and cannot be paid as a percentage of the contract cost. To establish a fair and reasonable profit, consideration must be given to the following criteria, which are included in the attached **Determination of Reasonableness of Profit (Attachment C):**

- The complexity of the work to be performed
- The risk borne by the contractor
- The contractor's investment
- The amount of subcontracting
- The quality of the contractor's record of past performance
- Industry profit rates in the surrounding geographical areas for similar work
- Market conditions in the surrounding geographical area

Attachment C is an example of the type of document that can be utilized in the determination of reasonableness of profit. WDBs have the flexibility to utilize their own document or method.

To document that excess profit was not permitted, contractor's/service provider's audits must include a profit schedule and the WDB must determine that the profit earned was reasonable in consideration of the work performed.

Determining Business Operation Capability. The WDB must verify the business operation capability of each potential service provider. Information required to make this determination may be required with submission of the proposal (if an evaluation factor) or obtained during a pre-award review, but the determination must be made prior to contract execution. Items for consideration include:

- staffing capabilities.
- business licenses and/or registrations with appropriate oversight agencies.
- adequate accounting systems.
- sufficient bonding and insurance coverage.
- determining absence of debarment and suspension. The WDB must ensure that the organization is not on any current federal, state, or local “debarment and suspension” list. The WDB must require each prospective bidder to certify that it is not on any federal, state, or local debarment or suspension list. A “Certification regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions” form must be executed and included in all contracts of \$25,000 or more.

Procurement Records. The WDB must develop and maintain a record/file of each relevant procurement sufficient to detail the significant history of the procurement and support the procurement decisions made. The record should include the following information as appropriate for the type of procurement:

- Evidence of WDB involvement in the decision-making and planning process
- A copy of the solicitation package (e.g., RFP/RFQ/IFB/ITB)
- A copy of the public notification
- Bidders’ list to which notices were mailed
- List of all organizations/entities sent a solicitation package (i.e., RFP/RFQ/IFB/ITB)
- Agenda and minutes of the bidders’ conference, if a conference is conducted
- A copy of each question asked and the answer issued, if applicable
- Log sheet of bid proposals received, including the date and time
- A copy of each bid which was received
- Rating and scoring sheets completed during the evaluation process
- Business operation capability evaluations
- Documentation of the rationale for selection and funding of any offeror which did not receive the highest score/ranking in the evaluation process
- Evidence of WDB approval of the procurement
- Completed Memo of Negotiations for each WDB contract
- Completed cost analysis for each selected bidder
- A copy of any submitted grievance(s) and the resolution of each
- High risk determinations and special award/contract conditions, if appropriate
- Completed profit analysis, if appropriate

Procurement Appeals

The federal Workforce Innovation and Opportunity Act (WIOA) mandates the establishment and maintenance of a procedure for grievances or complaints about its services and activities from participants, subgrantees, sub-contractors, and other interested persons.

This section applies to the Requests for Proposal (RFP) process only and provides a procedure to

handle complaints by service providers or prospective service providers. For purposes of this section, any use of the words "complaints" or "grievance" refer to the appeals process relating to the procurement of WIOA services.

Written notification of service provider selection is provided to each entity submitting a proposal. A service provider, potential service provider, or any entity adversely affected in the selection of the service provider may file a complaint. The following steps outline the procedure which these entities may follow to make an appeal of the service provider selection.

The appeal process will consist of two levels: a debriefing and an appeal. The first level, a debriefing, may be requested in writing to the NWDB Director within ten (15) working days of notification of non-award. Send to NWDB's mailing address or email (dwhitmer@accog.org). In a debriefing, the discussion will be limited to a critique of the

RFP response, i.e. specific information as to factors where the proposal manifested weaknesses and strengths. Comparisons between proposals or evaluations of the other proposals will not be considered.

The second level, an appeal, must be submitted in writing to the NWDB Director within five (10) working days following a debriefing. An appeal must identify an issue of fact concerning a matter of bias, discrimination, conflict of interest, or non-compliance with procedures described in the RFP document. Appeals not based on those conditions will not be considered. Appeals will be rejected as without merit if they address such issues as professional judgment on the quality of a proposal or the Board's assessment of Local Area needs, priorities, or requirements. The NWDB Director will issue a decision within five working days of receipt of a written appeal. The decision will be final.

Contracting

A. Introduction

This section identifies the allowable contract instruments which can be used. Each instrument is described in terms of appropriate use and a description of general provisions and specific contract provisions which must be included in contracts.

One of the first considerations in developing a contract is the relationship the WDB expects to have with the organization delivering the services. Based on the complexity of the work to be performed, these relationships fall into two categories:

- A contractor is an entity that receives a contract. A contract is for the purpose of obtaining goods and services for the non-federal entity's own use and creates a procurement relationship with the contractor.
- Characteristics indicative of a procurement relationship between the non-federal entity and a contractor are when the contractor:
 - (1) provides the goods and services within normal business operations;
 - (2) provides similar goods or services to many different purchasers;

- (3) normally operates in a competitive environment;
- (4) provides goods or services that are ancillary to the operation of the federal program; and
- (5) is not subject to compliance requirements of the federal program as a result of the agreement, though similar requirements may apply for other reasons.

WDB means an entity, usually but not limited to non-Federal entities, that receives a subaward from a pass-through entity to carry out part of a Federal award; but does not include an individual that is a beneficiary of such award. A WDB may also be a recipient of other Federal awards directly from a Federal awarding agency.

Both contractors and WDBs are defined as service providers.

B. Contractor Contracts. Fixed price contracts must be used with contractors.

1. Fixed Price Contracts. A fixed price contract is used to purchase generally required goods and services which are sold to the general public during normal business hours at an agreed upon price regardless of the contractor's cost incurred. The appropriate uses of fixed price contracts are provided below:
 - For the purchases of equipment, supplies or materials when a purchase order is not appropriate.
 - For the purchases of personal services of consultants when the deliverables are specifically defined and priced. Consultants and personal services contracts, costing \$5,000 and over, must be filed with the DWS before the contract is finalized. The filing is to be submitted to DWS a minimum of ten (10) business days prior to execution of contract.
 - During the onsite monitoring, the DWS Financial Monitor will review the contract documentation against the filing submitted to DWS. The filing must be sent to the DWS Financial Monitor via email to DWS_FinanceMonitors@ncommerce.com. The filing that is submitted to the DWS must include:
 1. the cost of the proposed contract;
 2. the starting and ending dates;
 3. the purpose of the contract;
 4. the list whether the procurement is Competitive or Noncompetitive; and,
 5. the funding source to be used.

Once the review is complete, the WDB will receive a compliance certification letter from the DWS.

The contract must identify the specific deliverables and the related price for each deliverable for which payment will be made.

C. WDB Contracts

1. Cost Reimbursable Contracts. WDBs may use a cost reimbursable contract for any form of procurement. In this type of contract, reimbursements are made to the contractor for actual expenses incurred in the provision of goods/services. Under cost reimbursable contracts, the primary risk in achieving a reasonable relationship between expenditures and results fall to the WDB in negotiating line costs.

This type of contract is required for procurement transactions between units of state or local governments and any other entity organized principally as the administrative entity for the local workforce development board.

Each contract must contain a detailed line item budget specifying the expense items and estimated amounts for all costs. All costs in the approved budget must be allowable and properly allocated among the cost categories that will benefit. The contract must fully describe the services to be delivered and the invoicing and payment and procedures including signatory authority for the submission of invoices. Any provisions of flexibility in expenditures among the specific line items must also be described in the contract.

2. Cost Reimbursable Contracts with Profit. A cost reimbursable contract may include a profit element when an incentive is appropriate to induce a private for-profit contractor/service provider to provide WIOA training or services.
3. Fixed Price Contracts. The use of a fixed price contract is limited to specific circumstances in which a contractor/service provider agrees to deliver specified WIOA services at a negotiated price. These situations might include such services as eligibility determination assessment, or case management with a detailed work statement, with a unit price established for each deliverable, e.g., number of enrollments, number of assessments, etc.

This type of contract differs from a fixed unit price, performance-based contract only to the extent that it provides for delivery of a specific service, regardless of participant outcomes. Requirements for establishing and paying the fixed price are the same, except that payment conditions must be based on the delivery of measurable units of service, rather than on participant outcomes.

4. Hybrid Contracts (Cost Reimbursable with Fixed Price Element). Hybrid contracts incorporate a combination of cost-reimbursement and fixed price characteristics. In these contracts, some cost items will be separately identified to be reimbursed on actual costs incurred and other cost items will be units identified as a fixed price.

These contracts must be negotiated and executed on the basis of detailed line item budget in which the cost items to be reimbursed are separately identified from the fixed price element(s). The requirements applicable to the cost reimbursable and fixed price contracts

will apply to each separately identified set of expenses.

5. Fixed Unit Price/Performance-Based Contracts. Fixed unit price/performance-based contracts are allowable for employment and training services as an incentive for contractors to perform efficiently and achieve high levels of participant outcomes. The following requirements apply in establishing a fixed unit price and the condition for payments:
 - A cost analysis of all cost elements, i.e., line-item costs, must be conducted and documented, and reasonableness of the unit price determined,
 - The fixed unit price must be allocated to benefitting cost categories based on the ratios established in the cost price analysis,
 - The offeror must certify in writing that cost data are accurate, complete and current at the time of agreement on price. The awarding agency must retain the right to a price adjustment if it is discovered that the WDB knowingly submitted data that were not accurate, complete and current,
 - Payment conditions must include measurable participant outcomes (e.g., quantifiable levels of skill attainment, placement in training-related position, a placement wage requirement, job retention).

D. General Contract Provisions for All Contracts

Except for small purchases for which a purchase order is appropriate, the WDB must award a bilaterally executed contract which includes at a minimum, the fixed price and/or estimated costs, a description of the scope and extent of work performed or specification of the goods/services to be provided and the period of performance. (NOTE: There is no requirement that fixed unit price agreements establish minimum or maximum quantity or funding levels to require performance or limit obligations. However, it is strongly recommended that a maximum be included in the agreement to identify obligations and to manage risk.)

The WDB must include in each contractor and WDB contract the following provisions and must require that the contractor include the provisions, or references to them, in any subcontracts:

- Remedies. A provision which will allow for administrative, contractual, or legal remedies if the contractor violates or breaches terms of the contract and which provides for appropriate sanctions and penalties.
- Termination. A provision for termination of the contract for cause and for convenience by the awarding agency and for termination because of circumstances beyond the control of the contractor. The provision must include an identification of the conditions under which termination actions will be taken, the manner in which actions will be taken and the basis for settlement.
- Modification. A provision defining the conditions under which the contract can be

modified, including specification of the conditions by which the contract can be unilaterally modified by the WDB.

- Assignment. A provision prohibiting the assignment of the contract to another party.
- Funds Availability. A provision for withdrawal of funds from the contract as a result of discontinued or more limited funding to the WDB from its funding source.
- Coordination of Grant Funds. A provision for coordination, documenting and reporting funds from High Education Act grants (e.g., Pell, Supplemental Educational Opportunity Grant (SEOG)), and other sources that are used in conjunction with WIOA funds on behalf of participants.
- Payment Conditions and Delivery Terms. A provision which describes conditions under which payments will be made, the documentation required for invoicing and the timeframes for submission and payment of invoices. (Payment conditions depend on the type of contract used.)
- Contract Period. WDBs may, with sufficient justification, renew an annual- contract for two (2) additional years without benefit of competitive procurement, not to exceed a total of three (3) years. Each renewal shall be limited to a one (1) year period. Renewal of an annual contract shall not preclude the contract negotiation requirement or the cost or price analysis process. This requirement applies except in the case of noncompetitive procurement under the public exigency or emergency criterion. If establishing a contract period which crosses program years, contract provisions must address the longer period of performance.
- Audit Responsibilities. A provision describing contractor's/service provider's audit responsibilities. In the case of contractors, in lieu of an audit the right of access to contractor records of program charges and to staff for interviews must be included.
- Data/Copyrighting. A notice of WIOA requirements pertaining to rights to data or products developed with the use of WIOA funding. Specifically, the awarding agencies, the DWS and the US Department of Labor must have unlimited rights to any data first produced or delivered under the agreement including agreements which involve the use/development of computer programs/applications, or the maintenance of databases or other computer data processing programs, including the input of data.

- There must also be a notice of WIOA requirements pertaining to copyrighting only in contracts which involve the use or development of copyrighted materials.
- Reporting Requirements. A description of the WDB requirements for reporting data and other information.
- Complaints. Information for filing a complaint or grievance.
- Records and Retention. A description of the records which must be maintained and the applicable record retention period defined.

E. Additional Provisions for WDB Contracts

In addition to the general provisions required for all contracts described above, the following provisions are required for contractor/service provider contracts only:

- Adherence to Applicable Laws and Regulations. A provision that the contractor/service provider will adhere to all applicable federal, state and local regulations, laws and policies, including:
 - Certification Regarding Lobbying (29 CFR Part 93)
 - Drug-Free Workplace Requirements Certification (29 CFR Part 98)
- Use of Program Income. A provision defining the procedures and criteria for the disposition and use of program income earned by the contractor, if applicable.
- Non-duplication of Services. An assurance that facilities and services are not duplicated through the contract unless it has been established that alternative services or facilities would be more effective or more likely to achieve performance goals.
- Equal Opportunity. The WDB must include the following equal opportunity provision verbatim; and must require that its contractors/service providers include the clause in any of their contracts which has, or is expected to have, an aggregate value exceeding \$25,000 within a 12-month period.

During the performance of this contract, the contractor agrees as follows:

a. The contractor will comply fully with the nondiscrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act (WIOA); including the Nontraditional Employment for Women Act of 1991; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Americans with Disabilities Act of 1990; as amended; the Age of Discrimination Act of 1975, as amended; Title IX of the Education Amendments of 1972, as amended; and with all applicable requirements imposed by or pursuant to regulations implementing those laws, including but not limited to 29 CFR Part 34. The United States has the right to seek judicial enforcement of this assurance.

b. *The contractor will not discriminate against any employee or applicant for employment, or program applicant/participant because of race, color, age, religion, sex, disability, national origin, political affiliation, or belief. The contractor will take affirmative action to ensure that applicants are employed/selected and that participants and employees are treated during their period of employment/participation without regard to their race, color, age, religion, sex, disability, national origin, political affiliation, or belief. Such action must include, but not limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of the non-discrimination clause.*

c. *The contractor will, in all solicitations or advertisements for employees or participants placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, age, religion, sex, disability, national origin, political affiliation, or belief.*

d. *The contractor will permit access to any contract-related books, records and accounts by the contracting agency, the State and the US Secretary of Labor for purposes of investigation to ascertain compliance with applicable rules, regulations and orders.*

e. *In the event of the contractor's non-compliance with the non-discrimination clauses of this contract with any such rules, regulations, or orders, this contract may be canceled, terminated, or suspended in whole or in part and the contractor may be declared ineligible for further government contracts and such other sanctions may be imposed and remedies invoked as provided by rules, regulations and orders of the Secretary of Labor, or as otherwise provided by law.*

- Compliance with Contract Work Hours and Safety Standards Act (40 U.S.C 327-332). Contracts for the construction and repair of any government building funded by WIOA and whose values exceeds \$2,500 must include a statement referencing compliance with (c)(3)(iii) of the Contract Work Hours Safety Standards Act. This requirement does not apply to contracts for the purchase of supplies or materials or articles ordinarily available on the open market, or to work where the USDOL assistance is in the form of a loan guarantee or insurance.
- Safety. The WDB must include in all construction contracts in excess of \$2,000 which involve the employment of laborers or mechanics provision requiring the contractor to comply with 29-70.21613 (c) (3); except if the contract is subject to the Davis-Bacon Act, the following provision must be included:
“The contractor shall not require a laborer or mechanic employed in the performance of the contract to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to health and safety.”

- Compliance with Copeland Anti-kickback Act (40 U.S.C 276c and 18 U.S.C. 874). Contracts in excess of \$2,000 for construction, completion, or repair of public buildings, public works, or building work financed in whole or in part by federal funds, must include the provision prescribed in 29 CFR 5.5 (a)(5), requiring compliance with The Copeland Act. The Copeland Act prohibits illegal deductions or kickbacks of wages to which employees are otherwise entitled. The WDB must report all suspected or reported violations to the State.
- Certification Regarding Lobbying. Executed contracts with value in excess of \$100,000, must include a provision which prohibits the use of federally appropriated funds for lobbying the Executive or Legislative branches of the Federal Government in connection with a specific contract, grant or loan. The WDB must ensure that the contractor completes and signs a “Certification Regarding Lobbying” form so indicating. The provision must also specify that the contractor must complete a “Disclosure of Lobbying Activities” form for any and all lobbying activities which are supported by other than federally appropriated funds.
- Buy American Notice Requirement. In the case of any equipment or product that may be authorized to be purchased with financial assistance provided using funds available under the Workforce Innovation and Opportunity Act, it is the sense of the Congress that entities receiving the assistance should, in expending the assistance, purchase only American-made equipment and products, as required by the Buy American Act (41 USC 10a et seq.). See WIOA Section 502—Buy American Requirements.
- Salary and Bonus Limitations. None of the funds appropriated under the heading ‘Employment and Training’ in the appropriation statute(s) may be used by a recipient or WDB of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation shall not apply to contractors providing goods and services as defined in OMB Uniform Guidance. Where states are recipients of such funds, states may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from WDBs of such funds, taking into account factors including the relative cost-of-living in the state, the compensation levels for comparable state or local government employees, and the size of the organizations that administer federal programs involved including Employment & Training Administration programs. See Public Law 113-76 (Division H, Title I, Section 105), and USDOL Training and Employment Guidance Letter (TEGL) Number 05-06 for further clarification. TEGL No. 05-06 is available at: http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262.
- Intellectual Property Rights. The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or sub-grant; and ii) any rights of copyright to which the grantee, subgrantee or a contractor purchases ownership under

an award (including but not limited to curricula, training models, technical assistance products, and any related materials).

Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. Federal funds may not be used to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the U.S. Department of Labor has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it. Internal use by an organization and/or personal use by an individual for non-commercial purposes is permissible. All other uses require the prior authorization of the copyright owner.”

- Veterans’ Priority Provisions. This program, funded by the U.S. Department of Labor, is subject to the priority of service requirements of 38 USC 4215 and 20 CFR Part 1010. Section 4215 of Title 38 requires that priority of service be provided to veterans and spouses of certain service members and veterans for the receipt of employment, training, and placement services. TEGL No. 10-09 is available at http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816.

F. WDB Work Statement Requirements

The following elements are required in contract work statements with contractors/service providers who will provide participant training, and in other contract work statements as appropriate to the services to be provided or the work to be performed. Other contract requirements may be added at the discretion of the WDB.

- Training Activities. A description of the type and duration of the training activity including, if applicable, length of training cycles and the approximate number of participants per cycle.

- Other Training and Support Activities. A description of other specific services and activities to be provided such as assessment, the administration of specific test instruments, individual service strategy completion, counseling, job development, placement, work experience, support payments, follow-up and their relationship to the training activities.
- Placement Targets/Wages. Occupational targets considered as training related placements, as well as the related placement wage for each target. Wages should reflect the prevailing local wage for the occupation, based on local or regional surveys.
- Participant Completion Definition. A description of the skill levels to be acquired and the method(s) for measuring attainment.
- Program Entry Requirements. A description of the minimum skill levels required for entry into the program. Any educational requirement should reflect the minimum skills needed to successfully complete training. Occupational skill requirements should reflect an absence of skills necessary for entry employment in the occupation of training. The method is to be used to assess the skills must be included.
- Target Population. A description of the participants to be served in the program by number, key demographic, or target group characteristics.
- Staffing/Management Plan. A description of each job title and primary responsibilities, number of staff per job title, and percent of time committed for each position to the contract. This breakout may be included in the work statement or as backup to the line item budget. It is recommended that an organizational chart and related job descriptions/qualifications of the individuals in the WIOA funded positions be attached to the contract to verify the adequacy and abilities of the staff to deliver quality services and provide effective monitoring/oversight of performance.
- Program Performance. The planned number of eligible individuals must be identified (by group, if applicable) who are to be enrolled, complete training, and meet performance outcome/retention criteria.
- Facilities. A description of the facilities and location to be used during training/contract period.
- Equipment. An itemized listing of the equipment (e.g., computers, etc.) to be used in the program in accordance with the requirements of the training.
- Training Supplies and Materials. An itemized listing of training supplies and materials (e.g., work tools, workbooks, supplies) to be used in class-sized programs, in accordance with the requirements of the curriculum and the number of participant slots.

- Implementation Schedule. The period of performance and any requirements related to minimum start-up and completion dates for individual training cycles.
- Subcontracts. Any third parties to whom any part of the contract will be subcontracted must be identified and their responsibilities defined. All applicable work statement items will flow to the subcontract contract, with the sole exemption being the on-the-job training employers.
- Coordination. A description of coordination arrangements with other organizations which will contribute funds or provide services on behalf of program participants. This description should correlate to a statement of shared/contributed costs in the budget section.

NOTE: When payments are tied to performance, the work statement elements must be consistent with payment conditions stated in the contract.

G. Timely Contract Execution/Use of Pre-agreement Letters

As a standard operating procedure, subgrant funds are to be obligated and disbursed to contractors in accordance with a fully executed contract and/or subcontract. When the risks associated with having a fully executed contract are outweighed by the need to provide services, the use of a pre-agreement letter should be used to clarify expectations until a fully executed contract is finalized. Such costs are allowable only to the extent that they will be incurred after beginning of the contract period. The letter should be executed by the WDB prior to program start-up. At a minimum, the letter should contain the following information:

- A general description of the service to be provided,
- The negotiated line item budget for the project,
- The period of the proposed contract,
- A statement indicating that a fully-executed contract will be in place within a specified period, e.g., 60 days,
- A statement indicating that no money will be exchanged between the parties until the contract is executed, and
- Names, titles, and signatures of the individuals for both entities planning to enter the proposed contract and agreeing to terms outlined regarding negotiated contract costs.

H. Contract Administration and Records

WDBs must maintain a system for contract administration to ensure that service providers and other suppliers comply with the terms, conditions and applicable performance requirements of contracts or purchase orders and to ensure adequate and timely completion of all transactions.

I. Monitoring

All WDBs must maintain a system for contract monitoring (both programmatic and fiscal) to ensure that contractors/service providers comply with the performance requirements and provisions of the contracts.

J. Contract Files

All Local Area WDBs must maintain a file on each executed contract sufficient to document the record of the contract, performance against the contract, and payments made. The file should include the following elements:

- Executed contract and modifications
- Cost/price analysis for each modification or documentation as to why it was not required.
- Official correspondence
- Memos to file

K. Property Control

All WDBs must develop procedures and maintain controls for property acquisition, utilization, maintenance, and disposition. A physical inventory of all property costing \$500 or more per unit and having a useful life of one year or more must be performed at least once per year.

Northeastern Workforce Development Board Program Cost Analysis Guide

Introduction

This cost analysis guide provides a framework for determining prices and evaluating reasonableness of costs associated with the operation of Workforce Innovation and Opportunity Act (WIOA) Title I-funded activities in the Workforce Development Board (WDB) service area.

An objective cost/price analysis will enable the WDB to provide the services available to the greatest number of people. The object of the WIOA is to help people obtain employment. A contract that is obtained for the best price is one that most efficiently uses the available funds to provide quality services to the most participants. This is the goal of the WDB, and an objective cost analysis will help the WDB to determine the best service providers.

In performing cost analysis, the assigned staff must perform discrete functions. First, they must verify the cost and pricing data submitted and evaluate the cost elements in that data. This includes judging the necessity for and reasonableness of proposed costs, including allowances for specific contingencies. It also includes evaluating the service provider's cost trends on the basis of current and historical cost or pricing data. This function also includes conducting a technical appraisal of the estimated labor, material, and other requirements proposed. This first analysis step may also require evaluators to apply negotiated, audited, or proposed indirect cost rates to determine the contract price, where such rates are proposed.

A second element of cost analysis is comparison of costs proposed by service providers with other data. This data includes actual costs incurred by the same service provider in the past. Cost analysis can also compare the current proposed costs with previous cost estimates from the same service provider or from other service providers for the same or similar items. It is appropriate and helpful to compare costs with those proposed by other service providers in the same procurement process.

In addition, a cost analysis will be performed to verify that the service provider's submitted costs are in accordance with applicable contract cost principles. These cost principles define and describe the meanings and limits of a variety of costs. Costs that do not conform to these meanings and limits are not allowable. State or local laws and regulations may make certain costs unallowable or place limits on costs in addition to those cited in WIOA provisions or regulations.

Analysis Procedure

The cost analysis procedure may vary by program; the reviewer may require more justification of some types of programs than other types in order to strengthen the capability to analyze costs. However, common elements for the reviews of all programs include the following steps:

1. Check computations
2. Review for completeness of information
3. Review for proper cost categorization
4. Determine the estimating base, and
5. Determine the allowability of the proposed estimate.

Allowability includes:

- Necessity
- Reasonableness
- Terms of the contract
- Cost principles
- WIOA regulations or policies
- State policies, and
- WDB policies.

In addition to these guidelines, the WDB may employ any or all of the following procedures to determine cost reasonableness:

1. Development of an independent estimate for planning and comparison purposes
2. Comparison of competitive bids, where available
3. Comparison of prior quotations/contracts with current proposals for the same or similar programs
4. Comparison of prices on published price lists
5. Comparing the proposer's estimated cost to actual costs incurred for former programs of the same or similar nature (historical cost data should be adjusted for inflation and any upward or downward price trends), and
6. Any other cost analysis available.

It is equally important that the contract reviewer have a technical understanding of the contract requirements. In addition to the ability to determine excess costs, the reviewer should be reasonably certain the proposer has requested enough funding to fulfill contract requirements.

Contract

All contract applications will require detailed line item budgets.

Modification

Where contract modifications that affect the contract budget are justified and allowed in the WIOA Administrative Entity's procurement policy, another cost analysis must be performed.

Option Year(s)

Where solicitations seek second-year or third-year operations or option year cost proposals from service providers, these proposals will be subject to the same detailed cost/price analysis as the first year. The reviewer must examine how the subsequent year costs will change from the ones in the first year. Unless the RFP calls for a reduced scope of work in the subsequent year, usually the work will be the same.

However, in nearly all instances, costs may change. For example, inflation occurs, contractor personnel usually receive pay raises, etc. Thus, the cost of labor and materials usually rise, but they do not rise equally. Also, improvements in efficiency and the work experience level of personnel can result in lower costs. The reviewer will have to analyze the second year costs in the same manner as other costs.

Documentation

Documentation is vital to the cost analysis process. It provides a record of the entire analysis and will be used to justify actions taken. Documentation will be used to justify the rating given to a particular

offeror, to use as a basis for discussion and negotiation with the offeror, to use in the event of a challenge of the award, and finally to use during contract monitoring and administration.

COST ANALYSIS WORKSHEET

Part I – General

Bidder: _____

- | | <u>Yes</u> | <u>No</u> |
|---|------------|-----------|
| 1. Offeror computations checked and verified? | | |
| Problems/Comments: _____ | | |
| _____ | | |
| _____ | | |
| 2. All necessary cost elements included? | <u>Yes</u> | <u>No</u> |
| Problems/Comments: _____ | | |
| _____ | | |
| _____ | | |
| 3. Offeror supporting documentation and justification complete? | <u>Yes</u> | <u>No</u> |
| Problems/Comments: _____ | | |
| _____ | | |
| _____ | | |
| 4. WIOA cost categorization (Administration, Program) | <u>Yes</u> | <u>No</u> |
| • Correctly categorized? | | |
| • Need more information (detail below). | | |
| Problems/Comments: _____ | | |
| _____ | | |
| _____ | | |

Part II – Specific Costs

Cost Element	Necessary/Reasonable	Basis for Judgment (Check One or More)
1. Staff Costs	<p style="text-align: center;"><u>Yes</u> <u>No</u></p>	<p>Independent Agency Estimate _____</p> <p>Compared/Other Current Offers _____</p> <p>Compared/Past Offers _____</p> <p>Verified Market Price or Quote _____</p> <p>Other (Specify) _____</p>
Comments/Concerns/Problems:		
2. Fringe Benefits (For tax-based elements, be sure that rates and bases are current.)	<p style="text-align: center;"><u>Yes</u> <u>No</u></p>	<p>Independent Agency Estimate _____</p> <p>Compared/Other Current Offers _____</p> <p>Compared/Past Offers _____</p> <p>Verified Market Price or Quote _____</p> <p>Other (Specify) _____</p>

Comments/Concerns/Problems:		
3. Materials Training/Program	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____
Comments/Concerns/Problems:		

4. Materials Supplies/General	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____
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Comments/Concerns/Problems:

5. Equipment	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____
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Comments/Concerns/Problems:

6. Facilities	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____
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Comments/Concerns/Problems:

7. Communications (for example: telephone, website)	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____
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Comments/Concerns/Problems:

8. Insurance/Bonding	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____ _____
Comments/Concerns/Problems:		
9. Staff Travel	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____ _____
Comments/Concerns/Problems:		

10. Consultants	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____

Comments/Concerns/Problems:		
11. Accounting/Audits	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____
Comments/Concerns/Problems:		

12. Legal Services	<p style="text-align: center;"><u>Yes</u> <u>No</u></p>	<p>Independent Agency Estimate _____</p> <p>Compared/Other Current Offers _____</p> <p>Compared/Past Offers _____</p> <p>Verified Market Price or Quote _____</p> <p>Other (Specify) _____</p> <p>_____</p>
--------------------	--	---

Comments/Concerns/Problems:		
13. Photocopying/Printing	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____
Comments/Concerns/Problems:		

14. Supportive Services	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____ _____
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Comments/Concerns/Problems:		
<p>15. Indirect Costs (When proposed, ensure that costs not duplicated in direct costs.)</p>	<p><u>Yes</u> <u>No</u></p>	<p>Independent Agency Estimate _____</p> <p>Compared/Other Current Offers _____</p> <p>Compared/Past Offers _____</p> <p>Verified Market Price or Quote _____</p> <p>Other (Specify) _____</p>
Comments/Concerns/Problems:		
<p>16. Subcontracts (Review subcontractor cost/price proposal.)</p>	<p><u>Yes</u> <u>No</u></p>	<p>Independent Agency Estimate _____</p> <p>Compared/Other Current Offers _____</p> <p>Compared/Past Offers _____</p> <p>Verified Market Price or Quote _____</p> <p>Other (Specify) _____</p>

Comments/Concerns/Problems:		
17. Other (Specify)	<u>Yes</u> <u>No</u>	Independent Agency Estimate _____ Compared/Other Current Offers _____ Compared/Past Offers _____ Verified Market Price or Quote _____ Other (Specify) _____ _____ _____
Comments/Concerns/Problems:		

Part III – Conclusions

Prepare a brief narrative citing:

1. Specific additional cost justifications needed;
2. Recommended adjustments to specific cost elements; and
3. Any other comments about cost/price proposal. (Use another sheet of paper if additional space is needed)

DETERMINATION OF REASONABLENESS OF PROFIT

Assign an overall rating of low, medium, or high to each criterion, after analyzing each of the elements.

- A **Low** rating indicates a low level of effort; low profit justified.
- A **Medium** rating indicates an ordinary effort, *e.g.*, a standard curriculum, some assistance in program delivery, etc.; medium level of profit justified.
- A **High** rating indicates an extraordinary level of effort will be needed for program delivery, *e.g.*, innovative program, strong service to groups with barriers, etc.; high profit justified.

OFFEROR _____ Overall Rating _____

Rating completed by: _____ Date: _____

1. **Complexity of Work** Low _____ Medium _____ High _____

Will the offeror be responsible for the full range of services for program participants, *i.e.*, recruitment, certification, assessment, case management, training, placement, follow-up through retention?

Yes _____ No _____ Somewhat _____

Will the offeror provide multiple training through several components, *i.e.*, basic skills, pre-employment skills, vocational skills, work-based training, job search?

Yes _____ No _____ Somewhat _____

Will the training be in higher skills, and will the offeror be required to serve a high number of individuals with multiple barriers?

Yes _____ No _____ Somewhat _____

Will the offeror be expected to achieve a high level of coordination in providing training or services?

Yes _____ No _____ Somewhat _____

Will the offeror be required to have an accounting system capability to make direct participant payments or reimburse employers directly?

Yes _____ No _____ Somewhat _____

2. **Contract Risk** **Low** _____ **Medium** _____ **High** _____

Will the offeror be reimbursed for all expenses incurred in program delivery?

Yes _____ No _____ Somewhat _____

Is the program design new and/or innovative?

Yes _____ No _____ Somewhat _____

Will the offeror be required to achieve multiple program outcomes?

Yes _____ No _____ Somewhat _____

Is a high level of service required to hard to serve groups?

Yes _____ No _____ Somewhat _____

Are placement and retention goals high?

Yes _____ No _____ Somewhat _____

3. **Contractor Investment** **Low** _____ **Medium** _____ **High** _____

Was the offeror required to develop an innovative, complex program design?

Yes _____ No _____ Somewhat _____

Will the offeror be responsible for managing services at multiple sites?

Yes _____ No _____ Somewhat _____

Will the complexity of the program require complex accounting and participant recordkeeping?

Yes _____ No _____ Somewhat _____

Will costs be reimbursed on a regular basis, or payments for performance made intermittently?

Yes _____ No _____ Somewhat _____

4. **Subcontracting** **Low** _____ **Medium** _____ **High** _____

Will the offeror rely on subcontracts for program delivery?

Yes _____ No _____ Somewhat _____

Could the level of subcontracting impact negatively the offeror's performance, *i.e.*:

- If customized or on-the-job training, the employer commits to hire prior to subcontracting; therefore, any negative impact would more likely be related to the offeror's inability to counsel and motivate the participant.
- If other types of training are subcontracted, with the offeror responsible for placement, poor training could negatively impact the offeror's ability to place the participant.
- If only support services are contracted, they would bear no impact on performance.

Yes _____ No _____ Somewhat _____

5. **Past Performance** **Low** _____ **Medium** _____ **High** _____

Past performance should be rated in terms of rewarding high performance with higher profit.

Give a **High** rating if in the previous year the offeror achieved all performance goals at a level of 90% - 100%.

Give a **Medium** rating if in the previous year the offeror achieved all performance goals at a level of 80% - 89%.

Give a **Low** rating if in the previous program year the offeror achieved only 70% - 79% of its performance goals.

If in the previous program year the offeror achieved less than 70% of its performance goals, its past performance should be considered unsatisfactory and negative consideration given to this criterion in determining reasonableness of profit/program income.

If the offeror did not have a contract in the previous program year, the lack of rating for this criterion should not negatively impact the determination of reasonable profit.

6. **Industry Profit Rates**

Reviewed industry rates and noted the following percentages:

Detail the rates noted:

7. **Market Conditions**

Note market conditions:

After a consideration of the aforementioned criteria, the rating schedule below will be used to determine a reasonable level of profit.

- **LOW** Rating: A profit equal to 3% - 5% of proposed operating costs is considered reasonable.
- **MEDIUM** Rating: A profit equal to 6% - 8% of proposed operating costs is considered reasonable.
- **HIGH** Rating: A profit equal to 9% - 12% of proposed operating costs is considered reasonable.

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The document has been completed.

April 14, 2018

NWDB Issuance No. 2018-29

SUBJECT: Conflict of Interest Policy

PURPOSE: To establish NWDB's Conflict of Interest Policy

BACKGROUND: Consistent with DWS PS 18-2017 and with Workforce Innovation and Opportunity Act, all Workforce boards must develop a written Conflict of Interest statement.

ACTION: All NWDB board members, committee members, program operators, and staff shall receive a copy of the conflict of interest policy and sign and submit the NWDB Code of Conduct form.

EFFECTIVE DATE: Immediately

EXPIRATION DATE: Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NWDB board member, committee members, program operators, and staff

ATTACHMENT: Code of Conduct

David Whitmer

David Whitmer, NWDB Director

Edenton Career Center

118 Blades St., Bldg 3, Edenton, NC 27932
252.482.2195 | Fax: 252.482.2188

Elizabeth City Career Center

422 McArthur Dr., Elizabeth City, NC 27909
252.331.4798 | Fax: 252.331.4809

Dare County Career Center

2522 S. Croatan Hwy, Nags Head, NC 27959
252.480.3500 | Fax: 252.480.0121

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NORTHEASTERN WORKFORCE DEVELOPMENT BOARD

Conflict of Interest Policy

CONFLICT OF INTEREST POLICY

The purpose of the Conflict of Interest Policy is to protect the interest of Northeastern workforce Development Board as a public body charged with the oversight of federal and/or state funds, when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer, staff Member, or director or might result in a possible excess benefit transaction. This includes persons and entities involved in the competitive selection processes to identify service providers and award funding using federal funds which must be free of conflicts of interest: real, apparent, or organizational. This policy is intended to supplement, but not replace, any applicable state and federal laws governing conflicts of interest applicable to organizations responsible for maintaining the public trust for the use of federal, state, and other grant funds for the purpose of carrying out goals and program requirements, including the responsibility to maintain the reputation and integrity of the entity, organizations, and agencies and programs.

I. Boards

It is the policy and expectation of the Workforce Development Board (WDB) that its Members will fulfill the fiduciary duties applicable to their service as Members of the WDB. Due to the legal and statutory structures of the WDB, it is expected that conflicts of interest may arise and this policy is intended to provide a framework that will allow the work of the WDB to be achieved without the fact of or appearance of impropriety. Where this document references “Member” it shall mean any agent, WDB employee, officer, service provider contractor, and Board Member. The WDB and all other agencies receiving direct financial assistance through the Workforce Innovation and Opportunity Act (WIOA) shall avoid conflict of interest, real or apparent.

It is the responsibility of each member to govern the actions of all other Members in compliance with the Conflict of Interest Policy. If a Member thinks there is a possibility of a conflict of interest, real or apparent, on the part of another Member, it is his or her affirmative responsibility to immediately bring the matter to the attention of the Workforce Development Board Director. Therefore, no WDB Member will discuss, present proposals, or vote on any issue as to which the Member has an economic interest unless specifically questioned by the other Members as part of a scheduled opportunity for all interested parties to present information. A Member may vote on and may discuss any matter what would not have any impact on the Member.

No official or employee of the WDB or contracting agency authorized in their official capacity to negotiate, make, accept, or approve, or to take part in the negotiating, making, accepting, or approving any contract or subcontract in connection with a project shall have directly or indirectly any financial or personal interest in any such contract or subcontract. It shall be against the policy of the WDB or contracting agency for any employee or volunteer to directly or indirectly ask, demand, exact, solicit, accept, receive, or agree to receive anything of value for themselves or any other person or entity in return for:

- being influenced in the performance of their job or position;
- being influenced to commit or aid in committing, or to collude in, or allow, any fraud, or to make opportunity for the commission of any fraud on the WDB or contracting agency; or
- being induced to do or admit to any act in violation of their official duties.

Each Member shall annually confirm a statement that affirms such person:

1. has received a copy of the Northeastern Workforce Development Board Conflict of Interest Policy;
2. has read and understands the policy; and
3. has agreed to comply with the policy.

II. Discovery of an Actual or Potential Conflict of Interest

Upon the assertion of a possible violation of this policy, the WDB Chair or Vice-Chair will appoint an ad hoc committee to review the circumstances, report their findings to the Board for discussion and vote, and recommend a course of action in the event a Member is found to be in violation. Action may include, but is not limited to, a declaration that the Member be removed from the Board position and a request to the Consortium Board to make a new appointment.

III. Procurement

All negotiations of a contract for or with potential contractors/service providers must be conducted with arm's length negotiations. The definition of an arm's length negotiation is a negotiation where the parties to the negotiation have an opposing economic interest to that of the organization with which they are negotiating.

No WDB Member (whether compensated or not) shall engage in any activity, including participation in the selection, award, or administration of a sub-grant or contract supported by WIOA funds if a conflict of interest, real, or apparent would be involved. Such a conflict would arise when:

- (i) the individual,
- (ii) any Member of the individual's immediate family,
- (iii) the individual's partner, or
- (iv) an organization which employs, or is about to employ any of the above, has a financial interest in the firm or organization selected for the award.

No WDB Member, Member of his/her immediate family, officers, employees or agents of the WDB Member's agency or business shall neither solicit nor accept gratuities, favors, or anything of value from contractors, potential contractors, or parties to sub-agreements.

A WDB Member shall not cast a vote, or participate in, any decision making capacity on the provision of services by such Member (or any organization which that Member directly represents), nor on any matter which would provide any direct financial benefit to that Member.

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

IV. Work Experience Placements

The Division of Workforce Solutions (DWS) strongly discourages the practice of placing participants in workforce training located at the board office, NCWorks Career Center, or administrative entity due to the potential of conflicts of interest. Placement at these locations should only be allowed where there is specific documentation in the participant file that the particular experience meets the participant's career goals and skills needs *and* there is no other placement opportunity available.

V. Service Providers/Contractors

Although the WIOA program is not an entitlement program, it should be accessible to any individual, in any local area, who is eligible and suitable for available services subject to Northeastern Workforce Development Board policies and procedures. However, when applicants have a close relationship with WIOA staff Members, management, and other specific stakeholders of the Workforce Development System, access to program services should not be based on such relationships or based on political influence. It is possible that even without any intention to misuse WIOA funds a decision to enroll an individual in the program could be perceived as improper. Such a perception could cause noncompliance with state and/or federal law.

General authorization for providing funds to participants will comply with the standards of conduct for maintaining the integrity of the program and avoiding any conflict of interest in its administration. Local Chief Elected Officials, Local Workforce

Development Boards, designated fiscal agents, and administrative officials must help meet the objectives of WIOA through effective policies, procedures, and safeguards that ensure the integrity of these public funds. Throughout the Local Workforce Development Areas safeguards must be in place ensuring that all those served in the program are not only eligible and suitable but also detached from being part of the perception of impropriety or conflict of interest.

In the event a service provider/contractor is related to a WDB staff Member or officer, appropriate firewalls must be in place to ensure the staff Member/officer does not directly monitor, supervise, or provide oversight. An alternate staff Member/officer must be identified to assume the oversight responsibilities.

VI. Code of Conduct

A written set of standards (Code of Conduct) governing the performance of the WDB and its employees, officers, or agents related to real or apparent conflicts of interest is a requirement of 29 CFR 95.42.

VII. Firewalls

Proper firewalls must be in place to ensure the transparency and integrity of the procurement process and demonstrate to the public and to the Department of Labor that the selection process was impartial and that no preferential treatment was given to the awardee. A “firewall” is an established policy or procedure that acts as a barrier or protection against an undesirable influence, outcome, or authority. Examples of firewalls include but are not limited to organizational arrangements that provide clear separation of duties and responsibilities, including confidentiality and disclosure agreements.

No entity or individual that has any role in the issuance of a solicitation may compete or submit a proposal under that procurement action, including the development of requirements, drafting the Request for Proposals (RFP) or Letter of Intent for Bid (IFB), evaluation of proposals/bids, and identification of the best entity.

North Carolina General Statute § 14-234

§ 14-234. Public officers or employees benefiting from public contracts; exceptions.

- (a)
 - (1) No public officer or employee who is involved in making or administering a contract on behalf of a public agency may derive a direct benefit from the contract except as provided in this section, or as otherwise allowed by law.
 - (2) A public officer or employee who will derive a direct benefit from a contract with the public agency he or she serves, but who is not involved in making or administering the contract, shall not attempt to influence any other person who is involved in making or administering the contract.
 - (3) No public officer or employee may solicit or receive any gift, favor, reward, service, or promise of reward, including a promise of future employment, in exchange for recommending, influencing, or attempting to influence the award of a contract by the public agency he or she serves.
- (a1) For purposes of this section:
 - (1) As used in this section, the term "public officer" means an individual who is elected or appointed to serve or represent a public agency, other than an employee or independent contractor of a public agency.
 - (2) A public officer or employee is involved in administering a contract if he or she oversees the performance of the contract or has authority to make decisions regarding the contract or to interpret the contract.
 - (3) A public officer or employee is involved in making a contract if he or she participates in the development of specifications or terms or in the preparation or award of the contract. A public officer is also involved in making a contract if the board, commission, or other body of which he or she is a member takes action on the contract, whether or not the public officer actually participates in that action, unless the contract is approved under an exception to this section under which the public officer is allowed to benefit and is prohibited from voting.
 - (4) A public officer or employee derives a direct benefit from a contract if the person or his or her spouse: (i) has more than a ten percent (10%) ownership or other interest in an entity that is a party to the contract; (ii) derives any income or commission directly from the contract; or (iii) acquires property under the contract.
 - (5) A public officer or employee is not involved in making or administering a contract solely because of the performance of ministerial duties related to the contract.
- (b) Subdivision (a)(1) of this section does not apply to any of the following:
 - (1) Any contract between a public agency and a bank, banking institution, savings and loan association, or with a public utility regulated under the provisions of Chapter 62 of the General Statutes.
 - (2) An interest in property conveyed by an officer or employee of a public agency under a judgment, including a consent judgment, entered by a superior court judge in a condemnation proceeding initiated by the public agency.
 - (3) Any employment relationship between a public agency and the spouse of a public officer of the agency.
 - (4) Remuneration from a public agency for services, facilities, or supplies furnished directly to needy individuals by a public officer or employee of the agency under any program of direct public assistance being rendered under the laws of this State or the United States to needy persons administered in whole or in part by the agency if: (i) the programs of public assistance to needy persons are open to general participation on a nondiscriminatory basis to the practitioners of any given

profession, professions or occupation; (ii) neither the agency nor any of its employees or agents, have control over who, among licensed or qualified providers, shall be selected by the beneficiaries of the assistance; (iii) the remuneration for the services, facilities or supplies are in the same amount as would be paid to any other provider; and (iv) although the public officer or employee may participate in making determinations of eligibility of needy persons to receive the assistance, he or she takes no part in approving his or her own bill or claim for remuneration.

(b1) No public officer who will derive a direct benefit from a contract entered into under subsection (b) of this section may deliberate or vote on the contract or attempt to influence any other person who is involved in making or administering the contract.

(c) through (d) Repealed by Session Laws 2001-409, s. 1, effective July 1, 2002.

(d1) Subdivision (a)(1) of this section does not apply to (i) any elected official or person appointed to fill an elective office of a village, town, or city having a population of no more than 15,000 according to the most recent official federal census, (ii) any elected official or person appointed to fill an elective office of a county within which there is located no village, town, or city with a population of more than 15,000 according to the most recent official federal census, (iii) any elected official or person appointed to fill an elective office on a city board of education in a city having a population of no more than 15,000 according to the most recent official federal census, (iv) any elected official or person appointed to fill an elective office as a member of a county board of education in a county within which there is located no village, town or city with a population of more than 15,000 according to the most recent official federal census, (v) any physician, pharmacist, dentist, optometrist, veterinarian, or nurse appointed to a county social services board, local health board, or area mental health, developmental disabilities, and substance abuse board serving one or more counties within which there is located no village, town, or city with a population of more than 15,000 according to the most recent official federal census, and (vi) any member of the board of directors of a public hospital if all of the following apply:

- (1) The undertaking or contract or series of undertakings or contracts between the village, town, city, county, county social services board, county or city board of education, local health board or area mental health, developmental disabilities, and substance abuse board, or public hospital and one of its officials is approved by specific resolution of the governing body adopted in an open and public meeting, and recorded in its minutes and the amount does not exceed twenty thousand dollars (\$20,000) for medically related services and forty thousand dollars (\$40,000) for other goods or services within a 12-month period.
- (2) The official entering into the contract with the unit or agency does not participate in any way or vote.
- (3) The total annual amount of contracts with each official, shall be specifically noted in the audited annual financial statement of the village, town, city, or county.
- (4) The governing board of any village, town, city, county, county social services board, county or city board of education, local health board, area mental health, developmental disabilities, and substance abuse board, or public hospital which contracts with any of the officials of their governmental unit shall post in a conspicuous place in its village, town, or city hall, or courthouse, as the case may be, a list of all such officials with whom such contracts have been made, briefly describing the subject matter of the undertakings or contracts and showing their total amounts; this list shall cover the preceding 12 months and shall be brought up-to-date at least quarterly.

(d2) Subsection (d1) of this section does not apply to contracts that are subject to Article 8 of Chapter 143 of the General Statutes, Public Building Contracts.

(d3) Subsection (a) of this section does not apply to an application for or the receipt of a grant under the Agriculture Cost Share Program for Nonpoint Source Pollution Control created pursuant to Article 72 of Chapter 106 of the General Statutes, the Community Conservation Assistance Program created pursuant to Article 73 of Chapter 106 of the General Statutes, or the Agricultural Water Resources Assistance Program created pursuant to Article 5 of Chapter 139 of the General Statutes by a member of the Soil and Water Conservation Commission if the requirements of G.S. 139-4(e) are met, and does not apply to a district supervisor of a soil and water conservation district if the requirements of G.S. 139-8(b) are met.

(d4) Subsection (a) of this section does not apply to an application for, or the receipt of a grant or other financial assistance from, the Tobacco Trust Fund created under Article 75 of Chapter 143 of the General Statutes by a member of the Tobacco Trust Fund Commission or an entity in which a member of the Commission has an interest provided that the requirements of G.S. 143-717(h) are met.

(d5) This section does not apply to a public hospital subject to G.S. 131E-14.2 or a public hospital authority subject to G.S. 131E-21.

(d6) This section does not apply to employment contracts between the State Board of Education and its chief executive officer.

(e) Anyone violating this section shall be guilty of a Class 1 misdemeanor.

(f) A contract entered into in violation of this section is void. A contract that is void under this section may continue in effect until an alternative can be arranged when: (i) immediate termination would result in harm to the public health or welfare, and (ii) the continuation is approved as provided in this subsection. A public agency that is a party to the contract may request approval to continue contracts under this subsection as follows:

(1) Local governments, as defined in G.S. 159-7(15), public authorities, as defined in G.S. 159-7(10), local school administrative units, and community colleges may request approval from the chair of the Local Government Commission.

(2) All other public agencies may request approval from the State Director of the Budget.

Approval of continuation of contracts under this subsection shall be given for the minimum period necessary to protect the public health or welfare. (1825, c. 1269, P.R.; 1826, c. 29; R.C., c. 34, s. 38; Code, s. 1011; Rev., s. 3572; C.S., s. 4388; 1929, c. 19, s. 1; 1969, c. 1027; 1975, c. 409; 1977, cc. 240, 761; 1979, c. 720; 1981, c. 103, ss. 1, 2, 5; 1983, c. 544, ss. 1, 2; 1985, c. 190; 1987, c. 570; 1989, c. 231; 1991 (Reg. Sess., 1992), c. 1030, s. 5; 1993, c. 539, s. 145; 1994, Ex. Sess., c. 24, s. 14(c); 1995, c. 519, s. 4; 2000-147, s. 6; 2001-409, s. 1; 2001-487, ss. 44(a), 44(b), 45; 2002-159, s. 28; 2006-78, s. 2; 2009-2, s. 2; 2009-226, s. 1; 2010-169, s. 2(a); 2011-145, ss. 13.22A(dd), 13.23(b).)

Potential Conflict Scenarios Due to NCGS 14-234

(Responses provided by Frayda S. Bluestein, David M. Lawrence Distinguished Professor of Public Law and Government, University of North Carolina at Chapel Hill, School of Government).

All Workforce Development Board (WDB) Members are considered public officers appointed to serve or represent a public agency under an interpretation of NCGS 14-234. Local Workforce Development Board Members, who are unpaid volunteers, provide oversight to local activities funded with federal Workforce Innovation and Opportunity Act (WIOA) resources.

General Comments:

Responses below are based on North Carolina Statutes, mainly G.S. 14-234 and 234.1. Since there is federal money involved in this program, you would also want to look at any federal or state regulations that deal with conflicts of interest in contracting and voting. Sometimes they are broader than what we have in state law. Also, some of these scenarios do not involve legal issues but may create ethical or perception issues. In general, it is a good policy to avoid the appearance that businesses have connection to people who are on the board derive some advantage from that connection. It's a good practice to make sure the WDB undertakes steps to avoid that perception, for example, by opening contracting and training opportunities broadly and avoiding board Members voting on matters involving their employers or business associates.

Possible scenarios:

1. A WDB Member, who is also the owner of a private company, wins the bid through a WDB competitive procurement to provide training services to customers. He has abstained from any discussion or voting on the WDB decisions regarding the procurement.

If the WDB awards this contract, and it is a contract with that entity, then there would be a violation of G.S. 14-234, since a prohibited contract occurs if a person has a "direct benefit". One definition of direct benefit is that the person owns 10% or more of the company that is contracting with the agency. It is not possible to avoid liability under this statute by abstaining from voting. If there is an exception that applies, then the person with the direct benefit is required to refrain from voting and participation in discussion. I don't know of an exception that would apply here so the contract would be void, and the Member would be subject to prosecution for a misdemeanor. That is not likely to happen but obviously this should be avoided.

2. During an on-the-job training period, a company providing the training pays wages to the WIOA participant and is then reimbursed by the WDB with WIOA funds. A WDB Member is a senior executive within the company that trains the participant and receives the wage reimbursement.

I don't see legal violation here. The payment is a reimbursement, and there is no evidence that the WDB Members owns the company or derives income or commission directly from the contract. Indeed, even G.S. 14-234 has an exception that allows reimbursement under public assistant

programs if certain protections are in place. (See subsection (b)(4).) Along those lines, I would note that if there was a decision by the WDB regarding the selection of the company to provide the training, this board Member should probably not participate in that process or vote. As noted above, I do not know if these boards have procedural rules or conflict of interest policies, but it

might good to consider some rules about participation in these decisions when there is connection, even if it is not a legal conflict.

WDB has staff from a local bank to present at a financial management workshop where customers are allowed to sign up for bank services. A representative from that local bank is a WDB Member.

This situation might invoke the prohibition in G.S. 14-234.1 if it could be shown that the board Member used his WDB position or information he had because of his service on the WDB to benefit his employer or himself. Even if there is no violation of the statute, it seems to me that this person should not be involved in the process of choosing the bank and that the board should take steps to avoid the appearance of favoritism.

3. WDB offers a job/ health fair and uses a local healthcare provider to provide free screenings to the public. A representative of the local healthcare provider is a WDB Member.

It is not clear that the Member in this scenario benefits from the arrangement, but it seems possible that the provider might benefit from the exposure to new clients/patients. If that is correct then the issue is whether the Member/representative was involved in the decision to choose the provider in violation of G.S. 14-234.1 and even if not, did the process create an appearance of favoritism.

4. WDB offers a job/ health fair and uses a local healthcare provider to provide screenings to the public for a minimal fee. A representative of the local healthcare provider is a WDB Member.

Same as above, although in this case there is a benefit to the provider so again, possible violation of 14-234.1 or possible appearance of favoritism.

5. WDB hosts a workforce summit and provides door prizes - free tickets from a well-known amusement park and a complimentary stay at a local resort. Both businesses have Members on the WDB.

I don't know of any legal problem with this. I suppose some might feel that they are using this opportunity to promote their businesses. The matter might look bad if they are the only ones allowed to provide door prizes. If there are other businesses that provide door prizes, it seems to me there is less of an appearance issue.

6. WDB has competitively procured the purchase of t-shirts for WIOA program participants. The successful bidder is a WDB Member. He has abstained from any discussion or voting on the WDB decisions regarding the procurement.

See answer to question #1. It doesn't matter that the contract was competitively bid or that the person didn't participate in voting or discussion. It's still a violation of G.S. 14-234.

7. WDB Members use the services of public Career Centers (which WDBs oversee) to screen potential employees. (This is a free service provided to all employers).

I don't see any legal problem with this. It could be awkward if there was a dispute about an employee and the Member ends up in an adversarial position with the WDB, but that seems unlikely.

8. In which scenario(s) should only a conflict of interest policy be employed; rather than disqualifying the citizen from being a WDB Member?

None of the statutes require a citizen to be removed, but in some cases, a person might have to make a decision about whether they want to have the contract or be on the board. Scenarios 1 and 8 involve that kind of issue. I do think that it is important to make sure that Members understand the limitations serving on the board might create. It's good to have business people on the board but a good policy and a good understanding of the legal and perception issues will be important to maintain credibility of the board and its work.



NWDB CODE OF CONDUCT

NO WORKFORCE DEVELOPMENT BOARD MEMBER, COMMITTEE MEMBER, PROGRAM OPERATOR, OR BOARD STAFF SHALL:

- a. Accept any financial benefit, direct or indirect, from any source other than their employing company/agency as a result of the performance of official duties under Workforce Innovation and Opportunity Act activities.
- b. Accept any position, whether compensated or uncompensated, which will impair independence of judgment in the exercise of official duties.
- c. Accept any position or engage in any business which will require the disclosure of confidential information gained by reason of official position.
- d. Disclose confidential information acquired during the performance of official duties or use such information to further personal gain.
- e. Use or attempt to use official position to secure personal privileges or exemptions or which would give the appearance of such.
- f. By conduct, writing or other communication, give a reasonable person the impression that official duties may be improperly influenced.
- g. Violate any Board conflict of interest, statute, or law.
- h. Take part in any religious or anti-religious activity in the discharge of official responsibilities.
- i. Participate in any effort to violate any other applicable federal, state and local laws and regulations.
- j. Conflict of Interest. It shall be a breach of ethical standards for any WIOA board/committee/staff member or program operator to participate directly or indirectly in procurement when the member knows that:
 - (1) The WIOA board/committee/staff Member or Program operator or any member of their immediate family has a financial interest pertaining to the procurement;

- (2) A business or organization in which the WIOA board/committee/staff Member/or program operator or member of their immediate family has a financial interest pertaining to the procurement; or
 - (3) Any other person, business, or organization with whom the WIOA board/committee/staff Member or program operator or member of their immediate family is negotiating or has any arrangement concerning prospective employment is involved in the procurement.
- k. **Financial Interest in a Blind Trust.** Where a WDB or committee member or any member of their immediate family holds a financial interest in a blind trust, the WDB or committee member shall not be deemed to have a conflict of interest with regard to WDB or committee matters pertaining to that financial interest.
- l. **Discovery of Actual or Potential Conflict of Interest.** Upon discovery of an actual or potential conflict of interest, a WIOA board/committee/staff member or programs operator shall promptly inform their supervisor or WDB or committee chair and shall withdraw from participation in the transaction involved and further discussion and voting. Further, should a WIOA board/committee/staff member or program operator reasonably perceives an undisclosed conflict or potential conflict exists for another member, it is the duty and obligation of that person to make the matter immediately known to their supervisor or WDB or committee Chair, or other appropriate official for immediate resolution.

Violations of any provision of this Code of Conduct by a Board Members, Committee Members, Board staff, or program operators may cause immediate dismissal. All are subject to any penalties, sanctions or other disciplinary measures set forth in applicable federal, state or local laws.

By my signature below, I acknowledge that I have received a copy of this Code of Conduct, have reviewed the same, and understand the provisions contained therein.

Printed Name

Signature

Date



*ACCOUNTING POLICIES
AND
PROCEDURES MANUAL*

Updated January 2022

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INTRODUCTION

This guide is developed for the benefit of the Albemarle Commission (herein referred to as the Commission) staff and officials responsible for the financial administration of the Commission. It states the policies of the Commission regarding local government finance, the related laws and applicable accounting standards mandated or suggested by authoritative bodies.

Written policies and procedures are essential to the successful functioning of any local government. They help to prevent the deterioration of key elements in a governments internal control structure. They also provide invaluable assistance in training new personnel. Written policies and procedures also provide important points of reference for more seasoned staff and officials, and assist the independent auditor in their conduct of the annual audit.

I. CHART OF ACCOUNTS

Purpose

The chart of accounts is designed to provide a uniform and orderly list from which the Commission can select the accounts applicable to the Commission's accounting needs. This classification system is intended to be used for budgeting, accounting, and reporting purposes. The test of the adequacy of a classified system must be whether or not it provides the information needed for administrative and reporting purposes. The classification system should furnish the required information in the quickest, clearest, and most economical manner possible.

The accounts of the Commission are organized and operated on a fund basis. A fund is an independent fiscal and accounting entity with a self-balancing set of accounts recording its assets, liabilities, fund balance, revenues, and expenditures. The minimum number of funds is maintained consistent with the requirements of federal and state laws.

In the object code designation portion of the Commission's account codes, the 100 series represents assets, the 200 series represents liabilities, the 300 series represents fund equity, the 400 series represents revenues, and the 500 series represents expenditures. The sub-code portion of the account code provides for additional detail of a particular type of asset, liability, equity, revenue, or expenditure.

The Commission's active chart of accounts can be found on the X Drive, in the Public Folder, under the Forms folder.

II. BUDGET

BUDGET PREPARATION

The Commission is subject to the budget provisions in the NC General Statutes Chapter 159, Subchapter 3, Article 3, Budget and Fiscal Controls. The Executive Director is the designated Budget Officer. NC GS 159-13 (a) states the Governing Board shall adopt a Budget Ordinance no later than July 1. NC GS 159-10 through 159-13 shows the dates on which the specific actions may take place. It is recommended that these dates be advanced to assure better analysis and presentation of the budget to the Governing Board.

Budget Calendar

<u>Deadline</u>	<u>Process</u>
February	Work plan for the budget process developed. Information necessary to develop the budget should be made available to the Budget Officer and Program Directors. This data includes actual revenues and expenditures for the previous fiscal year, actual revenues and expenditures through December of the current fiscal year, and estimated revenues and expenditures for the entire current fiscal year, as well as current salaries and wages for all employees.
March	Program Director's budget requests are due to the Finance Officer. Budget meetings with the Program Directors, Executive Director, and Finance Officer are held. Draft budget submitted to Albemarle Regional Health Services (herein referred to as ARHS), the Commission's contracted accounting entity.
By April 30 th	Budget and budget message presented to the Board of Commissioners for review. Statement published stating the budget has been presented to the Governing Board and date of public hearing. The hearing cannot be held earlier than 10 days after the budget has been presented to the Board of Commissioners. A copy of the budget is filed with the Commission's clerk to make available for public review.
May	Public hearing held during the Commission's May board meeting. Any final changes to the budget can be made at this time.

By June 30th

Budget ordinance adopted by the Board of Commissioners. This usually takes place during the Commission's June board meeting. If needed, a special meeting of the Board can be held to adopt the budget ordinance prior to June 30th.

Procedure

1. ARHS sends Finance Officer the data needed to develop the entire Commission budget. Data includes actual revenues and expenditures for the previous fiscal year, actual revenues and expenditures through December of the current fiscal year, and estimated revenues and expenditures for the entire current fiscal year.
2. The Budget Officer develops overall budget policies, such as estimated salary increases and County and Municipality dues rates, in conjunction with information supplied by the Finance Officer.
3. Finance Officer separates data received from ARHS by department to send to Program Directors. Finance Officer also calculates the estimated salaries and benefits, as well as the Indirect Rate (See section III – Indirect Costs), to send to Program Directors for budget preparation.
4. Program Directors prepare revenue and expenditure budgets for each grant program in their department. Program Directors are given two weeks to complete their estimated budgets. Once complete, the estimated budgets are returned to the Finance Officer.
5. Finance Officer compiles all program budgets into one Commission budget and sends it to the Budget Officer for review.
6. Budget Officer and Finance Officer meet with each Program Director individually to discuss their budget, and any concerns the Budget Officer may have.

7. After all Program Director meetings have been completed, the Budget Officer and Finance Officer make any needed changes. The Finance Officer ensures the budget revenues and expenses are balanced. The draft budget is then submitted to ARHS.
8. The Executive Director prepares the budget message, and the Finance Officer prepares the Budget Ordinance to present to the Governing Board, along with the detailed budget, by April 30th.
9. The Clerk to the Board advertises in the local newspaper that the budget has been submitted to the Governing Board, a copy is available for reading at the administrative office, and the date of the public hearing.
10. Hold the public hearing during the Commission's May board meeting.
11. The Governing Board should adopt the Budget Ordinance no later than June 30th. The Budget Ordinance should show total revenues by program, as well as total expenditures by program. The Clerk to the Board should record in the minutes the adoption of the Budget Ordinance.

The basic legal requirements for administering the budget, found in NC GS 159-26, requires the accounting system reflect the amounts of revenues and expenses contained in the Budget Ordinance as originally adopted, and subsequently amended, and requires the Finance Officer preaudit all purchase orders and contracts which obligate the unit and all checks which disburse its funds. This preaudit requires there be enough unencumbered funds in the program to be charged. It is unlawful to issue a purchase order or check if there is not enough unencumbered funds within the program.

BUDGET POSTING

Procedure

1. ARHS will post estimated revenues and expenses as recorded in the original Budget Ordinance to the appropriate general ledger accounts.
2. ARHS will post amendments to the budget, as provided by the Finance Officer, in the appropriate general ledger accounts.

BUDGET AMENDMENTS

Budget amendments are created in three situations:

1. Amend the initial budget when true fund availability or carry-forward is established. This may cause an increase or decrease in revenues and expenditures. Requires Board approval.
2. As funds become available from new grants or additional funding during the fiscal year. This will cause an increase in revenues and an increase in expenditures. Requires Board approval.
3. To facilitate line item transfers within a fund for future expenditures or to correct negative line item balances during the fiscal year. This will cause an increase or decrease in expenditures only. Requires Budget Officer approval only.

Procedure

1. Either at the request of a Program Director, or the Executive Director, or when deemed necessary, the Finance Officer will generate a budget amendment form.
2. The following items must be completed on the form:
 - Fiscal year to be amended
 - Voucher number – numbers are consecutive and unique
 - Period entered into – this is the month for which the budget amendment will be entered
 - Department
 - Revenue (if Applicable) – enter account number, description, and amount
 - Expense – enter account number, description, and amount.

Reason – provide the purpose of the budget amendment

3. For expense line item transfers, decreases must equal increases.
4. When revenue is increased, expenses must be increased. When revenue is decreased, expenses must also decrease.
5. For line item transfer amendments, forward the suggested budget amendment, and any supporting documentation, to the Budget Officer for review and approval.
6. If Board approval is required, the budget amendment and supporting documentation is included in the Board Agenda for voting and approval.
7. Once the budget amendment is approved by either the Budget Officer, or the Governing Board, the Finance Officer forwards the amendment to ARHS for entry into the MUNIS system. A copy of the budget amendment is kept in the Finance Office.

III. Indirect Cost Plan

Indirect Cost Plan Preparation

Indirect Costs are those costs which are common to all programs. Examples include, but are not limited to, rent, telephones, utilities, administrative staff salaries, benefits and travel, legal fees, audit fees, insurance fees, board expenses, leases on some office equipment, training and staff development, general office equipment and supplies, IT services, advertising, and bank fees. The Commission prepares an Indirect Cost Rate Proposal annually, in accordance with 2 C.F.R. part 200. A copy of the proposal is kept on file in the Finance Office.

Procedure

1. Finance Officer, in conjunction with the Executive Director, prepares an Indirect Cost budget for the upcoming fiscal year, based on estimated expenditures for the current fiscal year, along with any expected changes for the upcoming fiscal year.
2. Finance Officer prepares an estimate of direct staff salaries and benefits paid by all programs. The total of all direct salaries and benefits is used to calculate the Indirect rate.
3. The total Indirect Cost budget is divided by the total of all direct salaries and benefits. The result is the Indirect rate to be charged to all programs.

Some grants received by the Commission allow for a flat fee for Indirect costs, and therefore are not subject to the Indirect rate charged to other programs.

Accounting for Indirect Costs

The Commission's annual budget includes a fund for Indirect Costs, to include administrative salaries and benefits, as well as Indirect operating expenses. Expenses are accrued through accounts payable and payroll. Indirect revenues are calculated by ARHS on a monthly basis, after payroll has been posted. ARHS determines the amount of Indirect owed by each program and creates a journal voucher. The

Finance Officer reviews and approves the journal voucher. If there are any errors, the journal voucher is updated by ARHS prior to the Finance Officer approving the voucher. Once the journal voucher is approved by the Finance Officer, ARHS posts the Indirect Revenue to the Indirect fund, and posts the expense to all programs as shown on the journal voucher.

Annual Adjustment of Final Indirect Costs

Revenues and expenditures in the Indirect fund must zero out at the end of the fiscal year. After all accruals have posted, the Finance Officer must review actual Indirect revenues and expenditures and make the needed adjustments.

Procedure

If revenues are greater than expenditures, the excess revenues must be credited to the programs on a pro-rated basis.

1. The Finance Officer determines the amount of excess revenues.
2. The Finance Officer determines the percentage rate each program paid toward the Indirect revenue.
3. The Finance Officer multiplies each programs percentage rate by the excess revenues to determine the amount each program should be credited.
4. The Finance Officer informs ARHS how much credit should be applied to the next fiscal year for each program.
5. ARHS creates a journal voucher to post the credit from the fiscal year to the Indirect Revenues for the upcoming fiscal year, and sends to the Finance Officer for approval.
6. Once the journal voucher is approved by the Finance Officer, ARHS posts the credit to the Indirect fund.

If Indirect revenues are less than expenditures, the Commission has two options to cover the excess costs. The method chosen should be that which is most economical in the judgement of the Finance Officer and Executive Director.

Option A

Excess expenditures can be covered by the Commission's fund balance, up to the point that allocated revenues equal actual expenditures. This is the most practical/efficient way of dealing with minor cost adjustments after all final reports have been completed.

Option B

Excess expenditures can be charged to the programs on a pro-rated basis.

Procedure

1. Finance Officer determines the amount of excess expenditures.
2. Finance Officer prepares a schedule of total direct salaries and fringe benefits. The percentage of each program is determined and that percentage is used to allocate the additional cost to each program.
3. Finance Officer informs ARHS of additional amount to charge each program for Indirect costs.
4. ARHS prepares journal voucher for review and approval by Finance Officer.
5. Once the journal voucher is approved, ARHS makes the appropriate expenditure entries in each program, and posts the revenue to the Indirect fund.

IV. Purchasing

The Purchasing Process

The purchasing process is designed to provide a proper system of internal control over purchasing to insure that the proper authorizations are obtained BEFORE items are purchased and to ensure that statutory requirements for purchasing are followed. These statutory requirements include, but are not limited to, ensuring that purchases of goods and services are made at reasonable prices in a fair and openly competitive way.

Preaudit

The Local Government and Fiscal Control Act requires that any obligation of funds (a commitment to pay for products or services) be preaudited. A preaudit is an assurance by the Finance Officer that funds are available within the budget ordinance.

Disadvantaged Business Opportunity

In order to provide maximum contracting opportunities to minority business enterprises (MBE's), women's business enterprises (WBE's), and disabled business enterprises (DBE's), the Commission will comply with the disadvantaged business goals as set forth in Article 3E, subject to NC GS 143-128, 143-128.2, and 143-129.

It is programmatic responsibility to settle and satisfy all contractual and administrative issues arising out of contracts under a program grant. Compliance with goals and benchmarks for disadvantaged business opportunities (aka MBE's, WBE's, DBE's), and the reporting of those efforts and results are programmatic responsibilities.

Cost and Price Review

As a local government, the Commission is eligible to use the State E-Procurement process and benefit from statewide contracts that have already been negotiated. When purchasing equipment and supplies, please first consult with the Finance Officer or Program Administrative Coordinator to check the State E-Procurement process and State Purchase and Contract for the best available pricing. When purchasing

equipment, an evaluation of whether it is more economical to lease rather than purchase must be done. Equipment for Commission purposes is tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per complete working unit. For equipment purchased with Federal funds the same definition applies except that the acquisition cost is \$5,000 or more. The evaluation of lease vs. purchase, when applicable, as well as all other criteria used during the decision making process, i.e. pricing, quality, availability and dependability, etc., should always be documented and submitted with Purchase Order information.

Code of Conduct

No employee, office or agent (employee) may participate in the selection, award, or administration of a contract if the employee, any of the employee's family members or partners, or an organization which employs or is about to employ any of these persons, has a financial or other interest in the organization selected for the contract. This would be an inappropriate conflict of interest.

A Commission employee cannot solicit or accept gratuities, favors, or anything of monetary value from Commission contractors. If any employee violates this policy, that employee is subject to disciplinary action.

Debarment and Suspension

No contract will be awarded to any person (organization or individual) debarred or suspended, or otherwise excluded from, or ineligible for, participation in Federal assistance programs (40 CFR 31.35). Programmatic responsibility for a contract includes ensuring that a contractor does not award a subcontract to any person debarred or suspended, or otherwise excluded from, or ineligible for, participation in Federal assistance programs.

The list of debarred, suspended, and excluded persons can be found at: www.epls.gov . When searching this site, search by the name of the contractor, not by agency, to ensure all debarred, suspended, or otherwise excluded contractors are found. Some debarred contractors are ineligible under only certain programs. Document the cause and treatment code to determine the circumstances related to each contractor. It may be necessary to contact the agency which imposed the suspension, debarment, or exclusion to determine the effect of the action.

Lobbying Activity

No payment or agreement to pay may be made with any grant funds awarded to the Commission for the purpose of influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of Congress in connection with a covered Federal action. No employee may engage in any lobbying activity while representing the Commission without prior approval from the Executive Director.

Purchasing Procedures

Requests for purchasing approval should be made on the Purchase Order form.

1. Requestor should complete the following fields on the Purchase Order form:
 - Vendor name and contact information
 - Date of Request
 - Employee requesting purchase
 - Quantity, description, and price of item(s) to be purchased
 - Program account code and expense line to be charged
 - Subtotal, including shipping and tax
 - If a credit card purchase, note in terms field whose card will be used.
 - Use of a credit card requires a completed purchase order.
2. Requestor's Program Manager or Program Director must approve the Purchase Order. All Purchase Orders require the initial approval of either the Program Manager or Program Director of the staff making the request. In the absence of both, the Executive Director may approve the request.
3. Once appropriate approvals have been obtained, the Purchase Order form, and all supporting documentation, is sent to the Finance Officer for approval.
4. Finance Officer reviews the most current Revenue & Expense report to determine the availability of funds in the account to which the purchase order is being charged.

5. Finance Officer signs the preaudit certification on the Purchase Order form, and writes the Purchase Order number on the form.
6. Finance Officer records the Purchase Order information on an excel sheet stored on the share drive, and uploads a copy of the Purchase Order, and all supporting documentation, to the share drive.
7. Purchase Orders over \$1,000.00 require the approval of the Executive Director after the Finance Officer preaudits the Purchase Order and issues a Purchase Order number.
8. Finance Officer returns the Purchase Order form, and all supporting documentation, to the requestor to make the purchase.
9. Once goods are received, the requestor checks to see that all items are received in satisfactory condition, and notes "Received" and the date on the Purchase Order form. Any packing lists or shipping information should be attached to the Purchase Order form. Purchase Order form, and all supporting/shipping documentation should be attached to the invoice for payment. The vendor's invoice will not be paid without a receiving record and copy of the purchase order.
10. If the good is inventoried equipment, a new asset form must be completed, and the item entered on the inventory list.

When NOT to issue a Purchase Order:

1. The initial control procedures have been superseded and the purchase order no longer serves the purpose. The invoice for such a situation should be coded with the proper account number, explanation notes as to why there is no purchase order, an approval for payment according to grant requirements by the person making the order, and then given to the Finance Officer for verification of funds available and processing for payment.

2. A check request may be used in lieu of a purchase order when prepayment is required. Attach two copies of the order form, one to send with the check, one for accounting files.

3. If you don't know who you will be purchasing from, i.e. multiple purchases for a special event. Email the Finance Officer with the date, event, description of good, expected budgeted amount, and grant code. The Finance Officer's response will be the preaudit. This should be printed, receipts attached, and submitted for processing. Communication in advance about purchasing needs can prevent errors, reduce paperwork, and minimize financial constraints.

4. If the expense is for an emergency and not planned in advance, an email to the Finance Officer as soon as possible, preferably before the purchase, with information about the purchase and grant to be charged will constitute a preaudit. When emailing on the same day is not possible, a phone call to the Finance Officer is better than nothing. These situations should be infrequent.

Instructions for conference or workshop registrations and other travel arrangements are covered in the Travel section of the Albemarle Commission Personnel Policy.

Bid Process

Material items of unit value of \$30,000 or more require the bid process. Obtain approval from the Finance Officer before proceeding.

Procedure

1. Write bid specifications.

2. Distribute bid request and specifications to vendors.

3. Advertise bid opening in local newspaper at least one week prior to bid opening.

4. Receive sealed bids from bidding vendors.
5. Hold bid opening at a time and place announced in local newspaper.
6. Tabulate bids and submit results to the Executive Committee.

Environmentally Preferable Purchasing Resolution

In an effort to minimize any negative environmental impact, this guideline is to be used as much as possible when purchasing supplies for the Commission.

V. Cash Receipts

Employees who receive money belonging to the Commission are required to deposit these funds in accordance with NC GS 159-32.

Procedure

1. All funds received are logged using the Cash Receipt Transmittal form. The reporting employee records the date, payer name, check number (if applicable), reason for payment, and amount, and then prints two copies.
2. The reporting employee signs on the reporting signature line on both copies.
3. All checks must be stamped "For Deposit Only".
4. All funds are verified by another staff member who then signs on the verifying signature line on both copies of the Cash Receipt Transmittal form.
5. The reporting employee makes one copy of the Cash Receipt Transmittal form after all signatures have been obtained.
6. The two original signed copies of the Cash Receipt Transmittal form, and all checks and/or cash are submitted to ARHS in a locked bank bag for deposit.
7. ARHS staff member deposits all funds and another ARHS staff member posts the funds to the general ledger.
8. ARHS staff member signs and dates one copy of the Cash Receipt Transmittal form and returns to the Commission as proof of deposit.
9. All copies are kept in a binder in the Finance Office.

Some grant funds are received by Electronic Funds Transfer (EFT) into the Commission's operating account. When these funds are received, they are recorded by ARHS using a journal entry.

Procedure

1. ARHS notifies the Commission's Finance Officer of the amount, date, and description of deposit received.

2. The Finance Officer or Financial Support Specialists respond with the account name(s) and number(s) to which funds should be posted.

3. ARHS creates a journal voucher based on the information received and sends it to the Commission's Finance Officer for review and approval.

4. The Finance Officer signs and returns the approved journal voucher to ARHS for processing.

5. All copies of approved journal vouchers are kept on file in the Finance Office.

VI. Cash Disbursements

Effective management of cash disbursements involves the receipt, control, classification, and preparation for payment of vendors' bills, check requests, and other financial obligations of the Commission. Under the system described herein, all such obligations, except payroll, are entered in the cash disbursements journal as debits to the appropriate expense or balance sheet accounts and as credits to cash.

Processing Vendor Invoices

Procedure

1. Invoices go to each departments Financial Support Specialist, or in the case of Indirect expenses, the Finance Officer.
2. The Financial Support Specialist or Finance Officer compares the description, quantity, and price of each item on the invoice with related items on the packing slip and purchase order, noting and investigating any discrepancies.
3. The Financial Support Specialist or Finance Officer verifies extensions (quantity times unit price) and checks addition of amounts on invoices.
4. The Financial Support Specialist or Finance Officer enters the account number to be charged on the invoice and attaches the purchase order copy and receiving documentation behind the invoice. Check to see if a discount is offered if paid by a certain date, and make sure the invoice is paid in time to receive the discount.
5. The Financial Support Specialists then forward their departments invoices to their Program Director for review and approval.

6. After all invoices are approved by the Program Directors, invoices are submitted to the Finance Officer for final approval to ensure budget codes and amounts are correct.
7. The Finance Officer submits invoices for Indirect expenses to the Executive Director for final approval.
8. Any invoice over \$1,000.00 must be approved by the Executive Director.
9. After all signatures have been obtained, the Finance Officer returns the invoices to the Financial Support Specialists so they can make copies of their department's invoices. Each department keeps their own copies of their invoices.
10. All original invoices are returned to the Finance Officer to submit to ARHS for payment. Checks are cut twice a month.

Credit Card Purchases

The Commission has credit cards or charge accounts with Wells Fargo, Food Lion, Fleet Management Systems, and Lowe's Home Improvement. These credit cards or charge accounts are used when checks are not an option for payment of a preaudited expense. Payments using these accounts require the inability to pay by check due to time constraints, vendor requirements, or purchase methods, such as online purchases. A Purchase Order must be completed and approved prior to making any purchases with the credit card or charge account, with the exception of the Fleet Management account for gas purchases.

If a credit card needs to be used to make hotel reservations, an authorized travel request form must be completed and presented to the Finance Officer who will then preaudit the expense and authorize the use of the credit card for the reservation as listed on the travel request. Only the room and tax, and any applicable parking fees, can be charged to the credit card. All other incidental charges allowed by the hotel to be charged to a room are the responsibility of the employee. If allowable, some incidental charges, such as meals charged to the room, can be reimbursed using the travel reimbursement request form if they meet the guidelines outlined in the travel section of the personnel policy.

Wells Fargo

The Commission currently has 5 Wells Fargo credit cards held by the Executive Director, Finance Officer, Area Agency on Aging Director, Area Agency on Aging Financial Support Specialist, and the Workforce Development Director, all who are personally liable for their cards. Each card has their own monthly spending cap.

The Finance Officer reviews the statements, allocates the charges to the appropriate cost codes, and attaches all credit card receipts and purchase order forms for the Executive Director and Finance Officer's credit card statements. The Financial Support Specialists for Aging and Workforce Development review the statements for their respective departments, allocate the charges to the appropriate cost codes, attach all credit card receipts and purchase order forms to the statements and turn all documentation into the Finance Officer. The Finance Officer adds all charges from the statements, sorted by County, onto an excel spreadsheet, listing all cost codes, charge amounts, and state and local taxes. The Executive Director approves payment and the bill and excel spreadsheet, along with all receipts and purchase orders, are sent to ARHS for payment.

All discrepancies and/or possible fraudulent charges for this card are reported to the Finance Officer. The Finance Officer opens a case with Wells Fargo, immediately closes the credit card account, and has a new card, with a new number issued.

Food Lion

The Commission has a retail charge account with Food Lion, with 4 cards tied to one master account. The cards are held by the Finance Officer, Workforce Development, and 2 cards for the Area Agency on Aging. The Food Lion charge account is not a revolving credit card. Each card has a unique PIN that must be used in conjunction with the card to make a purchase at Food Lion. At the end of the month Food Lion sends a statement of all charges. The Finance Officer reviews the statement and distributes a copy to each department that made purchases during the month. The Financial Support Specialists in each department allocate the charges to the appropriate cost codes, attach all receipts and purchase orders, obtain Program Director approval and return the statement to the Finance Officer. The Finance Officer reviews all documentation for correctness, approves the statement and returns to the correct department to make copies for their files. The original statement and all supporting documentation is returned to the Finance Officer to send to ARHS for payment. All charges to the Food Lion account require an approved Purchase Order prior to making the purchase.

Fleet Management Systems

The Commission maintains Voyager Gas Cards through Fleet Management Systems for all Commission owned vehicles. All gas cards are kept in the vehicles to be used by Commission employees. All cards have a 5 transaction per day limit and a \$5,000 monthly limit. Commission employees are assigned a PIN to enter when using a gas card. The Finance Officer reviews the bill on a monthly basis and allocates all charges to the appropriate cost codes. The Executive Director approves payment and the bill is sent to ARHS for payment.

Lowe's Home Improvement

The Commission maintains a charge account with Lowe's Home Improvement. All purchases made with this account require an approved purchase order. Lowe's sends a statement to the Commission on a monthly basis. The Finance Officer reviews the statement and distributes a copy to each department that made purchases during the month. The Financial Support Specialists in each department allocate the charges to the appropriate cost codes, attach all receipts and purchase orders, obtain Program Director approval and return the statement to the Finance Officer. The Finance Officer reviews all documentation for correctness, approves the statement and returns to the correct department to make copies for their files. The original statement and all supporting documentation is returned to the Finance Officer to send to ARHS for payment.

Preparation of checks

Procedure

1. Invoices, reimbursement requests, and check requests are received by Commission staff from vendors, clients, and other staff members, and processed twice a month; once around the 15th and once at the end of the month.
2. All invoices are stamped with the coding stamp.
3. Invoices are also stamped with the preaudit certification for the Finance Officer's signature, unless the purchase was pre-approved by a Purchase Order.

4. All invoices, reimbursement requests, and check requests are checked for completeness and accuracy, and coded to the correct cost code by the Financial Support Specialist in each department, or the Finance Officer for Indirect expenses.
5. All invoices, reimbursement requests, and check requests are forwarded to the appropriate department Director for approval after review and coding by the Financial Support Specialist or Finance Officer.
6. All department invoices, reimbursement requests, and check requests are forwarded to the Finance Officer for review and approval after obtaining department Director approval.
7. Finance Officer reviews and approves all invoices, reimbursement requests, and check requests from each department, forwarding any invoice over \$1,000.00 to the Executive Director for final approval. Finance Officer then returns everything to the Financial Support Specialist in each department.
8. Financial Support Specialists make copies of all invoices, reimbursement requests, and check requests for their files, and return originals to the Finance Officer.
9. Finance Officer forwards all original invoices, reimbursement requests, and check requests to ARHS Accounts Payable staff for processing.
10. ARHS enters all invoices, reimbursement requests, and check requests into Munis and generates checks. Checks are electronically signed by the Finance Officer and a member of the Commission Board. ARHS mails checks to vendors, and employee checks are returned to the Commission for distribution by the Finance Officer.
11. ARHS sends a Warrant Report to the Finance Officer listing all checks paid.

12. Warrant Report is compared to copies of invoices, reimbursement requests, and check requests for accuracy by each department. Check numbers are written on copies. Each department files their copies in their own vendor files.

Bank Reconciliation

Funds are deposited into accounts that use the pooling method for collateralization of public funds. Bank reconciliations are prepared on a monthly basis by ARHS. Completed reconciliations are forwarded to the Executive Director and Finance Officer for review and approval prior to posting any journal vouchers for interest and/or bank fees.

Escheating Policy

An Outstanding Check list is forwarded to the Executive Director and Finance Officer from ARHS on a monthly basis. This list is reviewed for possible escheatment of uncashed checks.

Procedure

1. Finance Officer forwards Outstanding Check list to each Financial Support Specialist for review.
2. Financial Support Specialists, or the Finance Officer (for Indirect expenses), contact any vendor with checks issued more than 60 days in the past to verify they received the check and determine why the check has not been cashed.
3. If an initial response is not received via phone, the Financial Support Specialist, or Finance Officer, mails a letter to the vendor's last known address.
4. If a response is still not received after attempted contact, the Commission will hold the funds for one year from date of letter mailed.

5. After one year, the Finance Officer reports the funds to the NC State Treasurer via the Unclaimed Property Reports, based on the NC Department of Treasury guidelines.

6. Finance Officer will process a check request to pay funds to the NC State Treasurer and forward to ARHS for processing.

VII. General Ledger

General Journal Entries

There are many transactions which must be recorded in the general ledger which are not included in the regular journal vouchers. These items are normally adjustments to ledger balances and distributions of costs to more than one cost center. These entries include, but are not limited to, payroll distributions, employer payroll costs, accrued payrolls, amortization of prepaid items, In-kind contributions, month-end and year-end closing entries, adjusting and reclassification entries, void and stop-payments on checks, bank statement adjustments, and other accruals.

These journal entries are prepared and posted by ARHS and sent to the Finance Officer for review and approval. Copies are kept in the Finance Office.

VIII. Capital Assets and Inventories

Capital assets are defined as tangible in nature and having a useful life of more than one year. Accounting classifications of capital assets are buildings, building improvements other than buildings, and equipment. Only assets with a value greater than \$5,000, for programs other than Workforce Development, will be recorded in the capital assets records. This value has been approved by, and is subject to, review by the Board. All costs required to make the asset ready for the intended use are capitalized. The cost of freight and installation are included in the capitalized cost.

Procedure

1. All fixed assets are tagged with an inventory sticker containing a pre-printed asset tag number, and a New Asset form must be completed, listing the asset tag number, description of the asset, funding source, asset category, location, date acquired, serial and model number, purchase price, date tagged, and date entered on the master inventory sheet. Copy of the invoice and purchase order should be attached to the form and turned into the Finance Officer.
2. Finance Officer adds the item to the master inventory list and files the New Asset form.
3. Physical inventory is completed annually to ensure accurate records of all assets are maintained.

Real property belonging to the Commission may be disposed of by one of the following methods with Board approval.

1. Private negotiation and sale.
2. Advertisement for sealed bids.
3. Public auction.

4. Exchange.
5. Donation to a qualified charitable organization or member government.

In order to dispose of property purchased with Federal funds, the Commission must obtain permission from the funding agency. Revenues received from the sale of federally funded items must be put back into the programs as outlined by federal guidelines. These revenues should be reported as program income to the granting agency. Grant guidelines must be followed as relates to the disposal of assets acquired with grant funds.

IX. Payroll

This policy will provide an overview of the payroll function. The payroll process begins with the hiring of personnel and ends with remittances to governments and other organizations for payroll taxes and other withholdings. The Commission, like other government employers, is subject to a wide variety of laws and regulations, including the provisions of the Fair Labor Standards Act. The major responsibilities over payroll can be separated into four functional areas – personnel administration, employee master file maintenance, payroll preparation and payment, payroll reports.

Personnel Administration

This function involves the process of interviewing and hiring employees, gathering forms related to employment and payroll, maintaining personnel files, and establishing personnel policies. Some of these activities may require the involvement of the governing board. See personnel policy for procedures relating to personnel administration.

Employee Master File Maintenance

When an employee is hired, an orientation session is conducted with the new employee. As part of that orientation, the Administrative & Benefits Coordinator completes the New Employee Checklist form.

All information necessary for payroll purposes for each employee is recorded in the employee master file. This file is established and maintained by the Administrative & Benefits Coordinator. Information required to establish this file, and to record changes to it, originate from the New Employee Checklist package and the Employee Change form. An Employee Change form provides a single form for authorizing all changes in personnel and payroll records. It is required for each new hire, termination, change in benefits, change in pay rate, promotion, demotion, transfer, or any other employee change.

Procedure

1. Administrative & Benefits Coordinator, or existing employee, depending on the change, completes the first section of the change form, and any additional sections required for the change.

2. Change form must be signed by Employee, Program Director, Administrative & Benefits Coordinator, Finance Officer, and Executive Director (last to sign on-site).
3. Original approved change form is forwarded to the payroll department at ARHS for processing.
4. ARHS will make the necessary changes, sign the change form, and return to the Commission to indicate changes have been made.
5. Original completed Employee Change form is filed in the appropriate personnel file by the Administrative & Benefits Coordinator.

Withholding and Exemption Certificates

State and federal income tax regulations require an employer to withhold income taxes from all employees on the payroll based on their earnings for a payroll period and the exemptions claimed by employees on the withholding certificates. When a withholding certificate is not furnished by an employee, the tax withheld is computed as though the employee has no exemptions. Separate forms are required for State and Federal withholding exemptions.

All new employees are required to submit completed State Form NC-4 and Federal Form W-4 upon hire. All existing employees should submit new completed forms when there is a change to their withholding, or tax laws. All employees claiming exemption should complete new forms each year, prior to February 15th. All forms are submitted to ARHS to update the employee's payroll record, and original forms are filed in the employee's personnel file.

Local Government Employees' Retirement System

All eligible employees, as outlined by NC GS 128-24, will be enrolled into the Local Government Employees' Retirement System (LGERS) managed through ORBIT. ARHS will set up the payroll deduction for the retirement contribution in the employee's deduction/benefits file.

Payroll Preparation and Payment

This function includes the preparation of time records for hourly employees and payroll preparation for full-time salaried employees, also the summation and calculation of gross pay, deductions, and net pay, the preparation of payroll checks and the maintenance of payroll records. The Commission's payroll cycle is monthly. To ensure that hourly employees are only paid for the actual hours worked, time sheets should be maintained on a daily basis and approved by the appropriate supervisor.

Procedure

1. Employees prepare a timesheet, completing the hours worked each day, for each program they support, then sign and date to verify accuracy of information. Employees should turn in timesheets to their supervisor based on the pre-determined pay period.
2. Employee's direct supervisor reviews timesheets for accuracy of information and signs and dates the timesheet.
3. All timesheets are forwarded to Program Directors to verify accuracy of information. Program Directors forward all timesheets to Finance Officer.
4. Finance Officer reviews timesheets for accuracy ensuring correct amount of hours, comp time, and compares paid leave hours to leave request slips. Finance Officer forwards Program Director and Administration timesheets to the Executive Director for signature.
5. Finance Officer scans all timesheets, separated by department, and emails to the Administrative and Benefits Coordinator and the payroll department at ARHS.
6. Finance Officer maintains timesheets in locked file in Finance Office until next pay cycle to ensure all comp time carries over to the next pay cycle correctly. Once comp time is verified, timesheets are turned in to the Administrative and Benefits Coordinator to file in each employee's personnel file.

7. ARHS enters payroll data and emails a payroll proof to the Finance Officer for review and approval.
8. Finance Officer verifies accuracy of report to include hours entered, and any changes that were made during the month. Administrative and Benefits Coordinator verifies deductions for benefits are correct. Once any errors have been corrected, and payroll report is accurate, Finance Officer gives ARHS approval to process payroll.
9. ARHS will process direct deposits, email paystubs to employees, complete the payroll cycle, and email a Payroll Earnings Distribution report to the Finance Officer. Finance Officer reviews for accuracy.

Leave Records

A leave record is maintained by the Administrative and Benefits Coordinator for each employee based on the Commission's policy of granting employee's time off with pay for vacation, sick leave, compensatory leave, and other leave. The procedure for accruing and reporting leave is described in the personnel policy. A leave record shows the amount of leave earned, amount of leave taken, and the accumulated leave balance for each employee.

Payroll Reports

Payroll reports required by various government agencies include, but are not limited to, the following:

1. Form NC-5P – North Carolina Income Tax Withholding Payment Voucher used to pay NC Income Tax on the same dates as the federal tax deposits.
2. Form NC-5Q – North Carolina Quarterly Income Tax Withholding Return used to file quarterly tax returns due by the last day of the month following the end of the calendar quarter.

3. Form NC-3A – Annual Reconciliation of North Carolina Income Tax Withheld used to file the Department of Revenue copy of each from W-2 for the preceding calendar year.
4. Form NCUI 101 – Employer’s Quarterly Tax and Wage Report used to file with the Employment Security Commission the quarterly taxable wages and employment tax due.
5. Form 111 – Monthly Report of Retirement Contributions used to report the wages and contributions of each employee to the retirement system.
6. Form 1115 – Monthly Summary of Subject Wages and Retirement Contributions, a summary report of employees’ contributions and the employer matching amount due to the retirement system.
7. Form 8109 – Federal Tax Deposit Coupon used to deposit employment taxes and most other types of Federal taxes that must be deposited.
8. Form 941 – Quarterly Return of Withheld Income and Social Security Tax, filed quarterly with the IRS to list the employer tax liability dates, and to recap the income tax and social security tax liability and deposits.
9. Form W-2 – Employee Wage and Tax Statement, a tax statement that the Commission must provide each employee from whom it withheld income tax and to each employee that had taxable wages for each calendar year.
10. Form W-3 – Transmittal of Income and Tax Statements, a report used to file with the IRS Copy A of all forms W-2 for that calendar year.

ARHS is the agent of record to handle all payroll related reports and reporting to all Federal and State entities.

Employee Separation

Procedure

1. Administrative and Benefits Coordinator receives Employee Change form from appropriate supervisor showing last day of active duty and reason for termination.
2. Administrative and Benefits Coordinator enters date of separation on employee's record.
3. Administrative and Benefits Coordinator reviews leave record to determine whether separated employee has accumulated leave for which they should be paid or if they have used more leave than entitled to take, and therefore, is subject to a deduction from final pay to cover excess leave.
4. Finance Officer determines if employee is indebted to the Commission for payroll advances, travel advances, insurance, or any other reason.
5. Administrative and Benefits Coordinator determines amount of vacation pay to be paid out, or refunded if used in excess, and submits form to Finance Officer with final timesheet.
6. Finance Officer submits final timesheet, along with any vacation pay out, or deduction, to ARHS with next regular payroll cycle.
7. ARHS prepares payroll for gross pay for the period, less deductions computed on gross pay, and less any special deductions to be made due to separation.
8. All tools and/or equipment assigned to the employee must be returned prior to delivering final paycheck. Use the employee Check In/Check Out sheet completed at hiring.

9. If separated employee desires a refund of their contributions to the retirement system, they must complete section 3 on the Application for Refund of Retirement Contributions.

10. Administrative and Benefits Coordinator will advise insurance company to terminate employee's coverage, if any, under group policies.

XI. Monthly Closing

Several journal entries must be prepared on a monthly basis. Standard formats make preparation more efficient. ARHS prepares journal vouchers and forwards to the Commission's Finance Officer for review and approval prior to posting to the General Ledger. The list of recurring monthly journal entries are as follows:

1. Posting of monthly payroll costs, including employee pay, taxes, and benefits.
2. Allocation of Indirect Cost revenues to the Indirect fund, and Indirect expense to the programs.
3. Posting monthly bank interest income per bank statements to the General fund.
4. Posting loan payments received by EFT for outstanding revolving loans issued prior to the termination of the Revolving Loan Fund program.
5. Any check clearing errors as reported by the bank.
6. Regional Dues monthly entry for grant matching. Some grants are on a quarterly match cycle.

XII. Financial Reporting

Monthly Financial Reports

Monthly revenue and expense reports are generated by ARHS, after all journal entries are posted, and emailed to the Executive Director and Finance Officer. The Finance Officer reviews the revenue and expense reports to ensure any changes to budget amounts are correct, there are no errors in expenses, and to determine if any budget amendments are necessary. The Finance Officer sends copies of the revenue and expense reports to the Financial Support Specialists in each department, and any other employee deemed necessary.

The monthly revenue and expense reports are used to prepare expenditure reports for grant agencies and to complete reimbursement requests from grantors.

The Finance Officer also uses the revenue and expense reports to prepare financial reports for the Commission Board, to include annual budget, year-to-date expenditures, month-to-date expenditures, and budget balance for each program. The financial report to the Board also includes the cash balance for all bank accounts as of the end of the previous month. This report is presented at the monthly Board meeting, as part of the regular agenda.

In addition to the revenue and expense reports, ARHS generates a budget analysis memo and emails it to the Executive Director and Finance Officer on a monthly basis. This memo outlines the revenues and expenses for each program and states whether the program is showing a gain or loss. Additionally, this memo states the recommended percentage of budget spent for the year, up to the date of the report, and lists all expense lines over the recommended percentage. This report helps the Finance Officer determine which expense line items require a budget revision.

XIII. Records Retention

The Commission follows the retention schedule prepared by the NC Department of Natural and Cultural Resources in accordance with NC GS 132. Many items permit disposal after three years. Other items must be kept for longer time periods. The ten-year retention requirement is followed for payroll. Grant guidelines specific to each program are also followed as these may be more stringent than the generally accepted practices for governmental finance records retention.

Refer to <https://archives.ncdcr.gov/government/local> for a full retention schedule for local government agencies.

XIV. Annual Closing

End-of-Year Entries

At the end of the fiscal year, ARHS prepares various journal entries needed to close out the Commission's accounting books, and provide the necessary information for the auditor to complete the Commission's audit. The following is a list of journal entries that must be completed:

1. Accrued, unrecorded payroll
2. Accrued, unrecorded fringe benefits
3. Accrued, unrecorded accounts payable
4. Accrued, unrecorded accounts receivable
5. Adjustments to Indirect revenue to actual Indirect expenditures
6. Any necessary adjusting entries to correct posting errors.
7. Record physical inventory
8. Adjust Fixed Assets as necessary after physical inventory
9. Adjust Federal, State, Grant, and local Contract revenues to allowable amounts based on actual expenditures for the year.

Audit

The Commission is subject to an annual audit, by an independent auditor, under contract approved by the Local Government Commission, at the end of each fiscal year. The Finance Officer, in conjunction with the Financial Support Specialists and ARHS, provides a myriad of documents and financial reports, as requested by the auditor. The Finance Officer works closely with the auditor to answer any questions, explain any discrepancies, and/or correct any errors prior to the completion of the audit. After the audit has been completed, ARHS posts the final adjusting entries recommended by the auditor. The auditor uploads a copy of the audit to the Federal Clearing House for approval by the Local Government Commission. The Finance Officer attests the information provided in the audit is accurate. The auditor presents the audit to the Commission Board, no later than 45 days after the completion of the audit.

XV. Northeastern Workforce Development Board

Albemarle Commission is the fiscal agent for the Northeastern Workforce Development Board, and as such, they are to follow the accounting policies and procedures outlined in this manual. Additionally, the Northeastern Workforce Development Board must follow the North Carolina Department of Commerce Division of Workforce Solutions policies outlined in Policy Statement PS 20-2017, Change 1, Financial Management Policy for Workforce Innovation and Opportunity Act Title I. The Northeastern Workforce Development Board is also subject to NC Department of Commerce Policy Statement PS 21-2017, Procurement and Contracting Policy. Finally, the Northeastern Workforce Development Board may also be subject to financial policies issued by the NC Works Commission.

In the event any of these policies contradict the policies of Albemarle Commission, the Northeastern Workforce Development Board must follow the most stringent policy.



Northeastern Workforce Development Board

ALBEMARLE COMMISSION REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

NWDB Issuance No. 2015-19 Updated 10/31/23

SUBJECT: Individual Training Accounts

PURPOSE: In accordance with the Local Area's policies and procedures, training services shall be provided to eligible adults, dislocated workers and out-of-school youth through Individual Training Account (ITA) vouchers. The ITA is an account that is established on behalf of an eligible client and will be funded with adult, dislocated worker and out-of-school youth funds authorized under Title I of WIOA. Training services shall be provided in a manner that maximizes consumer choice in the selection of an eligible provider of such services and seeks to enroll in one of NWDB's Approved Training programs (reference NWDB Issuance #25).

BACKGROUND: The ITA voucher system is designed to be flexible and facilitate the purchase of a training program that best meet clients' needs and interests. WIOA funded training activities may only be made available to employed and unemployed adults, dislocated workers and youth who have met eligibility requirements for individualized services.

ACTION: Under WIOA, training services may be provided if Career Advisors determine, after an interview, evaluation or assessment, and career planning, that the individual is eligible for the NWDB Adult, Dislocated Worker or Out-of-School Youth programs and meets the following criteria:

- Is unlikely or unable to obtain or retain employment, that leads to economic self-sufficiency (refer to Issuance #21 for the definitions of self-sufficiency) or wages comparable to or higher than wages from previous employment through career services alone;
- Is in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment, through career services alone; and
- Has the skills and qualifications to successfully participate in the selected program of training services.
- Training services must be linked to in-demand employment opportunities in the local area or planning region or in a geographic area in which the adult, dislocated worker or out-of-school youth is willing to commute or relocate. The NWDB Approved Trainings list represents the region's in-demand occupational fields. Career Advisors are responsible for explaining the NWDB Approved Trainings list to participants. The selection of training services should be conducted in a manner that maximizes customer choice, is linked to in-demand occupations, informed by the performance of relevant training providers, and coordinated to the extent possible with other sources of assistance (see WIOA sec. 134(c)(3)). Moreover, training providers must be deemed eligible through their registration/approval in NCWorks online.

- Career Advisors are responsible for assisting clients through the Financial Aid Analysis, as outlined in NWDB's Issuance #16 in order to determine the appropriate amount to be listed on the ITA.
- If the occupation is not on the approved training list, the Career Advisor should confer with the appropriate NWDB Program Manager about special approval for the training or possibly adding it to the list (refer to Issuance #25 for specific details on obtaining special approval). After the ITA is established, it will be submitted to the Finance Department who will assign the control number and maintain a voucher control log. Career Advisors should follow the procedures of attachment B to this issuance to ensure this document is filled out appropriately.
- ITAs may be issued for courses of study and/or occupational training programs leading to an industry recognized credentials, Diplomas, Associate Degrees, that are typically intended to be completed within a two-year period.
- Payments from ITAs will be made to the approved training institutions. Payment of training costs by WIOA will be coordinated with any payment of training costs by other grant assistance, as outlined in NWDB's Issuance #16 (Pell Grant/FAA procedures). The WIOA service provider will be required to abide by contractual requirements, as well as Federal, State and local policies and procedures. Only training providers that are on the statewide list of eligible providers will be reimbursed under the ITA training vouchers.

Limitations on ITAs

In order to maximize training opportunities for as many eligible clients as possible, the maximum ITA amount is \$11,000. Participants are encouraged to complete the program within the completion time outlined by the training provider. Training costs above \$11,000.00 must be approved by the NWDB Director.

For participants that are classified as 'out-of-state', residency must be established within a year to ensure students/participants can claim in-state tuition in order to complete their training. Failure to do so may result in termination from WIOA-sponsored occupational skills training. Adherence to the \$11,000 ITA maximum is required for 'out-of-state' students.

Training services must be linked to in-demand employment opportunities in the local area or planning region or in a geographic area in which the adult, dislocated worker or out-of-school youth is willing to commute or relocate. The NWDB Approved Trainings list represents the region's in-demand occupational fields. Career Advisors are responsible for explaining the NWDB Approved Trainings list to participants. The selection of training services should be conducted in a manner that maximizes customer choice, is linked to in-demand occupations, informed by the performance of relevant training providers, and coordinated to the extent possible with other sources of assistance (see WIOA sec. 134(c)(3)). Moreover, training providers must be deemed eligible through their registration/approval in NCWorks online.

Career Advisors are responsible for assisting clients through the Financial Aid Analysis, as outlined in NWDB's Issuance #16 in order to determine the appropriate amount to be listed on the ITA.

If the occupation is not on the approved training list, the Career Advisor should confer with the appropriate NWDB Program Manager about special approval for the training or possibly adding it to the list (refer to Issuance #25 for specific details on obtaining special approval). To establish an ITA, the Finance Department will assign a control number to participant. The Finance Department shall also maintain a voucher control log. Career Advisors should follow the procedures of attachment B to this issuance to ensure the ITA is filled out appropriately.

ITAs may be issued for courses of study and/or occupational training programs leading to an industry recognized credentials, Diplomas, Associate Degrees, that are typically intended to be completed within a two-year period.

Payments from ITAs will be made to the approved training institutions. Payment of training costs by WIOA will

be coordinated with any payment of training costs by other grant assistance, as outlined in NWDB's Issuance #16 (Pell Grant/FAA procedures). The WIOA service provider will be required to abide by contractual requirements, as well as Federal, State and local policies and procedures. Only training providers that are on the statewide list of eligible providers will be reimbursed under the ITA training vouchers.

The participant must meet the attendance and academic requirements on a semester basis in order to be certified for continued funding under the ITA. Clients must meet the training provider's requirement for full-time student status (except for summer semester when courses are limited or training related classes are not available). Moreover, participants do not need to meet the full-time student status if the required remaining classes to complete a training program do not amount to full-time student status (i.e., a student is in his/her last semester). Participants are expected to maintain a minimum 2.0 grade point average. Exceptions to the 2.0 grade point average "rule" can be approved by the appropriate Program Manager on a case-by-case basis. Documentation of this exception request to program managers must be recorded as case notes in the participant's file. Failing to substantially improve his/her GPA within a semester may result in the participant being terminated from WIOA-sponsored occupational skills training.

Full Time Status

To ensure that participants keep on track with the training provider's normal completion time, participants are required to notify Career Advisors when they drop below full-time status. Other than the scenarios above, there must be a formal request to address when participants drop below full-time status. This request template is attached to this issuance. This request must include a specific indication of when full-time status is expected to resume. If full-time status is not resuming by the following semester, the participant may be exited from the program.

The formal request will need to be reviewed and signed first by Program Manager and, if approved, forwarded to the Director for final approval. Exceptions must be related to the most extreme of circumstances and are not casual in nature.

Examples of ***Allowable*** Exceptions:

- Death of a close family member
- Severe medical issues of participant, child, or parent under participant's care
- Domestic issues/issues of participant's safety (escaping an abusive partner)
- Unexpected homelessness
- Some other unforeseen CATASTROPHIC situation

Examples of ***Unallowed*** Exceptions:

- Classes/assignments are too difficult (with exceptions for youth)
- Unprepared
- Got too far behind
- Romantic breakups
- Focusing on getting self together
- Not getting along with instructor
- Lack of capacity for full-time courseload/full time is too much (with exceptions for youth)
- Interference with work schedule/employment demands

Changing Curriculum

Participants are discouraged from changing curriculums after they begin core courses (i.e., they are not enrolled in developmental or co-requisite courses). Approval for changing curriculums may be given if the participant is having problems completing the curriculum (i.e., academic aptitude for curriculum presents major hindrance, life emergencies occur, etc.) or if the training program is removed from NWDB's approved training list. More than two curriculum changes after the participant has begun core courses can be seen as extreme. In any case, the Career Advisor must take into consideration the circumstances that warrant curriculum changes while determining whether or not to submit an ITA for continued support. Documentation of changes should be recorded in NCWorks case notes.

Re-Entering Programs

Participants previously enrolled in NWDB's Adult, Dislocated Worker or Youth programs that did not complete training can seek to enroll in services again but this requires a significant burden of proof from the participant demonstrating their commitment to complete a training program. Previous participants that have successfully completed training(s) can also seek re-enrollment if they wish to advance their career by obtaining another credential suitable for their career pathway goals. Previous ITA amounts must be considered for new enrollments in both of the aforementioned scenarios. As always, applicants must meet all other criteria for enrollment, as emphasized above.

EFFECTIVE DATE: July 1, 2015 Updated 10/31/2023

EXPIRATION DATE:Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NWDB staff and WIOA service providers

ATTACHMENT: #19A-ITA Form
#19B-FAA/ITA PROCEDURES
#19C-REGISTRATION HOLD FORM
#19D-OCCUPATIONAL SKILLS TRAINING PROCEDURES AND PARTICIPANT AGREEMENT
#19E-EXEMPTION REQUEST TEMPLATE FOR DROP FROM FULL-TIME STATUS



David Whitmer, NWDB Director

Information below pertains to the specific steps involved in filling out a Financial Aid Analysis (FAA) and Individual Training Account (ITA). Career Advisors should always ensure that they are aware of other information contained in the issuances related to these procedures (Issuances #16, 19, 25).

Registration Hold Form Procedures

Once a participant is determined to be eligible for WIOA occupational skills training assistance, the career advisor will fill out the registration hold form (if the college accepts this form) and will provide to the student to deliver to his/her training provider during registration. At that time, the training provider will supply a name and a signature on the form and the student will return a copy to his/her career advisor. Program managers will send an email to all career advisors during registration periods to remind them of deadlines. Career Advisors must communicate with participants about the importance of being prompt with the documentation of registration hold forms, FAA's and ITA's and that failure to meet deadlines could put tuition assistance in jeopardy.

Financial Aid Analysis (FAA) Procedures

Every WIOA participant authorized for ITA procedures is required to undergo a financial award analysis (FAA), as part of the requirements set forth in DWS Policy Statement 08-2018 and NWDB Issuance #16 upon initial enrollment and repeated every subsequent semester in which the participant is enrolled thereafter. Concurrent with processes used to determine eligibility for NWDB's Adult, Dislocated Worker or Youth* programs, this analysis has to be conducted with every participant authorized for ITA procedures. Furthermore, career advisors will require all participants to apply for financial aid (Pell grants). If participants are ineligible for Pell, some documentation/proof of ineligibility is required to be submitted before the FAA can proceed. All participants are required to provide an approval or denial letter to their career advisor for the career advisor to use as documentation for their registration.

Assessing Student's Resources/Available Funding Sources

After the career advisor fills in Section I (participant/student information), the career advisor will either ask the participant to bring final financial aid award letters OR submit the form to the training provider via email.

Section II should be filled out by the training provider or the career advisor. The analysis begins with an assessment of the participant's available resources using information obtained from the student's financial aid award letter(s). This includes anticipated WIOA supportive services (estimate this cost). Total resources should be accounted for in "cell A".

Assessing Costs of Training

All participants that are potentially eligible for Pell funding are required to apply for Pell. Section III should be filled out by the training provider or the career advisor. If the training

provider does not provide this information, the career advisor will check the checkbox with the description *“Data contained herein was obtained from the training provider’s handbook or catalog or the student’s registration because the training provider declined to provide the information.”*

A determination of the costs associated with a student’s education are tallied, as shown in Section III of the FAA. Since WIOA funds can only be applied to a student’s tuition (for required courses in his/her training program), books, supplies, and fees, these totals should be tallied using “Cell B”. Career Advisors are reminded that the tuition assistance should cover required courses for the student’s training program and this will require close scrutiny of the student’s registration.

All other costs indicated in the training items table (such as cost of living) should be accounted for and tallied using “Cell C”. Evidence of all costs should be provided by the participant to the career advisor (most especially those that are categorized as “other required costs”). More specifically, the cost of living should be obtained from the training provider’s website and career advisors are responsible for seeking out that information. Additional Expenses, such as transportation, childcare costs, uniforms, physicals/shots, etc. should be discussed with participants albeit not included in the eventual ITA amount (as these expenses can possibly be covered through NWDB’s supportive services policies).

Final Analysis

The final step of the FAA will be calculated by subtracting the total amount of expenses/need (Cell C) from the amount of resources (Cell A) to arrive at the “financial gap”. In no cases should this amount exceed the total indicated in Cell B. This amount will be transferred to the ITA. The Career Advisor & participant/student will sign the FAA.

**If an ITA is needed for ISY, they must be co-enrolled with the adult program*

Individual Training Account (ITA) Procedures*

Step 1: Obtain a Control Number

You will request a control number from the Finance Department for each new ITA established. This number remains with the client throughout his/her training, and should be entered on each voucher. Even if the client switches schools, the number remains the same.

Step 2: Complete & Submit ITA

The Career Advisor will fill out the ITA using the amount gathered from the final analysis in the FAA. The Career Advisor will send the FAA and ITA and supporting documentation (such as registration, public assistance, book lists, etc.) to his/her program manager who will review and provide to the NWDB Finance Officer for pre-auditing. Upon obtaining all signatures from the career advisor, program manager, the NWDB finance officer is responsible for submitting to the training provider’s business office to be applied to the student’s account. The Finance

Department will record it in the ITA Master Log. The Program Manager should review the ITA Master Log each semester to ensure that participants don't exceed ITA maximum.

AC Number

The AC number consists of the number semester to which this voucher pertains. The Spring semester is 01, Summer is 02, and Fall is 03. This number is followed by the year the training is taking place. So a semester starting in the Fall of 2015 would have an AC number of 03 15.

Student ID #

This can be found on their registration.

After the finance officer submits this, the training provider will submit an invoice** (based off of the ITA cost) to NWDB. If a student fails or withdraws from a class for which WIOA was invoiced and submitted a payment for, NWDB will not pay for that class or associated fees, books, etc. a second time.

Increases to an ITA

If a student adds a class or you find you must increase the amount approved on the ITA after it has been submitted to the NWDB Finance Department, draw a single line through the amount to be changed, enter the new amount and correct the total. Then initial the new total. Write REVISED with the date on the top of the ITA. The ITA then goes through the same approval process as the original. Remember to amend the FAA as well.

Career Advisors are reminded to upload all signed documents into the participant's NCWorks account and to record appropriate activity codes.

*Continuing education classes such as Nurse Aid are not funded through an ITA, and must be authorized with a letter written to the training provider. This letter can be found as an attachment in the supportive services policy.

**For participants attending College of the Albemarle, NWDB will issue payment to the college for the cost of tuition, books, supplies, etc. that are totaled on the ITA. The payment for these ITA's to the college will be sent during registration periods, as opposed to waiting for an invoice from the college. This process was put in the place to ensure students are receiving all forms of their calculated assistance, using the colleges scholarship payment requirements. College of the Albemarle will issue a refund to NWDB for any participants/students that dropped one or more classes before college's refundable drop deadline. The college will also provide a report reflecting student names and amount applied to their accounts under the financial aid award as well as a statement reflecting any excess amount to be refunded to NWDB.

Issuance #19, Attachment C, Updated 12/20/18, 10/31/23

Attention Students: Present this form to the Training Provider's Business Office when you register. The school will sign it and will give you a copy. Please return the copy to your career advisor along with your registration. Failure to return this form to your career advisor may delay your registration.

REGISTRATION HOLD FORM

Dear [Insert Training Provider],

Please accept this letter as an acknowledgement that the Northeastern Workforce Development Board (NWDB) has determined that the student indicated below is eligible for financial assistance. This assistance is for the purpose of tuition (for required courses under the student's chosen training program), books, supplies and fees associated with his/her program.

Date Issued: _____

Participant's Name: _____

Student ID#: _____

Semester/Year: _____

Program (A/DW/ISY/OSY): _____

Please use the contact information below if you have any questions or concerns.

Sincerely,
[Insert Career Advisor Signature]
[Insert Career Advisor]
[Insert Career Advisor Phone #]
[Insert Career Advisor Email]

Training Provider Name: _____

Training Provider Signature: _____

Edenton Career Center
118 Blades St., Bldg 3, Edenton, NC 27932
252.482.2195 | Fax: 252.482.2188

Elizabeth City Career Center
111 Jordan Plaza, Elizabeth City, NC 27909
252.621.6350 | Fax: 252.621.6371

For more locations: NWDBworks.com



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Northeastern Workforce
Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Occupational Skills Training Procedures & Participant Agreement

1. Once approved for occupational skills training assistance, if you are potentially eligible for financial aid (Pell grants), you will be required to complete a FAFSA. You must provide your Career Advisor with proof of a completed FAFSA submission and the final approval or denial of eligibility. If participants are ineligible for Pell, some documentation/proof of ineligibility is required to be submitted before the FAA can proceed.
2. Your Career Advisor will give you a registration hold form (if the college accepts this form). You are responsible to deliver the form to your training provider during registration who will supply a name and a signature on the form. You must return a copy to your Career Advisor. For non-credit courses, your Career Advisor will provide you with an Authorization Letter to give to the training provider to register for classes and get the required books for your authorized courses for the current semester.
3. **You are responsible for adhering to the training provider's registration and financial deadlines. Not adhering to these deadlines may lead to you not being able to take classes for the semester or you may be responsible for paying for tuition, books, fees and other associated cost until financial assistance has been approved and distributed.**
4. You must meet the attendance and academic requirements on a semester basis in order to be eligible for continued WIOA funding dispersed through NCWorks services. You must meet the training provider's requirement for full-time student status (except for summer semester when courses are limited or training related classes are not available). You do not need to meet the full-time student status if the required remaining classes to complete a training program do not amount to full-time student status (i.e., you are in your last semester). **You are expected to maintain a minimum 2.0 grade point average (GPA). Exceptions to the 2.0 GPA "rule" can be approved as determined by the Program Manager. If you are below the GPA standard, you must substantially improve your GPA within one semester or you may become ineligible for NCWorks-sponsored occupational skills training.**
5. You are allowed a maximum of \$11,000 to complete your degree, diploma or certificate program. Your time to complete the training will not exceed two semesters beyond normal completion time outlined by the training provider. Any extension beyond these criteria will require approval by the appropriate Program Manager. Any training costs above \$11,000 must be approved by the NWDB Director.
6. If you are classified as an 'out-of-state' student, you must establish residency within one year of school to ensure you can be eligible for "in-state" tuition to complete your training with NCWorks assistance. Failure to do so may result in termination from NCWorks-sponsored occupational skills training. Adherence to the \$11,000 maximum funding allowance is applicable to 'out-of-state' students.
7. If you previously received tuition assistance from NCWorks, but did not complete training, your maximum funding allowance still will not exceed the \$11,000, including the amount of funds expended during your previous enrollment.
8. If you are receiving supportive services funded by NCWorks, you are responsible for submitting all attendance, transportation and childcare documents (blue sheets) to your Career Advisor at the end of each month or as prescribed by your Career Advisor. Failure to turn in these or other requested documents may delay or prevent payment to you or provider of the service you received. You may be responsible for paying these costs.
9. You are responsible for submitting a copy (unofficial or official) of your transcript at the end of each semester and your diploma or certificate of completion at the end of your training to your Career Advisor. Failure to do so may delay or prevent continued NCWorks funding support.
10. Participants are discouraged from changing curriculums after they begin core courses (i.e., they are not enrolled in developmental or co-requisite courses). Approval for changing curriculums may be given if you are having problems completing the curriculum (i.e., academic aptitude for curriculum presents major hindrance, life emergencies occur, etc.) or if the training program is removed from NWDB's approved training list. More than two curriculum changes after you have begun core courses can be seen as extreme. In any case, the Career Advisor must take into consideration the circumstances that warrant curriculum changes while determining whether or not to submit an ITA for continued support.
11. If a student fails or withdraws from a class for which WIOA was invoiced and submitted a payment for, NWDB will not pay for that class or associated fees, books, etc. a second time.

The above policy has been explained to me by my Career Advisor and I understand that I must follow the above policy to receive occupational skills training assistance from NCWorks.

Participant's Printed Name

Participant's Signature & Date

Request for Less than Full Time Exception

Request Date		Participant Name/Last 4	
Career Advisor		Date of Enrollment	
Program		Course of Study	

How many credit hours is the participant currently enrolled in? _____

What is the reason for the exception request?

What steps are being taken to ensure the participant can resume full time enrollment and complete their program of study timely?

When is full-time status expected to resume?

What is the anticipated completion date for the course of study?

Signature of Career Advisor _____ Date _____

Signature of Program Manager _____ Date _____

Approved	<input type="checkbox"/>
Denied	<input type="checkbox"/>

Procedures for Requesting Exceptions to Full Time Requirement

Once you have completed your evaluation, **PLEASE PREPARE YOUR WRITTEN PLAN FOR RETURNING TO FULL TIME STATUS (ATTACHING THE FORM ABOVE) AND SUBMIT BOTH AS AN ATTACHMENT TO AN EMAIL (TO YOUR PROGRAM MANAGER) REQUESTING AN EXCEPTION.** Each request will be evaluated based on its own factors. It is not guaranteed that your exception will be approved.

Examples of *Allowable* Exceptions:

- Death of a close family member
- Severe medical issues of participant, child, or parent under participant's care
- Domestic issues/issues of participant's safety (escaping an abusive partner)
- Unexpected homelessness
- Some other unforeseen CATASTROPHIC situation

Examples of *Unallowed* Exceptions:

- Classes/assignments are too difficult (With exceptions for youth)
- Unprepared
- Got too far behind
- Romantic breakups
- Focusing on getting self together
- Not getting along with instructor
- Lack of capacity for full-time course load/full time is too much (with exceptions for youth)
- Interference with work schedule/employment demands



Northeastern Workforce Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

March 16, 2022

NWDB Issuance No. 2015-12A

SUBJECT: On-the-Job Training

PURPOSE: To establish and communicate the policy requirements and forms for conducting On-the- Job Training activities in the Northeastern Local Area.

BACKGROUND:

The Workforce Innovation and Opportunity Act, Public Law 113-128, defines OJT as training by an employer that is provided to a paid participant while engaged in productive work in a job that:

Provides knowledge or skills essential to the full and adequate performance of the job;

Provides reimbursement to the employer of up to 75 percent of the wage rate of the participant for the extraordinary costs of providing the training and additional supervision related to the training; and

Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate.

OJT is a viable pathway for unemployed workers seeking employment and for employers seeking workers. It offers the unique opportunity to offset initial costs to fill skilled positions while building organizational productivity as the employee learns occupational skills.

ACTION:

WIOA Service Providers are required to operate On-the-Job Training programs in accordance with the attached policy and guidelines.

EFFECTIVE DATE: March 16, 2022

EXPIRATION DATE: Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NWDB staff and WIOA service providers

ATTACHMENTS:

- A: On-the-Job Training Policy
- B: Pre-Award Analysis
- C: Skills Gap Analysis Framework
- D: Training Plan
- E: Employer Agreement
- F: Reimbursement Request Form
- G: Trainee Evaluation
- H: Participant Monitoring Tool
- I: Business Monitoring Tool
- J: Modified Training Plan Form
- K: Early Exit Form



David Whitmer, NWDB Director

Sean Lavin
Chairman

Dave Whitmer
Director

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F: 252.426.5435



Northeastern Workforce Development Board

ON-THE-JOB TRAINING

POLICIES AND PROCEDURES MANUAL

March 16, 2022

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I. PURPOSE OF THE ON-THE-JOB TRAINING PROGRAM

On-the-Job Training (OJT) is one of the allowable program activities authorized by the Workforce Innovation and Opportunity Act (WIOA). WIOA provides that in addition to using Individual Training Accounts, training may be provided to Adults, Dislocated Workers, and Youth through contracted On-the-Job Training (OJT).

OJT is conducted by a private or public sector employer. It occurs while an individual is engaged in productive work, learning the skills and information necessary for full and adequate performance on the job. WIOA defines OJT as training by an employer that is provided to a paid participant while engaged in productive work in a job that:

1. Provides knowledge or skills essential to the full and adequate performance of the job;
2. Provides reimbursement to the employer of up to 75 percent of the wage rate of the participant, except as provided in section 134 (c)(3)(H), for the extraordinary costs of providing the training and additional supervision related to the training; and
3. Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate.

Two unique features of OJT are:

- The individual begins training as an employee of the employer and is subject to the same conditions of employment as other similarly employed individuals; and
- The individual receives training under appropriate supervision, thus acquiring occupational skills and knowledge in an "on-the-job" training environment.

OJT is appropriate for employers who have difficulty filling their skilled labor force needs with qualified, experienced workers, or who want to upgrade their current workforce. Employers may use OJT in these instances by training eligible WIOA clients. Reimbursement is provided to the employer to pay for the extraordinary costs of such training because these costs exceed the expenses normally incurred in training individuals normally hired for the position.

Despite the benefits accruing to employers who participate, the focus of the OJT program is individual-oriented. OJT is designed to provide an opportunity for WIOA-eligible individuals to receive training necessary to acquire skills and knowledge that will enable them to become self sufficient, maintain unsubsidized employment and compete for job advancement. OJT provides direct and promising opportunities for unsubsidized employment for WIOA clients.

II. TYPES OF ON-THE-JOB TRAINING

There are different circumstances when an individual may be interested in participating in OJT. The two referred to in this section which may be eligible for OJT Funding are “Regular OJT” and “Upgrading and Retraining OJT.” Written approval from the NWDB Director must be granted prior to engaging in “Upgrading and Retraining OJT”

- **Regular OJT** is for Adults, Dislocated Workers and Youth (18-24 years old) whose skill levels are inadequate to gain employment without special consideration from the employer. Reimbursement is provided to those employers to pay for their extraordinary costs of training because these costs exceed the costs involved in training persons with higher skill levels.
- **Upgrading and Retraining OJT** is for individuals who are locked into low paying, dead-end jobs. This provides additional opportunities for individuals who are employed and operating at less than their full skill potential.
 1. In order to conduct skill Upgrading and Retraining, conditions for eligibility and participation must be met and there must be a demonstrable difference between the job and skill requirements of the upgraded job into which the participant is being trained and those of the current or prior job.
 2. Prior to entering into an Upgrading or Retraining OJT Contract, written approval must be obtained from the NWDB Director.

III. EMPLOYER MARKETING STRATEGIES

Employer Marketing Strategies will include the following:

- Contacting current and past employer customers regularly to offer OJT.
- Seeking referrals from current/past employer customers to other employers who may be interested in OJT.
- Analyzing existing job seeker pool to identify which employers and industries to contact.
- Promoting OJT specifically on website.
- Working with Chambers of Commerce and Economic Developers to promote OJT.
- Marketing OJT to businesses who participate in other workforce training programs.

IV. EMPLOYER ELIGIBILITY FOR ON-THE-JOB TRAINING PROGRAMS

The first step to determine employer eligibility is for the employer to complete and sign the **OJT Pre-Award Analysis** form. The BEC (or WIOA Representative) does this with the employer and they both sign the form.

Employer eligibility includes the following guidelines:

- The employer must provide information such as their Federal Employer Identification number to demonstrate that they are a legitimate employer, with full-time employees, and conducting their trade or business at an appropriate work site.
- OJT contracts are permitted with firms in which current and/or past Workforce Development Board (WDB) members are employed. Contracts may not be permitted where WDB members have certain ownership or other interests in the firm. Please refer to NCGS 14-234 (a1)(4).
- The employer must not be involved in a current labor dispute and must not have a history of frequent layoffs.
- The employer must not utilize an OJT contract to displace currently employed workers or to reduce the hours of those employed below their normal schedule.
- An OJT contract cannot be written for a position in which a worker is currently on layoff or for a position that will deny a current worker promotional opportunities.
- OJT must be conducted at the employer's place of business, or off site, under the
 - supervision of the employer's personnel, and may not be subcontracted.
- The employer must express that the individuals hired and trained under the OJT contract would not have been hired in the occupation specified in the absence of such a contract.
- OJT contractors may not include employers who have relocated, either in whole or in part, if such relocation resulted in the loss of employment for any employee of the company at the original location if the original location is within the United States. An establishment has relocated if any of its operations have moved from facilities located in one labor market area within the United States and its territories to a new or expanding facility in another labor market in the United States. This restriction extends for a period equal to 120 days following the commencement of operations at the new location.
- No more than 33 percent of a company's workforce may be enrolled in OJT at any one time. Waivers to this policy may be extended if the employer can demonstrate that proper supervision will be provided to all of the trainees. This waiver should be sent by the BEC to the NWDB Director.

- Employers with three or less employees may be considered for one OJT participant.
- The OJT Employer shall be located within the NWDB 10-county service area. OJT contracts with employers located in counties that border the NWDB region (Hertford, Bertie, Martin and Beaufort) may be considered if the WIOA eligible OJT candidate lives within the NWDB region and the employer, occupation and OJT candidate meet all other requirements. In addition, approval must be obtained from the Workforce Development Board that covers the county in which the employer is located.
- OJT contracts with employers located in the VA counties of Chesapeake, Virginia Beach, Suffolk, Norfolk, and Portsmouth may be approved by the NWDB Director on a case-by-case basis as long as the participant is a resident of the NWDB 10-county region. First priority for OJT contracts will always be for employers located in the NWDB 10-county region. The NWDB Director will take into consideration current funding levels, alternatives available to assist the participant with employment within the NWDB 10-county region, the level of skills to be obtained through the OJT position, and the pay rate and benefits of the OJT position.
- The employer must have been operating as a business for at least one year. This is added with the intent to consider an employer's general business practices, suitability, and ensure that employment will be on-going as relevant to OJT. Any exception to this policy must be approved in writing by the NWDB Director.
- All persons providing training to the OJT participant will be listed in the OJT Contract in the Training Staff portion of the Training Plan. To assure that OJT participants are receiving instruction and feedback on work performed, at least one of the specified Trainers shall be accessible in person to the OJT participant at the worksite a minimum of 50 percent of the training period.
- Employers must pay OJT participants the same rates as employees who are similarly situated in similar occupations, and who have similar training experience and skills. OJT participants must also receive the same working conditions and benefits as those in similar employment. The anticipated reimbursement of wages must not be used to provide higher wages to OJT participants than employees in similar positions not covered by the OJT program.
- Employers may be staffing, temporary, employment, or placement agencies. The employer must provide regular, on-going employment (i.e., not probationary, temporary, or intermittent employment) in a specific occupation and places employees at a worksite of another employer to perform work for such an employer. Additional considerations must be taken if the employer is a staff agency, including:
 1. At least an 80% success rate of continued employment after a year.
 2. Pay rate must be the required OJT minimum stated in this policy.
 3. Both the host employer and the staffing agency must sign off on all OJT paperwork since meeting OJT obligations is a dual responsibility of both.

- OJT contracts with Private Sector employers will take priority over OJT contracts with Public Sector employers. OJT contracts with Public Sector employers may be limited by the NWDB Director as deemed appropriate.
- The employer must be registered in NCWorks Online.
- The employer must comply with requirements of the Civil Rights Act of 1964 and 29 CFR Part 31 with respect to equal opportunity in employment for the OJT position, as well as comply with all federal, state and local laws.

To assist with determination of Employer Eligibility for Employers who have previously participated in OJT Contracts:

If the Employer was previously involved in an OJT Training Program or similar training activity, prior performance will be utilized to assist in determining contract approval. The specific criteria to be used are as follows:

The BEC shall review information regarding the status of participants trained under these contracts with Employer. This will include:

- The number of individuals who participated in OJT; and
- The number of participants who completed training and continued employment with Employer.
- If appropriate, the Employer will be asked to provide a narrative to explain a lower retention rate of participants compared to other Employees in a similar position. For example, participants may have quit voluntarily or may have been terminated for cause or unforeseeable changes in business conditions.

Employers that do not retain an employee who satisfactorily completes their training plan will not be eligible for future OJTs for **one year**, unless there are extenuating circumstances beyond the employer's control (e.g., the trainee/employee quit).

V. OCCUPATIONAL QUALIFICATIONS

In order to be eligible for OJT, occupations must require a period of significant training and instruction to acquire specific occupational skills and knowledge. Occupations must meet the following guidelines:

1. The position must not be intermittent or temporary. Temporary employment is defined as employment with an expected end-date, or employment that does not provide similar benefits as compared to regular employees.

2. The position must not involve compensation in the form of commission as the primary source payment to the OJT Employee unless, regardless of commission, the hourly wage matches the minimum wage required for an OJT Contract per these Policies & Procedures.
3. Minimum Wage Requirement for Adults and Dislocated Workers:
 - a. An OJT contract may not be written for a position with a wage of less than \$12.50/hour. This wage requirement will be reviewed yearly by NWDB using a livable wage calculator (<http://livingwage.mit.edu>).
4. Minimum Wage Requirement for Youth
 - a. An OJT contract may not be written for a position with a wage of less than \$8.25/hour.
5. The position must not include political or religious activity.
6. The position must align with individual's career goals.
7. The occupation must be one in which specific occupational training is a pre-requisite for employment.
8. The position must provide fulltime employment (a 40-hour work week), except where fewer or greater hours are normal to the occupation, but in no case less than 30 hours per week. Waivers to this policy are allowable for individuals if full-time employment is not feasible due to limitations (i.e. individuals with an impairment or disability).

VI. CLIENT ELIGIBILITY

The participant must meet the current eligibility criteria as defined by WIOA under the Adult, Dislocated Worker or Youth definitions. The participant should express an interest in the area of training and possess the ability and aptitude to learn the skills offered by the OJT Program.

1. Client Recruitment and Assessment

NWDB is responsible for client intake and referral, and will evaluate the client's appropriateness and job readiness for OJT.

- a) A client is considered to be OJT-ready if he or she is job search ready and:
 - i. Has identified an occupational area for which immediate employment (with short term training due to occupational skills gap) is a realistic goal;
 - ii. Has the interest and aptitudes necessary to begin an OJT position in a specific occupation;
 - iii. Has resolved or has plans to resolve such employment barriers as transportation, day care, housing, health, or other barriers that can prevent successful OJT participation;
 - iv. Has a positive attitude toward working and is eager to begin OJT participation;
 - v. Does not lack the basic skills needed to perform on the job. Such basic skills can include math, reading, understanding the English language and others that are necessary to begin OJT training;
 - vi. Does not have significant prior experience in the occupational area for which OJT is being considered
 - vii. Is a WIOA Participant classified as an Adult, Dislocated Worker or Youth Participant (between the ages of 18-24).
 - viii. Youth Participants must have a high school diploma or high school equivalency.
- b) OJT will not be considered appropriate for individuals who are presently on temporary lay-off and are expecting to be recalled by their former employer.
- c) OJT is not to be treated as a temporary program activity.
- d) If a participant is laid off from an OJT position or leaves the position, it is up to the discretion of the BEC, Career Advisor and NWDB Director to determine whether he or she would be eligible for another OJT position based on reasons for exit and career goals.
- e) It is the responsibility of the Career Advisor to ensure that an appropriate and complete Individual Employment Plan (IEP) is prepared for every client prior to consideration of OJT participation. All of the elements listed above must be contained on the IEP and documented in NCWorks as to the appropriateness of the OJT referral, placement and the training length determined for the OJT Employee/Trainee.

- f) The IEP not only assists in documenting activity but also provides the client with an understanding of the WIOA training activities that he or she will progress through in order to eliminate barriers to long-term employment. The Career Advisor and the client are expected to sign the IEP.

2. OJT Job Development

OJT outreach and recruitment will be conducted with the following techniques listed in order of priority.

- a) **Promote Candidates and Job Development:** Career Advisors should determine which of their customers are suited for OJT. Career Advisors should provide the BEC with a list of these clients, including what types of positions are appropriate for them and their resumes. Both the BEC and Career Advisors can promote these candidates to appropriate businesses.
- b) **Promote OJT and Refer Candidates:** The BEC should promote OJT to businesses. Appropriate OJT candidates should be referred to businesses that are interested in participating in the OJT program.

The Career Advisor and BEC communicate regarding potential employment opportunities. The BEC communicates with Career Advisors regarding job openings (potential OJT opportunities) as s/he becomes aware of them. The Career Advisor may also identify employment opportunities and notify the BEC of potential OJT job opportunities that their clients are interested in. The BEC may reach out to employers as appropriate to refer Career Advisor's clients.

- c) **Promote OJT for Employer Referrals:** Although providing employment for current participants is always the first priority, Employer Referrals (Reverse Referrals) are permissible in certain circumstances. This may occur when a potential client is referred to WIOA for eligibility and certification for OJT participation from an employer. This type of contracting will be permitted only when:
 - i. The employer provides the name and contact information of the candidate(s) they wish to pursue to the BEC, who then provides to the designated Career Advisor, so that a determination of WIOA – Title 1 eligibility can be made. The BEC provides the reverse referral informational letter to the employer to give to the candidate so that the candidate understands all expected intake procedures.
 - ii. The client progresses through the intake process as would any other client; the client meets with a Career Advisor and completes an Individual Employment Plan; the completed IEP indicates OJT is necessary for the client to perform the work associated with the occupation; and
 - iii. The employer must also certify that the individuals hired and trained under the OJT contract would not have been hired in the occupation specified in the absence of such a contract.

- iv. The client is eligible under the Adult or Dislocated Worker programs (youth are not permitted for reverse referrals)

Reverse Referrals: Internal Expectations

When an employer identifies a potential candidate for employment who lacks the skills the employer requires up front and is in need of OJT, they must refer the individual to the Career Center for Title I WIOA eligibility. This must be done prior to the hiring selection or extending an offer of employment.

In the effort to streamline the process for determining eligibility for reverse referrals from employers, the following internal guidelines/timeline should be adhered to*:

- The Business Engagement Coordinator (BEC) is responsible for providing the reverse referral OJT letter to the employer (explains next steps) and for calling the applicant within one business day to determine their home location
- BEC will notify the appropriate Career Advisor (CA), with a CC to the Center manager and the appropriate Program Manager (PM) by sending the applicant's name and as many contact numbers as possible within one business day of making contact
- CA has one business day to make contact with the applicant and to arrange the appointment (preferably within the same week)
 - CA must notify the applicant of the importance of gathering all required documentation for Title I enrollment to avoid the need for multiple appointments
 - CA will notify BEC when the appointment is scheduled
 - BEC will notify employer of expected appointment date
- After all Title I documentation collected/appointment complete, CA has 5 business days to complete Title I enrollment and will send a notification to the appropriate PM with a CC to BEC & the Center manager
 - PM reviews application within 2 business days and provides feedback to CA, with a CC to BEC
 - If edits are needed to enrollment, the CA has 2 days to correct and send back for certification, with a CC to BEC
- PM's have 2 business days to certify enrollment completely and will then notify both CA and BEC & the Center manager. BEC has 2 business days to contact employer and schedule assigning date for OJT contract once certification has been completed and all parties notified

*Should any diversions from the above timeline occur (i.e., applicant does not show up for the scheduled appointment or applicant does not bring all paperwork and must come back for additional appointment)—the CA and BEC are mutually responsible for maintaining communication with each other. Moreover, the BEC is responsible for maintaining constant (daily) communication with the employer regarding these diversions based on ongoing communication with the CA

Additional Considerations:

- a. The specific target market for OJT shall be industries and occupations as identified by NWDB to be high growth and in-line with local economic development strategies.
- b. The appropriateness of referrals to OJT positions must be substantiated by an assessment of the client's needs, interests, education, and previous work history. This assessment is conducted by the Career Advisor. In instances where the client possesses previous work experience in the same or substantially similar job, this information will be taken into consideration when considering a Training Plan and in determining an appropriate length of training.
- c. OJT will not be allowed for clients who were previously employed by the prospective OJT Employer in the same or similar job.
- d. OJT will not be allowed in situations where an individual has been hired by the Employer prior to the execution of an OJT Contract.
- e. OJT is encouraged in higher skill occupations appropriate to the participant's needs and occupational interests.
- f. Employers must have a grievance procedure for employees. If not, the employer must agree to abide by the Albemarle Commission's grievance policy.

VII. COORDINATION OF CASE MANAGEMENT AND BUSINESS SERVICES FUNCTIONS

The BEC shall be responsible for completing the OJT Contract. The Skills Gap Analysis shall be completed by the BEC with assistance from the Career Advisor. The BEC develops the Training Plan (with input from the business). The BEC is responsible to ensure that both the OJT Trainee and Employer are monitored. It is preferred that the Career Advisor monitors the OJT Trainee and the BEC monitors the Employer and relevant OJT contract. However, due to geographical and staffing considerations, either the Career Advisor or BEC may monitor either the OJT Trainee or the Employer and relevant OJT Contract.

Career Advisors for OJT Participants are expected to upload signed copies into NCWorks for the following:

- Skills Gap Analysis
- Employer Agreement
- Training Plan
- Reimbursement Requests
- Trainee Evaluations (Mid point & Final)
- Participant Monitoring Report
- Business Monitoring Report

The BEC is expected to enter the correct Employer Services code into NCWorks for the business and keep all OJT related files in hard copy form.

VIII. SKILLS GAP ANALYSIS

In order to participate in OJT, a participant must demonstrate a gap between their current skills, abilities and experience and that which is required for the job. There must be enough of a skills gap to justify training. In addition to one of the approved assessment tools, an interview and resume shall be used to analyze the prospective Trainee's work history and skills already developed. This work history shall be compared to the job description to identify potential skill gaps. Assessment tools that may be used to conduct the Skills Gap Analysis include the following: O*NET, and EMSI. The BEC and/or Career Advisor should work with the Client to determine if the potential skill gaps are actual skill gaps. Once the Skills Gap Analysis has been completed and a skills gap has been identified, the BEC has the foundation for the development of the Training Plan.

IX. DETERMINING THE LENGTH OF TRAINING

Prior to placement of a participant in the On-the-Job Training Program, a detailed, occupation-specific Training Plan will be developed. The Skills Gap Analysis, along with input from the Employer, shall be used to develop the Training Plan.

The allowable length of On-the-Job Training for an Employer is based upon several guiding principles, including the following:

OJT Training is provided in order to enable an individual to become skilled and knowledgeable while on-the-job and competitive with co-workers.

- i. Skills Gap Analysis is essential to determine the length of training.
- ii. Because OJT is primarily client-focused, the individual's Individual Employment Plan (IEP) should document OJT as the preferred program activity for the Client and should contain a description of the skills, knowledge, education and work experience already possessed by the client. The Training Plan must be developed in consideration of these factors.

In order to substantiate the Training Plan and provide a well-documented Justification for Jobseeker participation in OJT, the state-approved assessment tools as described in the "Skills Gap Analysis" Section of this manual shall be used. The Skills Gap Analysis shall provide the basis for the Training Plan for each individual considering OJT Training.

The Specific Vocational Preparation (SVP) codes, as indicated on O*NET, along with the Skills Gap Analysis shall be used in determining the length of training. The following chart should also be considered when determining length of training:

**Maximum Number of
Reimbursable Training Hours**

SVP Code	
1	As determined by LA
2	173
3	519
4	1040
5	1040
6 and Over	1040

SVP Code	
1	As determined by LA
2	173
3	519
4	1040
5	1040
6 and Over	1040

* OJT contracts cannot be written for an occupation requiring SVP skill levels 1 or 2, without prior approval from the NWDB Director.

If an OJT position has duties that fall under more than one job title, the SVP for each job title should be considered. However, the OJT Contract should be for less than the total combined hours.

Under no circumstances shall the amount of OJT reimbursement exceed 1040 total training hours for adults, dislocated workers and youth. The BEC shall verify that, for each specific OJT Contract, funding guidelines are adhered to.

X. TRAINING PLAN

1. The BEC will develop the Training Plan with assistance from the Employer. The BEC will be expected to work with the employer to shape the Training Plan to the needs of the OJT Employee/Trainee. In this regard, the Training Plan will take into account the relevant skills, knowledge, experience, and education of the client as documented on the IEP.
2. The Training Plan must clearly state the specific training objectives that will be required during the training period. It must identify the approximate number of hours of training time to be devoted to each. These training objectives shall be used to evaluate the OJT Trainee's progress and achievement.
3. The Training Plan must be reviewed, agreed upon, and signed by the Employer Representative, the Supervisor of OJT Trainee, The OJT Trainee, and the appropriate WIOA representative (typically BEC or Career Advisor). The Employer Representative and the Supervisor of the OJT Trainee may be the same individual.
4. The original Training Plan will be provided to the NWDB Finance Officer. A copy will be kept in the OJT Business File and the OJT Participant File.

Contract Extensions

Extensions beyond the original contract end date are allowable, and a contract extension form must be filled out prior to the contract end date. It's important for regular monitoring of the contract to occur and for the Business Engagement Coordinator and the Career Advisor to communicate openly with the business and OJT participant, respectively, so that any determination of modified training plans can occur. A reason for extending a contract can include: there were modifications in the original training plan which results in more training hours, the OJT participant/employee was not able to complete the agreed upon reimbursable OJT hours due to any brief lapses in employment (i.e., holiday breaks, excused absences), and/or the trainee's supervisor had a brief lapse in employment at the business, resulting in lost training hours for the OJT participant. Other circumstances for granting a possible extension must be reviewed by the NWDB Director before the contract extension form is filled out and approved.

XI. OJT CONTRACT DEVELOPMENT

The Business Engagement Coordinator (BEC) shall be responsible for developing the OJT Contract.

1. The OJT Contract must be executed prior to the OJT Trainee commencing employment.
2. All potential contracts should be reviewed by the NWDB Finance Officer to determine fund availability.
3. The original contract will be provided to the NWDB Finance Officer. A copy will be kept in the OJT Business File and the OJT Participant File.

XII. OJT SUPPORTIVE SERVICES POLICY

Criteria for Selection

Supportive Services for all OJT participants must be approved by the NWDB Director. All of the following conditions have to be met by a client prior to consideration for financial assistance. These conditions have been established to help ensure equity and to assist those that may have the greater need due to the expense of not working and just returning to work. These funds have been provided in recognition that individuals who have been affected by not working and who are economically disadvantaged and are trying to improve their work competitiveness may need special assistance. Clients may be eligible for NWDB's supportive services, to include but not limited to transportation and childcare, for the duration of his/her OJT.

- All documentation in accordance with NWDB's supportive services policy is required to be complete, accurate, and uploaded into the participant's NCWorks files.
- Clients must be a resident of one of the ten counties covered by the Northeastern Workforce Development Board.

- Justification of need must be reasonable based on an analysis of monthly expenses vs. monthly income.
- Documentation available to support the requested assistance.

Clients seeking emergency financial assistance must contact his/her Career Advisor immediately to make arrangements.

The Northeastern Workforce Development Board reserves the right to deny any request based on insufficient funds, lack of documentation, or reasonableness of need.

XIII. OJT PAYMENTS: REIMBURSEMENT POLICY AND INVOICING PROCEDURES

Reimbursement will be provided only for time actually spent working (training).

Reimbursement to Employers is 50% of the OJT Trainee’s regular salary.

Reimbursement of 75% can be provided if the employer employs 250 employees or less and:

- a. the employee receives benefits to include (at a minimum): subsidized health insurance and paid leave within the first six months of employment; OR
- b. if the employer can demonstrate that the employee’s position affords him/her the opportunity for future career advancement within the company.

The OJT Employer shall be reimbursed once per month. Reimbursement must be requested using the attached **OJT Employer Reimbursement Form**. The request shall be made upon completion of the month worked. The Employer may mail, fax or email this form to the NWDB BEC. Please note that both the trainee and employer are required to answer the questions on the form and sign.

To receive reimbursement the employer must submit signed **OJT Employer Reimbursement Form** (attached) documenting the hours of training and the amount paid during the training period, signed timesheets, and payroll documentation. The NWDB BEC, Finance Officer, Adult/Dislocated Worker/Youth Program Manager and Career Advisor will validate the documentation before processing it for reimbursement.

No reimbursement is permitted for hours not worked (e.g., paid holidays, sick leave, vacation, military leave, jury duty, etc.). Reimbursement is made at a fixed rate per hour of training based on the participant’s base pay. Trainees paid a salary versus an hourly wage, are considered non-exempt and must be paid overtime for hours worked over 40/hours per week.

Overtime hours worked are reimbursed in the same amount as regular hours worked. The increased pay per hour for overtime does not affect the hourly amount of compensation reimbursement paid to the employer for training the participant.

If the employer requires classroom training as a part of the participant’s OJT plan, reimbursement (at the agreed upon fixed hourly rate) to the employer is permitted only if the employer pays the participant his/her full hourly wage during classroom training.

OJT employers are expected to submit for reimbursement on a regular basis in accordance with the OJT employer's regular payroll cycle. The BEC is responsible for monitoring reimbursements and taking every necessary measure to request missing reimbursements from employers within two weeks of not receiving a reimbursement form. This includes emails and phone calls to the employer. The BEC should work closely with the NWDB Finance Officer to track reimbursements and to communicate any early exits from the OJT program with both the finance officer and Career Advisor. Final claims for reimbursement must be received within 30 days of the end of the contract.

Employers that have an OJT contract that covers two different NWDB program years (i.e., their OJT participant will be under an OJT contract before and after June 30th of every year), then the BEC is responsible to collecting the reimbursement form by July 15th for all OJT hours worked prior to June 30th. If this reimbursement form is not collected and the process for submitting reimbursement to the NWDB Finance Officer is not followed through by July 15th, then the employer will not receive reimbursement for any OJT hours claimed before June 30th.

OJT Wage Expenditure Report should be submitted monthly with adequate support documentation to include the OJT employer's payroll document and signed participant's timesheet. Thus, for those employers paying on a weekly basis the wage expenditure report will usually cover four pay periods (occasionally five pay periods), while those employers paying on a semi-monthly or bi-weekly basis would submit a wage expenditure report covering two pay periods.

The WIOA staff members who are responsible for developing and monitoring the OJT subcontracts will assist the employer as needed in completing and submitting the wage expenditure report and support documentation. Technical assistance from the Northeastern Workforce Development Board staff will be provided upon request and as deemed necessary by the administrative staff. Signed timesheets, invoices, payroll records and/or copies of paystubs must be maintained and uploaded into the participant's file in NCWorks as well as a hard copy kept by the BEC in the business folder.

Employers' reimbursement will be withheld if the Employer does not provide required evaluations of the OJT Trainee. The BEC will make every effort to communicate with Employer should this occur. All relevant communications shall be documented.

XIV. CASE MANAGEMENT AND MONITORING

The BEC is responsible to ensure that appropriate OJT-related Case Management and Monitoring is successfully completed. Under normal circumstances, the following is recommended; however, any modification shall be communicated between the BEC and the Career Advisor.

1. Participant Monitoring:

Monitoring on a **monthly basis** will be required. This monitoring may be completed by phone or email. The “OJT Employer Reimbursement Form”, which includes questions for the employer and OJT trainee (and requires signatures of both), may be used for the monthly monitoring as well. For financial assurances, the reimbursement form will be validated using the participant's time sheet or pay stub and specific details will be documented in the **OJT Reimbursement Internal Control** sheet. This will be reviewed by the Career Advisor, the Program Manager, the Business Engagement Coordinator, the NWDB Finance Specialist, the Albemarle Commission's Finance Officer and the NWDB Director. There should be at least one phone and/or in-person monitoring during the training period. The **OJT Participant Monitoring Report** must be completed to document this monitoring. If the OJT participant will not return phone calls, this monitoring may be completed via email. Concerns and corrective action necessary to accomplish the objectives shall be recorded and appropriate action and follow-up shall be documented. For programmatic assurances, the monitoring report shall be kept in the participant's OJT file to document the progress of training and achievement of the training objectives as defined in the contract. All monitoring activity must be documented in NCWorks.

2. OJT Contract/Business Monitoring:

At a minimum, one on-site monitoring visit shall be performed. Just as the participant monitoring procedures, the Business Engagement Coordinator will ensure that monthly reimbursement requests are valid by comparing them to the participant's pay stubs and/or timesheets and will work with the business on any needed corrections before submission to finance. The OJT Business Monitoring Report must be completed to document this visit to ensure programmatic compliance. This visit should take place around the time the employer completes the Mid-Point Evaluation. Concerns and corrective actions shall be recorded and appropriate action and follow-up shall be documented. This report shall be kept in both the Employer OJT File and the OJT Participant File.

XV. TRAINEE SKILL EVALUATION

The Employer shall evaluate the OJT Trainee at least twice during the training period in order to assess the progress made in relation to the Training Plan. The **OJT Contract: Trainee Evaluation** shall be used for both the Midpoint and the Final Skills Evaluation. A copy of the Evaluation form shall be provided for the Employer, the Trainee, Employer OJT File and the OJT Participant File. The Employer, Supervisor, and the Trainee shall sign the Evaluation Form. It is preferred that the original be maintained in the OJT Trainee File.

a) Midpoint Skills Evaluation: This is an opportunity for the Employer, Supervisor, and the OJT Trainee to interact intentionally to review the skills progress made and to make any necessary adjustments to the Training Plan.

b) Final Skills Evaluation: This is completed at the conclusion of the training to document the

mastery of the required skills to perform the job. Completion of the Final Skills Evaluation signals the successful completion of the Training Plan and the beginning of unsubsidized employment.

XVI. CERTIFICATE OF COMPLETION

Although a Certificate of Completion is not required, the BEC shall make every effort to prepare a Certificate of Completion to present to the OJT Trainee and Business.

Northeastern Workforce Development Board

On-the-Job Training (OJT) Contract: Pre-Award Analysis

Section 1: Employer Information

Complete the following Employer Information			
COMPANY NAME:		FEIN #:	
CONTACT PERSON:		TITLE: <input style="width: 50px; height: 20px;" type="text"/>	
COMPANY ADDRESS:		COUNTY: MINIMUM WAGE EXPECTATION:	
PHONE:	FAX:	EMAIL:	
TYPE OF ORGANIZATION: PRIVATE FOR PROFIT <input type="checkbox"/> PRIVATE NON-PROFIT <input type="checkbox"/> PUBLIC <input type="checkbox"/>			
COMPANY NAICS CODE:	# OF CURRENT EMPLOYEES IN THIS LOCATION:	YEARS IN EXISTENCE:	
OJT JOB TITLE: <i>(Please include job description with submission of this pre-awards analysis)</i>			

Section 2: Criteria for OJT Employers

	YES	NO	Employer Requirements
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1) Does the employer agree to ensure that the OJT will not result in the replacement of laid-off workers?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2) Does the employer ensure that the company has not exhibited a pattern of failing to provide OJT trainees with continued long-term employment? <i>Note: Employers that do not retain an employee who satisfactorily completes their training plan will not be eligible for future OJTs for one year, unless there are extenuating circumstances beyond the employer's control (e.g., the trainee/employee quit).</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3) Does the employer commit to providing long-term employment for successful OJT trainees, barring unforeseen economic conditions?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4) Does the employer agree to ensure that the OJT will not result in the full or partial displacement of currently employed workers nor will it infringe on promotional opportunities of current workers?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5) Does the employer agree to ensure that trainees will be provided the same benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6) Does the employer agree to ensure that trainee wages to be paid are at least equal to both: a) the Federal, state or local minimum wage (Fair Labor Standards Act), and b) other employees in the same occupation with similar experience?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7) Does the employer agree to ensure that trainees are provided with the same workers'

		compensation coverage as regular, non-OJT employees? a) Worker's Compensation Company: b) Account #: c) Effective Dates: to
<input type="checkbox"/>	<input type="checkbox"/>	8) Does the employer agree to ensure that the OJT will not result in the impairment of existing contracts for services or collective bargaining agreements?
<input type="checkbox"/>	<input type="checkbox"/>	9) Does the employer agree to ensure that OJT funds will not be used to directly or indirectly assist, promote, or deter union organizing?
<input type="checkbox"/>	<input type="checkbox"/>	10) Does the employer agree to ensure that WIOA funds will not be used to relocate operations in whole or in part?
<input type="checkbox"/>	<input type="checkbox"/>	11) Does the employer confirm that the company has operated at current location for at least 120 days (unless the new location did not result in the layoff of employees at another location)?
<input type="checkbox"/>	<input type="checkbox"/>	12) Does the employer agree to provide safe working conditions for OJT trainees?
<input type="checkbox"/>	<input type="checkbox"/>	13) Does the employer agree that the position's hourly wage meets the minimum OJT requirements of \$12.50 per hour?
<input type="checkbox"/>	<input type="checkbox"/>	14) Does the employer agree to comply with the process/procedures below?
<input type="checkbox"/>	<input type="checkbox"/>	15) Does the employer confirm that a prospective hire would not have been hired in the absence of an OJT contract?

Notes:

1. Send Pre-Awards Analysis & Job Description for OJT Position to:
Amber Morse | amorse@accog.org | Fax: 252-331-4809

2. OJT Contracts **cannot** be established **AFTER** a participant/employee has been hired.

3. In order for NWDB to determine eligibility for prospective OJT participants/employees, please send the individual's name and contact information (phone #) to Amber Morse after interviews take place:
 - a) Refer to the Workforce Innovation & Opportunity Act general eligibility criteria for information on how qualifications are determined
 - b) Inform your applicants that NWDB will be contacting them and that they will need to provide information regarding their work history and/or income as part of this process (a letter can be provided to you for guidance on this)
 - c) Allow at least 5 business days for the eligibility determination, and documentation procedures for potential OJT participants

*Employers are encouraged to review the OJT process

Section 3: Authorized Signatures

I hereby certify that the above information is, to the best of my knowledge, true and correct.

EMPLOYER SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

Section 4: Outcome of Pre-Award Interview

1. Does the employer meet all requirements (i.e. answer "yes" to all twelve questions above) of the OJT pre-award analysis? YES NO

2. Will an OJT Contract (Employer Agreement) be developed? YES NO
If not, please explain.

Northeastern Workforce Development Board

Insert OJT Provider Name

On-the-Job Training (OJT): Skills Gap Analysis

Participant:	Employer:
Previous Position:	Identified OJT Position:
O*NET Code:	O*NET Code:

Compared Occupations

Click here to enter text.is a strong OJT Candidate for the identified OJT position. The exact title of the position is Click here to enter text. and it was determined, based on the employer's job description, that it closely resembles that of Click here to enter text. as found in **O*NET**.

The majority of Click here to enter text. work history has been with Click here to enter text. as a Click here to enter text.. The primary tasks associated with this position were Click here to enter text.. After reviewing Click here to enter text. work history it was determined that this previous position most closely relates to that of Click here to enter text.as found in **O*NET**.

Participant's Work History

Click here to enter text.does not have any experience in a Click here to enter text.environment, specifically Click here to enter text.. Choose an item. also will need training in Click here to enter text.. In addition, consideration must be given to the fact thatClick here to enter text..

Overview of Transferrable Skills:

Click here to enter text. has some of the skills associated with the OJT position in regards toClick here to enter text.; however, Choose an item. lacks specific knowledge in Click here to enter text. that will be needed for this position as a Click here to enter text..

Some of the skills gaps identified were as follows:

Click here to enter text.

Some of the knowledge gaps identified were as follows:

Click here to enter text.

Targeted Skills for OJT

More specifically the skills that Click here to enter text.will be learning in this OJT position are:

<u>Task Category:</u> Click here to enter text.	<u>Percentage:</u> Click here to enter text.
---	--

Updated 2-5-2019

<u>Description:</u> Click here to enter text.
--

<u>Task Category:</u> Click here to enter text.	<u>Percentage:</u> Click here to enter text.
<u>Description:</u> Click here to enter text.	

<u>Task Category:</u> Click here to enter text.	<u>Percentage:</u> Click here to enter text.
<u>Description:</u> Click here to enter text.	

<u>Task Category:</u> Click here to enter text.	<u>Percentage:</u> Click here to enter text.
<u>Description:</u> Click here to enter text.	

<u>Task Category:</u> Click here to enter text.	<u>Percentage:</u> Click here to enter text.
<u>Description:</u> Click here to enter text.	

<u>Task Category:</u> Click here to enter text.	<u>Percentage:</u> Click here to enter text.
<u>Description:</u> Click here to enter text.	

<u>Task Category:</u> Click here to enter text.	<u>Percentage:</u> Click here to enter text.
<u>Description:</u> Click here to enter text.	

Summary

OJT will benefit this candidate tremendously and will help to close the skills gapClick here to enter text. will be able to properly train this candidate and help Choose an item.to obtain all the skills and tools Choose an item.will need to become a successfulClick here to enter text..

The **Economic Modeling Specialist, Inc. (EMSI) Analyst Tool** was used to compare the occupations ofClick here to enter text.) and Click here to enter text.. I chose EMSI because the Career Pathways tool quantifies and compares the skills and knowledge needed for the two occupations. I chose to compare the skills and knowledge, because it was a more accurate representation of what would be required to perform the job than just using skills alone.

Training Plan

The SVP range for the OJT occupation isClick here to enter text.– which means it takes someone with NO transferable skills Click here to enter text.to become proficient at this occupation. After

Updated 2-5-2019

receiving input from the employer, it was determined that [Click here to enter text](#).of training would be used as standard for someone with no transferable skills – which would be [Click here to enter text](#).**standard training hours**.

Considering the above analysis, along with the employer’s job description and [Click here to enter text](#). prior work history, the employer agreed that after [Click here to enter text](#). hours of training, [Click here to enter text](#).would be an integral and successful part of their team.

Updated 2-5-2019

Northeastern Workforce Development Board

Insert OJT Provider Name

On-the-Job Training (OJT) Contract: Training Plan

Section 1: General Information

Please complete the following:					
TRAINEE NAME:		JOB TITLE:		CONTRACT #:	
O*NET CODE:		SVP CODE:		HOURLY STARTING WAGE: \$	
HOURLY ENDING WAGE: \$		REIMBURSEMENT PERCENTAGE: %		REIMBURSEMENT RATE: \$	
MAXIMUM TRAINING HOURS:		MAXIMUM REIMBURSABLE AMOUNT: \$			
COMPANY NAME:			COMPANY ADDRESS:		
TRAINEE SUPERVISOR:		TITLE:		PHONE/EMAIL:	
EMPLOYER REPRESENTATIVE NAME:		WIOA OJT AGENCY REPRESENTATIVE:		WIOA OJT AGENCY REPRESENTATIVE CONTACT INFO:	
PAY SCHEDULE: Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Bi-Weekly <input type="checkbox"/> Other <input type="checkbox"/>		PAY DAY: PERIOD COVERED:		RATIO OF TRAINEES TO SUPERVISOR:	
APPROXIMATE # OF EMPLOYEES: Less than 250 employees <input type="checkbox"/> More than 250 employees <input type="checkbox"/>			GRIEVANCE POLICY IN PLACE FOR EMPLOYEES: YES <input type="checkbox"/> NO <input type="checkbox"/> <i>Note: If no, employers must agree to abide by the Albemarle Commission's grievance policy.</i>		
BENEFITS AVAILABLE (list):					

Section 2: Training Outline (continued, if applicable)

JOB SKILLS NEEDED	STANDARD TRAINING HOURS	ANTICIPATED TRAINING HOURS	ESTIMATED START DATE	ESTIMATED END DATE

Section 3: Authorized Signatures

By signing below, I agree to adhere to the Training Outline and my responsibilities thereof.

EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
SUPERVISOR SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
TRAINEE SIGNATURE:		DATE:

This instrument has been pre-audited in the manner required by the Local Government Budget & Fiscal Control Act.

SIGNATURE OF FINANCE OFFICER: _____

Section 4: Training Plan Modification, if applicable

On-the-Job Training Plans may require changes for which a modification is necessary. Reasons for a modification include but are not limited to:

- *To extend the end date of training due to illness or equipment failures at the place of business.*
- *To correct errors in the original training budget or the description of the job duties.*
- *Cancellation.*
- *To extend the end date in order to ensure satisfactory skill attainment.*

The Employer and the OJT Agency agree that this Training Plan shall be modified as stated:

Except as hereby modified, all other terms and conditions of this training plan remain unchanged and in full force and effect. The effective date of this modification is _____.

The employer and the OJT Agency mutually agree to abide by the terms and conditions stated and do hereby execute this modification in keeping with our respective authority.

<i>By signing below, I agree to adhere to the modifications set forth in Section 4</i>		
EMPLOYER SIGNATURE:	TITLE:	DATE:
SUPERVISOR SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
TRAINEE SIGNATURE:		DATE:

*By signing this agreement all parties agree to follow Assurances found on the Employer Agreement, page 3.

Northeastern Workforce Development Board
[Insert OJT Provider Name Here]
On-the-Job Training (OJT) Contract: Employer Agreement

Section 1: Contact Information

Complete the following Employer Information		
WIOA OJT AGENCY: Northeastern Workforce Development Board	WIOA OJT AGENCY REPRESENTATIVE:	PHONE NUMBER/ EMAIL ADDRESS:
COMPANY NAME:		<input type="checkbox"/> STATE ACTIVITIES FUNDS <input type="checkbox"/> FORMULA FUNDS <input type="checkbox"/> OTHER (SPECIFY)
ADDRESS:		PHONE NUMBER:
EMPLOYER REPRESENTATIVE:	TITLE:	EMAIL ADDRESS:
CONTRACT START DATE:	CONTRACT END DATE:	

Section 2: Contract Agreement

This contract is entered into between Northeastern Workforce Development Board, hereinafter called the Workforce Innovation and Opportunity Act (WIOA) OJT Agency, and _____, hereinafter called the Employer.

The parties hereto agree that the Employer will employ worker(s) and provide OJT services to individuals referred by the WIOA OJT Agency and deemed acceptable by the Employer in accordance with the associated pre-award analysis and training plan(s) attached and made a part thereof. Reimbursement will be paid pursuant to the terms and conditions set forth under the General Assurances on the reverse side of this signatory sheet. In no case shall total reimbursement exceed ____ percent of the gross wages paid to the trainee(s) during the training period. In addition, the Employer agrees that it will perform under this contract in accordance with the WIOA and the regulations, procedures and standards promulgated there under. The Employer shall comply with all applicable federal, state and local laws, rules and regulations which relate to the employment of persons who perform work and are trained under this contract.

Individuals employed under this contract must be certified as being eligible by the WIOA OJT Agency. The Employer agrees to submit an invoice for reimbursement to the WIOA OJT Agency Northeastern Workforce Development Board. In addition, the Employer agrees to complete and submit the attached evaluation for each trainee at the midpoint and end of the training period.

Section 3: Authorized Signatures

I agree to all terms, conditions, and general assurances set forth in this contract. I hereby certify that the information is, to the best of my knowledge, true and correct.

EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

Section 4: Contract Agreement Modification, if applicable

Contract Agreement terms modified: _____

Reason for modification or cancellation: _____

I hereby certify that I agree to the contract agreement modification(s) as stated above.

EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

On-the-Job Training General Assurances

1. **Employer Criteria**
 - a. The employer must provide information such as an IRS Employer Identification number to demonstrate that they are a legitimate employer, having full-time employees, and conducting their trade or business at an appropriate worksite.
 - b. The employer must not be involved in a current labor dispute and must not have a history of frequent layoffs.
 - c. OJT training may not be subcontracted and must be conducted at the employer's place of business, which meets prevailing standards with respect to wage, hours and conditions of employment.
 - d. Employer referrals to NC Career Centers are permitted. Eligibility and suitability for OJT must be determined and verified prior to hiring and/or the beginning of training.
 - e. OJT contracts are permitted with firms in which current and/or past Workforce Development Board (WDB) members are employed. Contracts may not be permitted where WDB members have certain ownership or other interests in the firm. Please refer to NCGS 14-234 (a1)(4).
 - f. The employer must be in compliance with all applicable business licensing, taxation and insurance requirements. The employer must not be in violation of any local, state or federal labor laws.
2. **OJT Training Occupation**
 - a. The OJT training occupation must not be seasonal, intermittent, or temporary.
 - b. The occupation must not involve payment in the form of a commission as the primary source of payment to the OJT employee.
 - c. The occupation must be one in which specific occupational training is a prerequisite for employment.
 - d. The occupation must provide full-time employment. (Full-time is defined as a 40-hour work week, except where fewer or greater hours are normal to the occupation, but in no case less than 30 hours per week.) Contracts may also be negotiated for part-time employment if such negotiation is undertaken for a specific trainee, but only in those instances where full-time employment is not feasible due to limitations (*i.e.*, individuals with an impairment or disability).
 - e. Training may not be provided for occupations where adequate supervision and/or monitoring are not available. These may include traveling salespersons, out-stationed job positions, truck or van drivers and other positions requiring more than an occasional trip from the employer worksite.
3. **Payments**
 - a. The employer shall be reimbursed for training costs upon timely submission of the invoice appropriately certified by the employer's signatory official. Payment shall be based on the hours actually worked for which wages are paid under each training slot, times the negotiated fixed hourly rate. Payment of overtime shall be restricted to work consistent with the training plan. Payment shall include reimbursement of costs associated with employment and training services which have been integrated into the training plan and for which wages have been paid.
 - b. No reimbursement shall be made for a period of work stoppage at the employer's worksite.
 - c. Each trainee's wages shall be paid in full for the period for which reimbursement is being requested prior to the transmittal of an invoice to the WDB for payment.
4. **Availability of Funds**

Payment for contract activity extending into the next program year is conditional on the availability of Workforce Innovation and Opportunity Act (ACT) funds in that program year. No obligations will be incurred by the employer if such funds are not available. The employer will be notified in advance when funds are limited.
5. **Records Retention and Review**
 - a. The employer shall maintain records (business receipts, payroll records), sufficient to reflect all costs incurred in the performance of this contract until the appropriate WDB audit has been fulfilled, or until the expiration of three years from the date of final payment under this contract.
 - b. The employer's establishment and records related to the trainee, as may be engaged in the performance of this contract, shall be subject at a reasonable time to inspection, audit, review and evaluation by the U.S. Department of Labor, State of North Carolina, and the WDB.
 - c. The employer agrees to reimburse to the WDB any and all funds received under this contract which are determined by audit to have been spent in activities not in compliance with the provisions of this contract.
6. **Contract Modifications**

This contract may be modified, terminated, or cancelled whenever it is determined that such action is in the best interest of the WIOA program or employer. Terminations, cancellations, and modifications shall be effective on the date of execution.
7. **Sectarian/Religious Activities**

No trainee enrolled under the contract shall be employed on the construction, operation, or maintenance of any facility as is used, or to be used, for sectarian instruction or as a place for religious worship. Trainees may not be trained or employed in sectarian and/or political activities.
8. **Disclosure of Confidential Information**

Confidential information about any trainee shall be divulged by the employer only as necessary for purposes related to evaluation of the employee's performance.
9. **Nepotism**

No persons shall be hired under this contract if a member of his or her immediate family is employed in an administrative capacity by the employer. The term "administrative capacity" includes those who have selection, hiring, placement, or supervisory responsibility for OJT trainees and "immediate family" shall include: Wife/Husband, Son/Daughter, Mother/Father, Brother/Sister, Son-In-Law/Daughter-In-Law, Mother-In-Law/Father-In-Law, Stepparent, Stepchild, Grandparent, and Grandchild.
10. **Debarment and Suspension**

The employer certifies that neither he/she nor the company's principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
11. **Equal Opportunity and Non-Discrimination**

The employer shall not discriminate against any employee or applicant because of race, color, religion, sex, age, disability, political affiliation, beliefs, citizenship or national origin and agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this Equal Opportunity clause. This contract is subject to the Civil Rights Act of 1964 and ensuing Regulations in 29 CFR Part 31.
12. **Grievances**

The employer will ensure that the OJT trainee is informed of established grievance procedures for resolving employee complaints.
13. **Maintenance of Effort**

Employer sponsored training in existence prior to initiation of this project shall be continued and may not be reduced in any way as a result of this contract (except for reduction unrelated to the provisions and purposes of this contract).
14. **Conditions of employment**

Conditions of employment and training will be in full accordance with all applicable federal, state, and local laws and ordinances (including but not limited to labor and employment laws, environmental laws or health and safety laws).

OJT CONTROL SHEET – INTERNAL USE

EMPLOYER:

Contract Number:

MAILING ADDRESS:

Contract Start - End

Date:

Employee/OJT Participant:

Reimbursement Rate:

Career Advisor:

Total Training Hours:

Program:

Total Reimbursement:

INVOICE NO.	PAYROLL PERIOD		TRAINEE HRS. WORKED	REIMBURSEMENT AMOUNT
	From	To		
	Total Training Hours/ Reimbursed:			
	Total Hours Allowed:			
	Training Balance:			

Date submitted to Business Services: _____

Date forwarded to Adult/DW Program Manager: _____

Adult/DW Program Manager Signature: _____

Date: _____

Verify with participant's Career Advisor; Forward to Finance Officer upon signing

Finance Officer Signature: _____

Date: _____

This instrument has been pre-audited in the manner required by the Local Government budget and Fiscal Control Act.

Send to Career Advisor and Business Services

Northeastern Workforce Development Board
On-the-Job Training Wage Expenditure Report and Reimbursement Request

EMPLOYER:		Contract Number:	
MAILING ADDRESS:		Contract Start - End Date:	
Employee/OJT Participant:		Reimbursement Rate:	
Career Advisor:		Total Training Hours:	
		Total Reimbursement:	

Instructions to Employers: Enter data in cells shaded light green. OJT reimbursement is not provided for paid time off. OJT is reimbursed as a percentage of the base pay for all hours of training. OJT reimbursement is not paid for earnings from shift differentials, production bonuses, tips, commission, etc. Overtime is counted as training time, but reimbursed at the base rate (not the overtime pay rate).

PROVIDE COPY OF PAYROLL INFORMATION FOR THIS OJT EMPLOYEE (I.E., PAYSTUB) FOR EACH EXPENDITURE REPORT FILED

PAYROLL PERIOD		TRAINING HRS. PER TIMESHEET				PAID			GROSS
Dates		Regular	Over Time	Paid Time Off	Total	Base Pay per Hour	Overtime Pay per Hour	Paid Time Off	Paid
From	To					Regular	Over Time		
						\$	\$	\$	\$
						\$	\$	\$	\$
						\$	\$	\$	\$
						\$	\$	\$	\$
						\$	\$	\$	\$
Totals Per Employer:									\$

TRAINING HOURS COMPLETED X REIMBURSEMENT RATE = TOTAL REIMBURSEMENT REQUESTED

(Authorized Employer Signature)

(Employee/OJT Participant Signature)

(Date)

Employers should contact Amber Morse, Business Engagement Coordinator with any OJT questions/concerns

Employees/OJT Participants should contact their NCWorks Career Advisor with any OJT questions/concerns

Reimbursement Forms may be sent by any of the following: Email: amorse@accog.org Mail: Northeastern Workforce Development Board, 111 Jordan Plaza, Elizabeth City, NC 27909 Attention: Amber Morse Fax: 252.621.6371

Northeastern Workforce Development Board

Insert OJT Provider Name Here

On-the-Job Training (OJT) Contract: Trainee Evaluation

Trainee Name: _____

Employer: _____

Supervisor Name: _____

Section 1: Evaluation

JOB SKILLS OBJECTIVES	MIDPOINT EVALUATION OF SKILLS	MIDPOINT EVALUATION DATE	FINAL EVALUATION OF SKILLS	FINAL EVALUATION DATE
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	
	Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>		Mastered objective <input type="checkbox"/> Satisfactory progress <input type="checkbox"/> Unsatisfactory progress <input type="checkbox"/>	

Section 2: Authorized Signatures

Midpoint Evaluation

<i>I hereby certify that the above information is accurate.</i>	
EMPLOYER SIGNATURE:	DATE:
SUPERVISOR SIGNATURE:	DATE:
TRAINEE SIGNATURE:	DATE:

Final Evaluation

<i>I hereby certify that the above information is accurate.</i>	
EMPLOYER SIGNATURE:	DATE:
SUPERVISOR SIGNATURE:	DATE:
TRAINEE SIGNATURE:	DATE:

- Having satisfied the requirements of the training plan, employment continues on an unsubsidized basis.

Section 3: Comments (please explain any unsatisfactory evaluation items)

Northeastern Workforce Development Board

Insert OJT Provider Name

On-the-Job Training (OJT) Participant: Monitoring Report

Please complete the following:

TRAINEE NAME:	JOB TITLE:	EMPLOYER:
TRAINEE SUPERVISOR:	TITLE:	OJT TRAINING DATES:
NAME OF REVIEWER:	TITLE:	DATE OF REVIEW:

YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	1) Do you have a copy of your Training Plan?
<input type="checkbox"/>	<input type="checkbox"/>	2) Are you receiving the type of training outlined on the Training Plan? If not, do you know why?
		3) Who is providing the training and how much time do they typically spend with you during the day?
<input type="checkbox"/>	<input type="checkbox"/>	4) Does your supervisor explain your assignments and provide support if needed?
<input type="checkbox"/>	<input type="checkbox"/>	5) Does your supervisor review your performance with you consistently?
<input type="checkbox"/>	<input type="checkbox"/>	6) Do you have any concerns about the job; working conditions including safety provisions, supervision, working hours, pay, etc.?
<input type="checkbox"/>	<input type="checkbox"/>	7) Do you have any additional comments, questions or concerns?

WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	DATE:
EMPLOYEE SIGNATURE:	DATE:

Northeastern Workforce Development Board

Insert OJT Provider Name

On-the-Job Training (OJT): Business Monitoring Report

Please complete the following:		
TRAINEE NAME:	JOB TITLE:	EMPLOYER:
TRAINEE SUPERVISOR:	TITLE:	OJT TRAINING DATES:
NAME OF REVIEWER:	TITLE:	DATE OF REVIEW:

YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	1) Do you have a copy of the trainee's OJT Training Plan?
<input type="checkbox"/>	<input type="checkbox"/>	2) Is the Training Plan being followed? If not, why?
		3) Who is providing the training and how much time do they typically spend with the trainee during the day?
<input type="checkbox"/>	<input type="checkbox"/>	4) Do you review the trainee's progress with them regularly? Please explain.
<input type="checkbox"/>	<input type="checkbox"/>	5) Is the trainee making satisfactory progress in learning the position? Please explain.
<input type="checkbox"/>	<input type="checkbox"/>	6) In general, are you satisfied with the OJT experience including the trainee, contract process, training plan development, and evaluation process?
<input type="checkbox"/>	<input type="checkbox"/>	7) Do you have any other questions, comments or concerns?

WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	DATE:
EMPLOYER/SUPERVISOR SIGNATURE	DATE:

Northeastern Workforce Development Board

On-the-Job Training (OJT) Contract: Extended Training Plan

CONTRACT #:	EMPLOYER:
PARTICIPANT/EMPLOYEE:	
CONTRACT START DATE:	CONTRACT END DATE:
TOTAL CONTRACTED TRAINING HOURS:	HOURS REMAINING
NEW CONTRACTED END DATE:	
NOTES REGARDING EXTENSION:	

<u>JOB SKILLS NEEDED</u>	Areas of Emphasis/Steps for Success (To be filled out by employer)	ESTIMATED START DATE	ESTIMATED END DATE

Northeastern Workforce Development Board

On-the-Job Training (OJT) Contract: Early Exit Documentation

Complete the following Employer Information		
WIOA OJT AGENCY: Northeastern Workforce Development Board	WIOA OJT AGENCY REPRESENTATIVE: AMBER MORSE	PHONE NUMBER/ EMAIL ADDRESS: amorse@accog.org ; 252.312.4308
COMPANY NAME:		
PARTICIPANT NAME:		TITLE:
TRAINEE SUPERVISOR:	TITLE:	PHONE NUMBER/EMAIL ADDRESS:
CONTRACT START DATE:		LAST DAY OF EMPLOYMENT:
REASON FOR EARLY EXIT: Employer termination <input type="checkbox"/> Employee resignation <input type="checkbox"/> OTHER, PLEASE SPECIFY: <input type="checkbox"/> _____	COMMENTS REGARDING EARLY EXIT FROM OJT:	
<i>I hereby certify that I agree to the contract agreement modification(s) as stated above.</i>		
EMPLOYER REPRESENTATIVE SIGNATURE:	TITLE:	DATE:
WIOA OJT AGENCY REPRESENTATIVE SIGNATURE:	TITLE:	DATE:

TITLE	OJT Issuance
FILE NAME	Issuance #12 - ^^... Job Training.pdf
DOCUMENT ID	b5e33dfb3cd8b3338cc44d18806e9c2482df17a8
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Northeastern Workforce Development Board

ALBEMARLE COMMISSION REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

January 12, 2021 (Updated March 1, 2024)

NWDB Issuance No. 42-A – RECINDS No. 42

SUBJECT: One-Stop Operator Monitoring

PURPOSE:

The Northeastern Workforce Development Board (NWDB) must conduct regular oversight and monitoring of the NCWorks Career Center operations within their 10-county region as required by Federal and State regulations. The goal is to collect sufficient data to:

- Ensure compliance with NWDB One-stop Operator Agreement
- Review Workforce Innovation & Opportunity Act (WIOA) activities for Title I and Title III
- Analyze how services are provided through the NCWorks Career Centers
- Determine any compliance issues in one or more of the WIOA funding streams and one-stop operations

The objective of quality assurance reviews includes:

- Evaluate center compliance with federal, state and local performance measures for workforce programs
- Evaluate center compliance with local policies and procedures
- Evaluate center effectiveness and impact
- Identify center successes and challenges
- Evaluate center performance and service goals
- Provide guidance and technical assistance to ensure quality workforce services are provided to career center customers (employers and job seekers)

BACKGROUND: NWDB, as the oversight entity under WIOA for Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell, and Washington Counties, takes seriously their role of ensuring that career center services are meeting the needs of the community. This responsibility includes conducting objective quality assurance reviews and providing technical assistance to all centers and service providers.

Note: NWDB is required to procure a One-Stop Operator for the NCWorks Career Center Operations. Therefore, it is the One-Stop Operator's agreed upon duty to ensure that quality assurance procedures for career center operations are adhered to and met on a regular basis.

ACTION:

A full One-Stop Operator Monitoring will take place annually, with the option for additional reviews if there are observations or findings from a previous report. There are three parts to the One-Stop Operator Monitoring:

- a. The One-Stop Operator will be provided with the attached ***One-Stop Operator Monitoring tool (Attachment A)***. The Operator will work with the Career Center Managers to complete this tool and submit it to the designated Workforce Development Board (WDB) representative. The One-Stop Operator will have 20 business days to complete and submit this tool.
- b. A desk review of customer files (job seekers and employers) will be conducted. A file sample pool will be chosen randomly and a WDB representative(s) will review the files to determine compliance with policies and procedures and quality of work. The attached ***Desk File Review tool (Attachment B)*** will be used. Desk file reviews will be conducted as part of the overall annual review and may be conducted randomly throughout the year. If random reviews are conducted outside of the annual review, a report of the review will be drafted and shared with the One-Stop Operator and Center Manager(s).
- c. WDB representative(s) will conduct an on-site review. This may consist of reviewing the center's appearance, processes, and conducting customer interviews. Customer interviews may be completed on-site or by telephone. In addition, a WDB representative(s) will observe some or all career advisors as they are working with customers in the CRC, at the front desk, and at their desks. This on-site review will be conducted at least annually. The WDB representative(s) will use the attached ***On-Site Center monitoring tool (Attachment C) and Customer Interview Tool (Attachment D)***.

Once the attachments are completed, WDB representatives will review each of the completed tools and draft a report. This draft report will be sent to the one-stop operator within 20 business days. If the operator has any issues or concerns with the content of the draft report, the operator will have 10 business days to request a meeting with NWDB management to discuss.

Shall the one-stop operator request this meeting to discuss issues and concerns, then NWDB will consider those concerns and execute a final report. Otherwise, the final report will be sent out to the operator, center management and Career Center Committee after the initial 10 business days.

At this time, a meeting will be scheduled with the One-Stop Operator, Center Management, and WDB representative(s) to discuss the final report. The final report may contain Findings, Observations, and/or Technical Assistance. The One-Stop Operator will respond to the final report within 10 business days of receipt of the report to respond to any findings and/or observations.

Findings: A finding is an identification of a specific Federal, State and/or Local policy or

procedure with which the agency has failed to comply, and is significant enough to require actions. ***Findings are followed by required actions*** to be taken by the One-Stop Operator. A date is provided by which action and/or written response by the One-Stop Operator is expected. The One-Stop Operator will respond to indicate their acknowledgement of required actions, how they will comply with the required actions and if they will implement any other potential solutions.

Observations: Observations may be made of areas needing improvement that do not represent instances of non-compliance, but if not addressed, could become compliance problems in the future. An observation is addressed in the monitoring report via a recommendation. Recommendations include suggested action steps for the One-Stop Operator's consideration that in NWDB's opinion would improve center operations and/or performance. The One-Stop Operator is not required to adopt NWDB's specific recommendation. Regardless, the One-Stop Operator will respond to indicate whether the recommendation will be adopted or will indicate other solutions.

Technical Assistance: comments are used to identify areas needing improvement that are unrelated to compliance, but if corrected, could improve efficiency or effectiveness. The One-Stop Operator is not required to provide any response to technical assistance comments. Additional comments may be used to highlight positive aspects and/or best practices. A response is not required for additional comments.

Follow-up will be conducted by a WDB Representative to ensure items were corrected as requested by the deadline. Failure to correct these items will result in a non-compliance letter issued to the One-Stop Operator, which will also become part of NWDB One-Stop Operators permanent file. Continued non-compliance may result in probation and/or release of RFP to obtain a new One-Stop Operator.

EFFECTIVE DATE: February 8, 2022
EXPIRATION DATE: Indefinite
CONTACT: NWDB Director
DISTRIBUTION: One Stop Operators, Career Center Management
ATTACHMENT:

One-Stop Operator Monitoring tool (Attachment A)
Desk File Review tool (Attachment B)
On-Site Center monitoring tool (Attachment C)
Customer Interview Tool (Attachment D) (revised 3/1/24)



David Whitmer, NWDB Director

NWDB ONE-STOP OPERATOR MONITORING TOOL

Directions for One-Stop Operator: Please answer the questions below and provide the requested documents for each of the career centers at which you are the one-stop operator. Please submit the completed form and document to the NWDB Director.

One-Stop Operator & Center: _____

Date of Responses: _____

Center Facilities and Management

1. Does the center currently meet ADA requirements? Yes No If yes, provide last compliance review dates. If not, why?

2. Are non-traditional hours offered for customers who are not able to come to the Center during normal business hours? Yes Please describe No If not, why?

3. Does the Center have a Center manager? Yes No If not, why?

Comments:

Partners

1. Please list all on-site partners at the Center.

2. Please list the partners that are not on-site but have a direct linkage with the Center. Describe how collaboration happens with each partner listed.

3. Does the Career Centers hold regular (i.e., at least quarterly) partner meetings? (Please provide agendas and sign-in sheets for at least two partner meetings per Center) Yes No If not, why?

Comments:

4. Are all required Center partners (as outlined in the MOU) invited to the partner meetings? (Please provide email invitations for at least two partner meetings per Center) Yes No If not, why?

Comments:

5. Explain how front-line Center staff have been trained on the basic functions and eligibility requirements of all Center partner programs.

Comments:

6. Explain how partner agencies have been trained on the use of NCWorks Online.

Comments:

ISD

1. Explain how first-time job-seeker customers are oriented to the center, to include how their skills assessment is conducted.

2. Please explain how orientations, information on career pathways, and labor market information is provided.

3. Please explain how services for job seekers are provided through an integrated services delivery model to better meet their needs (please provide the Center’s ISD flowchart).

4. Please explain how employers are registered in NCWorks Online in accordance with NWDB Issuance #28 (Employer Services Protocol).

5. Please explain how employers are assisted with posting job orders in according with NWDB Issuance #28 (Employer Services Protocol).

6. Describe in detail the process for referring clients to Title I Services.

7. How are veterans identified and provided priority of service?

Successes, Challenges, and Innovation

1. Please describe at least one major success for the Center from the past year.

2. Please describe at least one major challenge the Center faced over the past year.

3. Please describe at least one innovative practice from the Center over the past year.

Training

1. Have all Center staff completed the required training as identified on the DWS Training Center’s website? Yes No If not, please explain.

2. Have all Center staff completed the Career Development Facilitator coursework? Yes No If not, please explain.

Performance

1. Please review the latest performance dashboard numbers for the Center and discuss some of the major successes and challenges.

2. Does the Center document success stories? (Please provide a brief success story for a job-seeker and for a business per Center). Yes. No If not, please explain.

Outreach

1. Please describe some of the Center’s outreach efforts. How are the staff “working outside of the Center walls” to reach new customers?

2. Provide the # of outreach events the center has participated in and provide the names of each staff member and the # of outreach events that they have participated in for the PY in review.

Date: _____
Reviewer: _____

NCWorks Career Center Location: _____

Part I: Performance Dashboard

Instructions for Reviewer: Attach the most current performance dashboard for all centers.

Based on the point of time in the year in which review is being conducted, what percentage should each measure be at? _____

Identify areas that are meeting the percentage-to-goal target:

Identify areas that are within 80% of the percentage-to-goal target:

Identify areas that are below 80% of the percentage-to-goal target:

Part II: Job Seeker-Quality of Services

Instructions for Reviewer: Run random sampling of Customers serviced for PY being reviewed. If issues are identified in the original sample, reviewer shall run another random sample of at least 5 more customers to determine if issue is a random mistake or a chronic issue.

	Customer UID #____	Customer UID #____	Customer UID #____	Customer UID #____	Customer UID #____
Is Personally Identifiable Information being redacted according to policy (DWS PS 08-2017)? Data Source: Initial assessment activity service code					
Was the jobseeker appropriately registered before receiving services?					

Was an assessment used to assist jobseekers in their search for employment?					
Is LMI being used to assist the jobseeker in their search for employment?					
Was the job-seeker's résumé completed/uploaded in NCWorks?					
Rate resume on a scale 1-5 on its quality (1 being poor, 5 being excellent)					
Were case notes written so that others needing to review and/or provide assistance can identify previous services and the current status of the jobseeker?					
Are job referrals made based on jobseekers' skills matching the businesses' preferences?					

Reviewer Comments about Job-Seeker Services (details if No to above):

Part III: Employer-Quality of Services

Instructions for Reviewer: Run random sampling of job orders posted for PY being reviewed. If issues are identified in the original sample, reviewer shall run another random sample of at least 5 more job orders to determine if issue is a random mistake or a chronic issue.

	Job Order #:_____	Job Order #:_____	Job Order #:_____	Job Order #:_____	Job Order #:_____
Was the job order written so that employer preferences and expectations are clearly communicated? (Y/N)					
Did the job order require applicants to provide a referral from career centers and if so, was that referral conducive to efficient application collection measures?					
Was the job order written pursuant to the NCWorks Job Order Policy? (Y/N)					

Reviewer Comments about Employer Services (details if No to above):

Instructions for Reviewer: Run random sampling of employer accounts for PY being reviewed. If issues are identified in the original sample, reviewer shall run another random sample of at least 5 more employer accounts to determine if issue is a random mistake or a chronic issue.

	Registered Employer:_____	Registered Employer:_____	Registered Employer:_____	Registered Employer:_____	Registered Employer:_____
Are there meaningful contacts and follow-up contacts with the business documented in NCWorks?					
How many different center staff have been involved in assisting the employer?					
How many of the aforementioned					

staff are members of the Business Services team?					
---	--	--	--	--	--

Reviewer comments about employer services:

NWDB On-Site Career Center Monitoring Tool

Process

There are two parts to the on-site center monitoring process as follows:

1. First, the NWDB representative(s) will meet with the Center Manager to discuss the on-site center monitoring process. During this meeting the NWDB representative(s) will also discuss center processes with the center manager including job seeker customer flow and employer services processes. At this time, NWDB representative(s) will address any questions from the One-Stop Operator Monitoring Tool (Attachment A) or request additional details. After this discussion, the NWDB representative(s) will tour the center paying attention to both appearance and processes. Attention will be paid to how Career Advisors work with customers in the Career Resources Center (CRC) and at the front desk (Welcome Function). The NWDB representative will also briefly interview at least one center customer to discuss their experience.
2. While on-site, the NWDB representative will observe Career Advisors as they are working with customers and may interview customers in person or via telephone. This may take place over a period of several days.

Part 1 – Meeting with Center Manager and Center Tour

Date of On-Site Visit: _____ Career Center: _____

NWDB Representative(s) _____

Career Center Manager _____

1. Please describe the center’s customer flow. Are staff organized by function? If so, are staff cross-trained to be able to work in each function? If staff are not organized by function, do staff understand each of the functions and how to perform each function?

2. Please describe the center’s employer services processes. Which staff work with employers and in what capacity? Does the center have dedicated staff to work with employers?

3. After touring the center, please describe the appearance. Focus areas should include the overall professional appearance of the center including cleanliness, clutter and how the center organized. Please note anything that stands out – whether positive or negative.

Customer Interview Guide

Direction for Reviewer: A random sampling of customers must be interviewed. This can be done in-person while on site and/or via the telephone.

Date: _____

Career Center: _____

Interviewer Name: _____

Customer Name (if willing to provide): _____

1. When you came into the Career Center, were you greeted in a way that made you feel welcomed? If no, please explain?
2. What services were you seeking assistance with?
3. Did you make an in-person visit to the Career Center or did you utilize a virtual service?
4. Did you learn about anything that you were unaware that the center offered?
5. If you were to refer a friend to the center, what would you tell them?
6. Did you receive a follow-up call from the career center?

Direction for Reviewer: A random sampling of business customers must be interviewed. This can be done in-person while on site and/or via the telephone.

Date: _____

Career Center: _____

Interviewer Name: _____

Business: _____

1. What type of assistance did you receive from the center?
2. Did you learn about anything that you were unaware that the center offered?
3. If you were to refer another business to the center, what would you tell them?
4. Was there anything you wish you had received help with from the center?



Northeastern Workforce Development Board

ALBEMARLE COMMISSION REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell, and Washington Counties

January 12, 2021 Updated 9/7/2023

NWDB Issuance No. 43

SUBJECT: WIOA Title I Adult, Dislocated Worker, & Youth Monitoring

PURPOSE: To monitor Title I Adult, DW, and Youth services to ensure quality and compliance with Federal, State, and Local policies and regulations.

BACKGROUND:

NWDB staff will perform quarterly reviews to assess compliance with issuances, protocols, etc. Staff will also analyze the performance of training providers and the progress being made towards Title I performance goals. NWDB staff will also obtain at least one success story per quarter from Title I service providers. These procedures are in place to identify areas for improvement, plan for staff training to address common trends, and highlight areas of success. In addition, staff shall conduct an annual fiscal monitoring.

ACTION:

Programmatic Monitoring:

The Title I Programmatic Monitoring is to be conducted quarterly as outlined in the steps below:

Step 1:

NWDB staff will document the total number of participants in active participation and follow-up for each program and the number of each to be sampled for monitoring.

Step 2:

NWDB staff will pull a sample of participant files from each program and review each of the files using the Programmatic Monitoring Tool (Attachment #43B). The completed monitoring tool will be provided to the Career Advisor assigned to each monitored file so that they can review the feedback and make any needed corrections.

The CA will acknowledge receipt of the completed Programmatic Monitoring Tool within five business days and must address all areas of correction within ten business days. NWDB staff will provide copies of the reviews to the NWDB Director (Center managers will also be given copies for Career Advisors with Adult and Dislocated Worker caseloads). Copies of these documents will be kept in a secured folder of the shared drive and may be included in employees' personnel files.

NWDB staff will also provide a summary of trends identified through their reviews, including areas of common success and areas where corrective action (and where applicable, staff training) is

recommended to mitigate common issues of mistakes.

Step 3:

THIS STEP WILL ONLY TAKE PLACE ANNUALLY IN JUNE. NWDB staff will pull a training provider program performance report for each training provider on the Approved Training List and summarize any areas of concern such as rates of completion vs. enrollees or rates of attained credentials vs. exits. Any recommended steps to address these concerns should be included.

Step 4:

NWDB Staff will pull performance measures and current percentage of goals via FutureWorks. A summary of any areas of concern along with recommended steps to address these concerns should be included.

Step 5:

NWDB staff will work with Career Advisors to collect success stories for at least one Youth participant and one Adult or Dislocated Worker participant. This can include those used in board packets.

Fiscal Monitoring:

Annual fiscal monitoring generally includes the following components:

- Review of financial and internal monitoring procedures.
- Review of staff salaries, indirect and joint costs, travel expenses, other expenses, and Timesheets.
- Review of monthly invoices and financial reports, and WEX reports
- Review to ensure proper fund codes are selected internally to match participant activities
- Review of general ledgers, bank reconciliations, chart of accounts.
- Review of award agreement, contracts, budgets, and WIOA compliance.
- Review of participant Individual Training Accounts, work-based Learning activities, Supportive services and incentives, and all other documentation related to participant activities

EFFECTIVE DATE: January 12, 2021 **Updated 9/7/2023**
EXPIRATION DATE: Indefinite
CONTACT: NWDB Director
DISTRIBUTION: NWDB staff and WIOA service providers
ATTACHMENT: A: Title I Programmatic Monitoring Tool (**Revised 9/7/2023**)
B: Summary of Recommendations to Improve Title I Services (**Revised 9/7/2023**)
C: Fiscal Monitoring Tool (**Revised 6/13/2023**)



David Whitmer, NWDB Director

Title	Updated Cover Page #43-WIOA Title I Monitoring
File name	Cover Page #43-WI...ring-Working.docx
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TITLE I PROGRAMMATIC MONITORING TOOL

Date: _____ PY _____ Qtr 1 2 3 4

Participant's Name: _____

Career Advisor: _____

Participant's Last 4 SSN: _____

WIOA Participation Date: _____

In-School Out-of-School Adult DW OJT

Program Enrollment

	Status		
Signed Wagner Peyser application on file? (Effective 7/1/2023)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
NCWorks Title I application signed by participant, Career Advisor, and parent/legal guardian (if applicable) & uploaded? (Full application with disability info required effective 7/1/2023)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Was the NCWorks application signed by the participant and CA on the participation date?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Do the signature date and print date match?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
NCWorks Objective Assessment signed by participant and Career Advisor and uploaded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Objective Assessment Activity Code Dates:	Begin: _____	End: _____	
Date Objective Assessment Signed:	_____		
Were any assessments used? (from O*Net, nccareers.org, MyNextMove, etc.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is a good resume uploaded in the system? (not required for Youth with no work history)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Local information Release form	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Local Area Complaint Procedures and Equal Opportunity Law	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Other local forms, as needed	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
If male participant turned 18 after enrollment (NEXTGEN ONLY), has he been registered for selective service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

Program Enrollment Documentation Comments:

Personal Identifiable Information/PII

	Status		
Are all Social Security Numbers redacted? (first 5 digits)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is all bank account/credit card information redacted?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are all driver's license numbers redacted?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are all driver's licenses and other forms of ID in grayscale?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
All other documents checked for PII and redacted? (I.E. Transcripts, temporary licenses/permits, DD-214s, Birth Certificates, Etc.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

PII comments:

TITLE I PROGRAMMATIC MONITORING TOOL

Individual Education/Employment Plan (IEP)

	Status	
IEP/ISS Activity Code dates:	Begin:	End:
Date IEP/ISS was Signed:		
IEP/ISS Documentation/Case Note Dates:	Begin:	End:
Was the IEP/ISS completed and signed on or before the participation date for Youth or on or after the participation date for Adult/DW?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
IEP/ISS identifies goals & specific steps of attainment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Supportive Services Listed on IEP/ISS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Has the IEP/ISS been updated?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Is the IEP updated regularly? (<i>Quarterly or at least once per semester</i>)	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Most Recent IEP/ISS Update Activity Dates:	Begin:	End:
Do IEP update activities match signed updated IEP documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
IEP/ISS Closed? (for exited participants)	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA

IEP Comments:

Activities

	Status	
Have the following activities been opened/closed for the participant?		
▪ Initial Service Codes (101, 102 under Wagner Peyser)	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
▪ Other activities as required (300, 400 codes)	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Is there a provider assigned to each activity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Is there a case note associated with opening/closing of each activity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Is there documentation to support each activity's open and close date?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
For open activities, are Projected End Dates realistic and set for future dates?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Has a service been provided every 90 days?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA
Are there any system closures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> NA

Activities comments:

TITLE I PROGRAMMATIC MONITORING TOOL

Supportive Services

	Status		
Are supportive services being provided?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<i>If No or NA, all other Supportive Services questions are not required</i>			
Does the comment box or case note identify the supportive service?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is the supportive service associated with an IEP goal?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are there case notes associated with each supportive service activity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Supportive Service activity code dates match supporting documentation?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are incentives documented as a supportive service? (<i>NextGen Only</i>)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Have all of the following been signed and/or uploaded in NCWorks?			
▪ Transportation Procedures & Participant’s Agreement	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
▪ Childcare Provider Contract	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
▪ Childcare Assistance Procedures & Participant’s Agreement	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
▪ Childcare Provider Parent Handbook	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
▪ Childcare Provider W9	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

Supportive Services comments:

Case Notes

	Status		
Are there case note entries on a monthly basis as a minimum?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Last 5 entry dates: _____; _____; _____; _____; and _____			
Do case notes reflect regular meaningful contact & outline services provided?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are case notes written so others needing to review or assume case management responsibilities can identify the needs and status of the participant? (i.e. Does it tell a story about the participant?)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

Case Notes Comments:

TITLE I PROGRAMMATIC MONITORING TOOL

Occupational Skills Training

	Status		
Did Participant enter an occupational skills training?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<i>(If No or NA, all other Occupational Skills Training questions are not required)</i>			
Activity code begin and end dates:	Begin:	End:	
Documentation begin and end dates:	Begin:	End:	
Activity code dates match documentation?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Correct service provider entered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Training justification completed appropriately? (Adult/DW only)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Have all applicable documents been signed/uploaded in NCWorks?			
• <i>Occupational Skills Training Participant Agreement</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>ITA & FAA documents (each semester)</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Authorization Letter (for Con Ed/ISY)</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Registration Hold Form</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Financial Aid Status Letter</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Official Registration paperwork</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Transcripts for each completed semester</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Diploma or Certificate for completed training</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

Occupational Skills Training comments:

Measurable Skills Gain

	Status		
Transcript/Report Card			
If in secondary school, has participant completed at least one semester with grades of D or higher and in good academic standing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• If yes, has the transcript or report card been uploaded and the MSG documented under the MSG tab?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
If in post-secondary full-time, has participant successfully completed 12 credit hours in a semester and in good academic standing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• If yes, has the transcript been uploaded and the MSG documented under the MSG tab?			
If in post-secondary part-time,, has participant successfully completed 12 credits over two consecutive semesters and in good academic standing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• If yes, has the transcript been uploaded and the MSG documented under the MSG tab?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Secondary School Diploma/Recognized Equivalent			
Did the participant attain a secondary school diploma or it's recognized equivalent?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• If yes, is a copy of the credential, copy of school records, follow-up survey, test scores showing passage of all parts of High School equivalency test, or case notes documenting	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

TITLE I PROGRAMMATIC MONITORING TOOL

information from education or training provider on file and has the MSG been documented under the MSG tab?			
Training Milestone/Progress Report			
Did the participant make satisfactory or better progress towards established goals from an employer or training provider?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
If yes, has one of the following been uploaded and an MSG documented under the MSG tab?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Documentation of a skill gained through OJT or registered apprenticeship 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Contract and/or evaluation from employer or training provider (including WEX host) documenting a skill gain 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Progress report from employer documenting skill gain or documenting a pay increase resulting from newly acquired skills or increased performance 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Skill Progression			
Did the participant pass an exam required for a particular occupation or make progress in attaining technical or occupational skills as evidenced by trade-related bench-marks?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
If Yes, has one of the following been uploaded and an MSG documented under the MSG tab?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Results of a knowledge-based exam or certification of completion 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Documentation demonstrating progress in attaining technical or occupational skills through an exam or benchmark attainment 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Documentation from training provider or employer 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Copy of credential that is required for a particular occupation and only is earned after the passage of an exam 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Educational Functioning Level (NextGen Only)			
Did the participant exit an educational program below the post-secondary level (including basic education programs) and enroll in post-secondary education or occupational skills training?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> If yes, do the case notes or other file documentation reflect this progression? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is/was the participant basic skills deficient? <i>(NextGen only) If no, the next 4 questions are not required</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Were the test scores used to determine basic skills deficiency dated within 6 months of enrollment? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Has an Educational Functioning Level (EFL) for MSG record been created for each deficient area? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Are there any progress or post-tests recorded in the EFL records as required? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Has the participant achieved a EFL gain? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<ul style="list-style-type: none"> Are there activities to accomplish EFL improvements or goals? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

TITLE I PROGRAMMATIC MONITORING TOOL

Measurable Skills Gain comments:-

Credentials

	Status
Has participant earned a credential?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<i>If no, the rest of this section is not required.</i>	
Date credential received:	
Date of credential documented in a Case Note?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
Date credential received:	
Copy of credential (degree/licensure/diploma/GED/certification) uploaded?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
Credential record created under credentials tab with date matching documentation?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA

Credentials comments:

Work Experiences (WEX) (NEXTGEN ONLY)

	Status
Did youth participate in a work experience?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<i>If No or NA, all other WEX questions are not required.</i>	
WEX Activity code dates:	Begin: End:
Documentation begin and end dates:	Begin: End:
Does the documentation match the activity dates?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
Worksite supervisor orientation documented?	
Is there documentation indicating completion of all required elements of the WEX readiness checklist?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<i>Career Advisor Responsibilities:</i>	
• Completed Aspiring Minds Assessment and 401 code entered?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Conducted LMI Review and 442 Code Entered?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Confirmed Youth has bank account, appropriate financial literacy education provided, and 440 code entered?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Completed Job Shadow and 409 code entered?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Resume on file?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• WEX listed as goal in IEP?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• WEX Activity Code open?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• W-4, NC-4, I-9, DL/ID Card, SS Card, Direct Deposit Form & Employee Change Form attached to activity code & redacted?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Participant WEX agreement signed & uploaded?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
• Shared & trained participant on the electronic timesheet?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA

TITLE I PROGRAMMATIC MONITORING TOOL

• <i>Planned interview date noted?</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Planned start date noted?</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Program Coordinator Responsibilities:			
• <i>Worksite Agreement signed & uploaded?</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
○ <i>Date Worksite Agreement signed:</i>			
• <i>WEX Job description uploaded?</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>WEX host worksite added to NCWorks?</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Timesheet shared with Career Advisor?</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Uploaded WEX Readiness Checklist?</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>Entered Employer Service Code and Case Note</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are there case notes associated with the WEX activity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is WEX participant monitoring adequately documented? (Beginning, middle, end)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is Worksite monitoring adequately documented? (Beginning, middle, end)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is completion of the Participant Work Readiness Tool adequately documented? (Beginning, middle, end)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Timesheets uploaded for each month worked?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Hours worked match contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Hours worked match the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
If any changes were made to the terms of the contract, was a WEX Agreement Modification Form completed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
WEX Letter of Reference obtained? (if WEX has been completed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

WEX comments:

On-the-Job-Training (OJT)

	Status		
Did participant enter an OJT?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<i>If No or NA, all other OJT questions are not required</i>			
Activity Code begin and end dates:	Begin:	End:	
Documentation begin and end dates:	Begin:	End:	
Does documentation match activity code dates?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are there case notes associated with this activity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
All Required OJT documentation uploaded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Skills Gap Analysis</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Contract Training Plan</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Participant Monitoring Tool</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Trainee Evaluation</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Control Sheet</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Wage Expenditure Report and Reimbursement Requests</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Early Exit Documentation</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• <i>OJT Extended Training Plan</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

TITLE I PROGRAMMATIC MONITORING TOOL

• <i>Timesheets for each month worked</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Date contract was signed:			
Date Training plan signed:			
Date pre-award analysis signed:			
Date contract was signed:			
Worker's Comp dates in line with training dates?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Hours Worked Match Contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Hours worked match contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are supportive services needed for OJT and identified in the IEP?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA

OJT comments:

Exit/Follow Up

	Status		
Was the participant Hard Exited from the program?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Is participant currently in Follow-Up?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<i>If No or N/A to either of the above, all other Follow up questions are not required.</i>			
Last date of service: <i>(End date of last activity code that extends soft exit)</i>			
Exit Date:			
Are the exit date and the last date of service the same?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Was the follow up agreement signed and uploaded?			
Are follow-ups conducted at least monthly and documented?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Are the NCWorks quarterly follow-up records documented properly?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Did the participant earn a credential during follow-up?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• If yes, verification obtained and documented under credentials tab?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Have any services been provided during follow-up?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• If yes, have activities & case notes been entered and documentation uploaded as appropriate?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Has follow-up information been requested and updated in NCWorks for participant's 2nd quarter after exit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<i>If yes, has participant achieved any of the following Q2 performance goals?</i>			
Has a placement in secondary education, post-secondary education, or occupational skills training? (NextGen Only)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• Verification obtained and documented in follow-up records?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Did participant work during the quarter?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
• Wage and employment verification obtained and documented in follow-up records?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
Has follow-up information been requested and updated in NCWorks for participant's 4th quarter after exit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> NA
<i>If yes, has participant achieved any of the following Q4 performance goals?</i>			

Summary of Recommendations to Improve Title I Services
WIOA Title I Adult, Dislocated Worker & Youth File Monitoring

1. Summary of Files Sampled

Program	# of Active Participants for the Quarter	# of Follow-Up Participants for the Quarter	# Sampled for Monitoring
Adult			
DW			
Youth			

2. Summarize trends identified through their CA reviews, including areas of common success and areas where corrective action (and where applicable, staff training) is recommended to mitigate common issues of mistakes.

3. [COMPLETE IN JUNE] Summarize any areas of concern from training provider performance report, such as rates of completion vs. enrollees or rates of attained credentials vs. exits.

4. Summarize any areas of concern from performance data along with recommended steps to address these concerns.

NWDB FISCAL MONITORING TOOL

<u>Task</u>	<u>Issues Found (Y or N)</u>	<u>Comments</u>
Review financial and internal monitoring processes		
Review staff salaries, indirect and joint costs, travel and other expenses, and timesheets		
Review monthly invoices, financial reports, and WEX reports		
Review to ensure proper fund codes are selected internally to match participant activities		
Review general ledgers, bank reconciliations, and chart of accounts		
Review award agreements, contracts, budgets, and WIOA compliance		
Review of participant Individual Training Accounts, work-based learning activities, supportive services, incentives, and all other documentation related to participant activities		

Overall Comments:

July 1, 2015

NWDB Issuance No. 2015-09

SUBJECT: Priority of Service

PURPOSE: To transmit the Adult Priority of Service Policy for NWDB Career Centers.

BACKGROUND:

The Workforce Investment and Opportunity Act, Public Law 113-128, was signed into laws on July 22, 2014. WIOA states, in sec. 134(c)(3)(E), that priority for individualized career services and training services funded with title I adult funds must be given to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient.

Under the Jobs for Veterans Act, Public Law 107-228, WIOA sec. 3(63)(A) and 38 U.S.C. 101, veterans receive priority of service in all Department of Labor funded training programs under 38 U.S.C. 4215 and described in 20 CFR 1010. A veteran must still meet each program's eligibility criteria to receive services under the respective employment and training program. For income-based eligibility determinations, amounts paid while on active duty or paid by the Department of Veterans Affairs (VA) for vocational rehabilitation, disability payments, or related VA-funded programs are not to be considered as income in accordance with 38 U.S.C. 4213 and 20 CFR 683.230.

According to TEGL WIOA No. 3-15, priority of service must be provided in the following order:

First, to veterans and eligible spouses who are also included in the groups given statutory priority for WIOA adult formula funds. This means that veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient would receive first priority for services provided with WIOA adult formula funds. Second, to non-covered persons (that is, individuals who are not veterans or eligible spouses) who are included in the groups given priority for WIOA adult formula funds. Third, to veterans and eligible spouses who are not included in WIOA's priority groups. Last, to non-covered persons outside the groups given priority under WIOA.

ACTION:

Career Center staff must be aware of and comply with the Priority of Service for recipients of public assistance, other low-income individuals, individuals who are basic skills deficient and veterans and eligible spouses.

EFFECTIVE DATE: July 1, 2015; *Revised July 18, 2017; Revised October 18, 2018*

EXPIRATION DATE: Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NCWorks Career Center Staff in the NWDB 10-County region

ATTACHMENT: NWDB Priority of Service Policy

David Whitmer

David Whitmer, NWDB Director

Edenton Career Center

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Priority of Service for Adults

What is priority of service?

Section 134(c)(3)(E) of WIOA establishes a priority requirement with respect to funds allocated to a local area for adult employment and training activities. Center staff must give priority of service in providing services to:

- Veterans and eligible spouses
- Recipients of public assistance
- Other low-income individuals, and
- Individuals who are basic skills deficient

Individuals who are underemployed and meet the definition of a low-income individual may receive career and training services under the Adult program on a priority basis. Additionally, individuals who meet the definition of an individual with a barrier to employment (WIOA 3(24)) who are underemployed may also be served in the Adult program.

Individuals who are underemployed may include:

- Individuals employed less than full-time who are seeking full-time employment;
- Individuals who are employed in a position that is inadequate with respect to their skills and training;
- Individuals who are employed who meet the definition of a low-income individual in WIOA sec.3(36); and
- Individuals who are employed, but whose current job's earnings are not sufficient compared to their previous job's earnings from their previous employment, per State and/or local policy.

Veterans and eligible spouses will receive the first level of priority of service in universal access programs and services delivered through NC Career Centers for all USDOL funded programs, including the Wagner-Peyser and WIOA programs. However, as described in TEGl 10-09, when programs are statutorily required to provide priority for a particular group of individuals, such as the WIOA priority described above, priority must be provided in the following required order.

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- I. First, to veterans and eligible spouses who are also included in the groups given statutory priority for WIOA adult formula funds. This means that veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient would receive first priority for services provided with WIOA adult formula funds.
- II. Second, to non-covered persons (that is, individuals who are not veterans or eligible spouses) who are included in the groups given priority for WIOA adult formula funds.
- III. Third, to veterans and eligible spouses who are not included in WIOA's priority groups.
- IV. Last, to non-covered persons outside the groups given priority under WIOA.

Priority for services does not preclude service to individuals who are not low-income or not receiving public assistance or not a veteran, but rather establishes the order of precedence for service as provided at WIOA and section 134(b)(3)(E).

Note: When past income is an eligibility determinant for Federal employment or training programs, any amounts received as military pay or allowances by any person who served on active duty, and certain other specified benefits must be disregarded for the veteran and for other individuals for whom those amounts would normally be applied in making an eligibility determination. Military earnings are not to be included when calculating income for veterans or transitioning service members for this priority, in accordance with 38 U.S.C. 4213.

Priority Categories/Service Order

Staff should follow the following guidelines when providing services at the career center. Once staff have determined which priority group a customer may qualify as, services should be provided in the following order to customers.

Priority of Service Status for Career & Training Services	
Priority 1	Veterans and eligible spouses who are: <ul style="list-style-type: none"> ● Low income, or ● Recipients of public assistance, or ● Who are basic skills deficient

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Priority 2	Individuals who are: <ul style="list-style-type: none"> ● Low income, or ● Recipients of public assistance, or ● Who are basic skills deficient
Priority 3	Veterans and eligible spouses who are: <ul style="list-style-type: none"> ● Not low income, and ● Not recipients of public assistance, and ● Not basic skills deficient
Priority 4	Individuals who do not meet the above status who are at 200% of the federal poverty level guidelines based on family size and family income (self-sufficiency).
Priority 5	All other individuals who do not meet the above guidelines. This category does not qualify for WIOA funded training services.

Procedures for Services	
Welcome the Customer	<ul style="list-style-type: none"> ● NOTE: All centers will display veterans' priority of service signage that is visible upon entry. ● All customers visiting an NCWorks Career Center will be greeted in a timely and professional manner by staff. ● Customers will be asked to sign-in at the reception area. Sign-in sheets will assist staff in identifying the priority status of customers based on their self-identification.

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Staff Identify Customers Priority Status	<ul style="list-style-type: none"> • Staff will make efforts in identifying which category a customer may qualify. • Veterans will be thanked for their service. • Staff will make a determination on the order of precedence for services for those customers currently at the center. • Once order is determined, the provision of basic career services will begin.
Staff Provides Basic Career Services	<ul style="list-style-type: none"> • Staff will provide basic career services to include NCWorks registration and initial assessment of needs. • Based on assessment, services will be provided. • If determined that customer is in need of training services, customer will be referred to WIOA training staff.
Training Services	<ul style="list-style-type: none"> • If determined eligible for training services, individuals must qualify in Priority 1-4. • Those individuals who fall in Priority 5 are not eligible for WIOA funded services beyond basic career services.

Guidance on Serving Veterans & Veteran Eligibility (DWS Policy Statement 03-2017)

The Jobs for Veterans Act affords priority of service to covered veterans and eligible spouses over non- covered persons for the receipt of employment, training, and placement services provided under new or existing job training programs funded in whole or in part, by the U.S. Department of Labor (DOL).

Determining Eligibility: To be eligible for priority of service you must meet the following definition as a

Covered Person. The term ‘covered person’ means any of the following individuals:

- **A Veteran:** A person who served at least one day in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable.
- **Eligible Spouse:** The spouse of any of the following individuals:
 - Any veteran who died of a service connected disability.

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- Any veteran who has a total disability resulting from a service- connected disability.
- Any veteran who died while a disability so evaluated was in existence.
- Any member of the Armed Forces serving on active duty who, at the time of application for assistance under this section, is listed, pursuant to section 556 of title 37 and regulations issued by the Secretary concerned, in one or more of the following categories and has been so listed for a total of more than 90 days -- missing in action, captured in the line of duty by a hostile force, or forcibly detained or interned in line of duty by a foreign government or power.

What it Means: Veterans' priority of service means the right of eligible covered persons to take precedence over eligible non-covered persons in obtaining services. For example, this could mean:

- The covered person receives access to the service or resource earlier in time than the non- covered person; or
- If the service or resource is limited, the covered person receives access to the service or resource before the non-covered person.

Eligible Programs: Below is a list of programs affected by the passage of the priority of service law. This list is not all inclusive, but provides an example of the type of programs in which priority of service to qualified veterans exists. Before priority of service can be extended to any covered person in these programs, the covered person **MUST** be qualified to participate in the program.

- WIOA Adult/Dislocated Worker
- Trade Act Programs
- Wagner-Peyser Employment Service
- Senior Community Service Employment Programs
- National Emergency Grant
- Migrant and Seasonal Farm Worker Program
- WIOA Demonstration Projects
- Career One-Stop Electronic Tools
- Indian and Native American Programs
- Labor Market Information Grants

Edenton Career Center

118 Blades St., Bldg 3, Edenton, NC 27932
252.482.2195 | Fax: 252.482.2188

Elizabeth City Career Center

422 McArthur Dr., Elizabeth City, NC 27909
252.331.4798 | Fax: 252.331.4809

Dare County Career Center

2522 S. Croatan Hwy, Nags Head, NC 27959
252.480.3500 | Fax: 252.480.0121

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Additional information can also be found in the USDOL guide: [A Protocol for Implementing Priority of Service for Veterans and Eligible Spouses](#)

References:

<https://wdr.doleta.gov/directives/attach/TEGL/TEGL10-09.pdf>

https://wdr.doleta.gov/directives/attach/TEGL/TEGL_19-16.pdf

<https://wdr.doleta.gov/directives/attach/TEN/ten2010/ten15-10.pdf>

<http://www.nccommerce.com/LinkClick.aspx?fileticket=gDg3GGXeJy0%3d&tabid=3697&mid=8957>

<http://www.nccommerce.com/Portals/11/Policy%20Statements/Policy%20Statements%202016/PS%20-03-2017%20Attachment%201TEN%2015-10.pdf>

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Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

May 1, 2020

NWDB Issuance No. 2020-08

SUBJECT: Work Experience

PURPOSE: To transmit the NEXTGEN Work Experience Policy

BACKGROUND: A Work Experience (WEX) is a planned, structured learning experience that occurs in the workplace for a limited period of time and is based on the individual needs of the participant as documented in the Individual Employment Plan (IEP). It is designed to provide readiness skills appropriate for the workplace. It may be paid or unpaid (subsidized or unsubsidized), and located in the private, nonprofit, or public sectors.

A WEX is designed for:

- A participant to learn appropriate work habits; and/or
- Basic work skills for participants who have never worked or who have not worked for a significant amount of time; and/or
- The participant to have the opportunity to explore career choices in selected industries that match his/her career interests; or
- The participant to have the opportunity to develop basic occupation-related skills.

WEX may be combined with other intensive services to help participants acquire the personal attributes, knowledge, and skills needed to obtain meaningful work or to advance their employment opportunities.

The primary purpose of a WEX is to benefit the participant not the employer, although the employer may benefit from activities performed by the participant. WEX activities may include the following:

- Instruction on employability skills or generic workplace skills such as those identified by the NWDB Work Readiness tool for the WIOA Program
- Exposure to various aspects of an industry
- Progressively more complex tasks
- Internships and job shadowing
- The integration of basic academic skills into work activities
- Service learning
- Paid and unpaid community service
- Other approved activities designed to achieve the goals of the NWDB Work Experience Program.

If the service is contracted, the contractor will be monitored and evaluated on the effectiveness of all contracted services, including WEX, in addressing the needs of participants and participant outcomes.

ACTION: NWDB staff or Contractors will use this issuance to define and implement "Work Experience" activities.

EFFECTIVE DATE: May 1, 2020 *(Revisions effective July 1, 2023)*

EXPIRATION DATE: Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NWDB staff and WIOA service providers

ATTACHMENTS:

- Attachment A – NWDB NEXGEN Work Experience Program Guidelines *(Revised July 1, 2023)*
- Attachment B – Work Experience Participant Monitoring Report *(Revised July 1, 2023)*
- Attachment C – Work Experience Worksite Agreement Monitoring Report *(Revised July 1, 2023)*
- Attachment D – WIOA Youth Work Experience Program Worksite Agreement *(Revised July 1, 2023)*
- Attachment E – Worksite Supervisor's Manual *(Revised July 1, 2023)*
- Attachment F – Work Readiness Tool for the WIOA Youth Program *(Revised July 1, 2023)*
- Attachment G – Work Experience Participant's Manual *(Revised July 1, 2023)*
- Attachment H – Work Experience Program Worksite Job Description *(Revised September 4, 2017)*
- Attachment I – Work Experience Participant Time Sheet *(Revised April 26, 2021)*
- Attachment J – Employee Change Form *(Revised July 1, 2023)*
- Attachment K – Work Experience Modification Form *(Effective July 1, 2023)*
- Attachment L – Work Experience Participant Readiness Checklist *(Revised July 1, 2023)*
- Attachment M – Work Experience Follow Up Survey *(Revised April 26, 2021)*



David Whitmer, NWDB Director

Title	Updated NextGen WEX Policy Cover Page
File name	Cover Page #8 - N... Cover Letter.doc
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NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

The NWDB Work Experience (WEX) program provides planned, structured learning experiences that take place in at host worksites for a limited period of time. Each WEX is designed based on the individual needs of the participant and is designed to provide specific behavioral skills appropriate for the workplace. It may be paid or unpaid (subsidized or unsubsidized) and may be located in the private, nonprofit, or public sector. A WEX functions as a workplace-values activity as well as a training activity. Labor standards apply in any work experience where an employee/employer relationship, as defined by the Fair Labor Standards Act, exists.

Pursuant to WIOA section 129(c)(2)(C), local Workforce Development Boards (WDB) are required to offer youth programs that involve paid and/or unpaid work experiences that have as a component both academic and occupational education. The educational component may occur concurrently or sequentially with the work experience. Further academic and occupational education may occur inside or outside the work site. Work experiences provide the participant with opportunities for career exploration and skills development. These experiences may include:

- a. Summer employment opportunities and other employment opportunities available throughout the school year;
- b. Pre-apprenticeship programs;
- c. Internships and job shadowing; and
- d. On-the-job training (OJT) opportunities.

Unique features of Work Experience are:

1. The participant is the employee of the WIOA Title I Service Provider; the participant is considered an employee of that entity, is paid by that entity, and is expected to follow the personnel policies of that entity. The participant is not eligible for employee benefits offered by the service provider including unemployment benefits.
2. The participant receives training under appropriate supervision at an approved worksite host (local business) thus acquiring occupational skills and knowledge in a working environment.

Work Experience Spending Requirement

WIOA Title I Youth programs are required to spend at least 20 percent of allocated youth funds to provide in-school youth and out-of-school youth with paid and/or unpaid work experiences.

Local WIOA Title I youth programs must track program funds spent on paid and unpaid work experiences, including wages and staff costs for the development and management of work experiences, and report such expenditures as part of the local WIOA youth financial reporting.

The percentage of funds spent on work experience is calculated based on the total local area youth funds expended for work experience, rather than calculated separately for in-school and out-of-school youth. The 20 percent spending requirement is calculated after administrative costs have been subtracted from the total amount of youth funds.



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

Purpose of Work Experience:

Despite the benefits accrued by employers who participate in the WEX program, the focus of the WEX is the development of the participant. WEX provides direct and promising opportunities for participants to enhance their skills and knowledge as future employees. Participants must have demonstrated that they have the potential to fulfill workplace expectations and commitments prior to being placed in a Work Experience.

A Work Experience is primarily intended to help the participant acquire the personal attributes, knowledge, and skills needed to obtain and advance in employment. WEX should teach good work habits and basic work skills for those who have never worked, who have not worked for a significant amount of time, or who have limited experience in an industry. WEX provides an opportunity for youth to explore career choices in selected industries that match the youth's career interests whenever possible and provide the participant the opportunity to develop basic occupational-related skills. Work Experiences should also provide exposure to various aspects of an industry and include progressively more complex tasks.

Although desired, neither permanent employment nor occupational credentials are required outcomes of a WEX. Successful completion of a WEX is when a participant achieves their work readiness skills attainment, successfully completes work-related goals and/or objectives on the Individual Employment Plan (IEP), and the participant and employer are both satisfied with the participation in the WEX. Work readiness skill attainment is measured by the NWDB Work Readiness Tool for the WIOA NWDB Program (*Attachment #8F*).

WEX Assessment and Training

Career Advisors shall ensure that WEX training for participant is appropriately based on the needs identified by an objective assessment and as documented in the Individual Employment Plan (IEP). Documentation of the need for WEX that is tied to and supported by academic and occupational education and the objectives of the work experience must be detailed in the IEP. Youth academic skills training could be basic skills education or high school equivalency training. Occupational skills competencies may be gained through the WEX, HRD classes, or courses specific to the job/career/occupation in which the individual is having the WEX.

Periodic evaluation of the participant's learning and attainment of skills during the WEX should be documented in case notes in NCWorks Online. When possible, it is strongly encouraged that the WEX and its associated training components be directly tied to the attainment of a credential and documented in the IEP. Career Advisors can use O*NET, www.myskillsmyfuture.org, or other identified programs when developing the competencies to be learned and evaluated in the WEX. The IEP should include the training hours and estimated start and end date. Youth academic and occupational skills training components must be included in the IEP.

Work Experience Sites:



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

Matching the youth with the right worksite host is essential to ensuring that a Work Experience is a successful and positive experience for both the participant and the worksite host. Worksite hosts need to have a clear understanding and expectation of the attitudes and habits that a participant may exhibit. They also need to be prepared to spend adequate quality time with the youth, provide appropriate supervision, and hold youth accountable for their behavior when needed.

Effort is made to place youth with a worksite host that matches their career interests and abilities and that will provide ample opportunities for relevant career exploration and hands on learning. If a worksite host matching the career interests and abilities is not available, a youth can be placed at a worksite to achieve basic work readiness skills. If needed, a youth may be moved from one worksite host to another when the worksite host is not an appropriate “fit” or the youth’s presence in the workplace causes undue disruption of the workplace.

Eligibility for Work Experience Training Programs

Work Experience Training Programs must meet the following program guidelines:

- The worksite host must sign the Worksite Agreement (*Attachment #8D*). A signed original of the Worksite agreement will be kept at the worksite and a signed copy of the agreement will be retained by the NWDB Youth Program and Business Engagement Coordinator (YPBEC) or designee and uploaded to NCWorks Online.
- If it is necessary to make changes to a worksite agreement, the YPBEC along with the worksite host will complete the Worksite Modification Form (*Attachment #8K*). The modification form should be attached to the original worksite agreement at the worksite and uploaded into NCWorks Online.
- The worksite host supervisor(s) must receive an orientation to the Work Experience Program and receive a copy of the Worksite Host Supervisor’s Manual (*Attachment #8E*)
- The worksite host must complete the Worksite Job Description form and assist with developing skills/abilities to be learned during the WEX. (*Attachment #8H*)
- The Participant must complete at least one relevant Aspiring Minds assessment (*unless there is a documented reason that the participant is unable to complete an assessment*)
- The Participant must work with Career Advisor to review Labor Market information relevant to the WEX position.
- The Participant must have a bank account in their name for their pay to be direct deposited.
- The participant must successfully complete a job shadow at the planned worksite.
- The Participant should complete an application and interview with the worksite host that mimic



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

or directly correspond with the hiring process of that employer.

- Participant must agree to and sign the NWDB Work Experience Participant's Manual (*Attachment #8G*)
- Participant should receive an orientation session from the Career Advisor and the worksite host supervisor(s) as described in the Worksite Host Supervisor's Manual (*Attachment #8E*)
- The worksite host must not be involved in a current labor dispute and must not have a history of frequent layoffs.
- The worksite host cannot utilize a Work Experience Agreement to displace currently employed workers or to reduce the hours of current workers below their normal schedule.
- A Work Experience Agreement cannot be written for a position in which a worker is currently on layoff or for a position which will deny a current worker a promotional opportunity.
- Work Experience must be conducted at the worksite host's place of business and may not be subcontracted.
- The training of an individual in circumstances where there is a sole proprietor may be allowed if the worksite host can demonstrate that sufficient training and supervision will be afforded the Work Experience youth.
- The worksite host must be in compliance with all applicable business licensing, taxation and insurance requirements. The worksite host must not be in violation of any local, state or federal labor laws.
- It is strongly discouraged to place participants in a WEX located at the board office, career center, or administrative entity due to the potential of conflicts of interest. Placement at these locations should only be allowed where there is specific documentation in the file that the particular experience meets the participant's career goals and skills need and there is no other placement opportunity available.
- The service provider as appropriate, must ensure all proper tax forms (W-4, NC-4) and I-9 are completed.
- Participants receiving public assistance should request, with the appropriate agency, information regarding the possible impact on their benefits due to earnings received from the Work Experience. NWDB staff or contractor is expected to assist youth with this process.
- Participants in a Work Experience must be actively engaged in meeting the requirements of their IEP to qualify for subsidized Work Experience. Participants suspended from educational



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

opportunities due to their behavior or who are not taking an active role in fulfilling the goals on their IEP may not qualify for paid a Work Experience. If already in a Work Experience at the time, the participant may be suspended from their work experience or continue to fulfill their obligations to their worksite host on an unsubsidized basis.

The following guidelines will determine occupational placement eligible for Work Experience:

- The occupation must not include political or religious activity.
- Occupations must not infringe in any way upon the promotional opportunities of currently employed individuals.
- Training may not be provided for occupations where adequate supervision and/or monitoring are not available. These include traveling salespersons, out-stationed job positions, truck or van drivers, and other positions requiring more than an occasional unsupervised trip from the worksite.
- Work Experiences may be limited based on funding or limited to specific industries based on the needs of the regional economy.

Determining Training Length

A Work Experience can extend up to 300 hours per job description, 900 hours per program year (July-June), and 900 hours per program enrollment. Placements are not required to be planned for the full maximum number of hours and can be limited to fewer hours based on the participant's needs, availability, and goals. Participants may be eligible to have more than one WEX if it benefits their career goals or supports a need for career exploration. A participant's eligibility to participate in multiple WEXs will be determined by the participant's career goals, work habits and conduct during previous WEXs, the Career Advisor's recommendation, and availability of WIOA funding. Participants may not participate in more than one WEX at the same time. The allotted hours and the ability to participate in multiple WEXs allows the participant more opportunities for career exploration and may provide the opportunity for a participant to progress into more advanced roles after gaining entry level skills. The details of the WEX including the number of hours intended for each placement and the estimated timeline will be documented in the participant's Individual Employment Plan.

As appropriate and approved by the program manager, a Work Experience may be extended beyond the above outlined limits based on the participant's need and program participation, the willingness of the worksite host, and WIOA funding availability. Participants should not work more than 28 hours per week. Any time worked exceeding 28 hours will be considered volunteer hours and will not be monetarily compensated. Weekly schedules should be determined by the following factors:

- Appropriate for the worksite host based on available supervision; and
- Consideration of other commitments necessary to the participant's success in education, extracurricular school activities, WIOA Title I activities and family consideration; and



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

- Availability of WIOA Title I funding.

A Work Experience can be terminated by WIOA staff if training and supervision expectations are not being met, participant is not upholding WIOA program participation expectations, or as requested by the worksite host.

Working Conditions

Work Experience participants are subject to the same personnel rules and working conditions as other employees hired by the employer (within reason and the law) in order to better simulate a true to life Work Experience. All WEX participants who work more than four consecutive hours will be provided with one break lasting a minimum of 30 minutes. During breaks, participants will be relieved of all work activities, responsibilities, and restrictions and will not be compensated for that time.

- **Worker's Compensation:** Participants will be covered by Worker's Compensation insurance by the service provider.
- **Grievance Procedures:** The Work Experience participant must be made aware of and is subject to the service provider's Grievance Procedures for resolving grievances and complaints. The WEX employer will agree to adhere to the service provider's grievance process if a complaint arises in connection with the WEX participant and/or the training.
- **Prohibitions:** Participants will not be employed to carry out the construction, operation, or maintenance of any part of the facility that is used or to be used for sectarian instruction or as a place of religious worship or be required to participate in religious activities.
- **Unemployment Benefits:** WEX participants are not eligible for unemployment benefits.

Employment Documentation

- **Employment forms:**
 - Participants must complete and turn in the following:
 - W-4
 - NC-4
 - I-9
 - Direct deposit form for a checking/savings account information from a banking institution.
 - The Employee Change Form (*Attachment #8J*) will be completed by the Career Advisor and signed by the participant and the Program Manager or designated representative.
 - Copy of SSN Card
 - Copy of a Driver's License or State Id (if applicable)
- This information must be submitted to Human Resources personnel with the Albemarle Commission prior to participants receiving payment for their work experience.
- The WEX Participant Readiness Checklist (*Attachment #8L*) will be completed and uploaded in



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

NCWorks.

Pay and Timesheet

1. Rate of Pay: WIOA Title I participants should be compensated at the prevailing wage of employees with similar training, experience and skills for a similar occupation, as set by the employer (worksite). However, since work experiences are short-term and intended as trainee positions, wages should not typically exceed those for entry level employees. The rates may not be lower than the state minimum wage. To determine the prevailing wage, the service provider will obtain a job description for the participant and using the worksite pay scale determine what the wage will be, but not to exceed the entry level wage for the position. If the worksite does not have a pay scale, information that may assist in determining the wage can be found using EMSI data from lightcast.io. Other items to be considered in determining the hourly wage are listed below. This list is not intended to be all inclusive:

- Objectives of the work experience
- Type of work to be performed during the work experience
- Skill set of the participant
- Skill set required for the work experience
- Service Provider's budget

****Note* In many work experience placements, an individual's skill set may not meet the standard occupational classification qualifications for the position. Therefore, this distinction may allow the wages to be set below the prevailing wage standards for an individual that meets the classification requirements.***

Wage requirements under the Fair Labor Standards Act (FLSA) apply to all participants employed under WIOA. The FLSA applies to the extent that the activities performed in the work experience constitute employment. All work experiences are considered training opportunities and not employment.

1. Compensation: Participant's frequency of pay and method of payment are determined by the service provider. Participants must have a valid bank account, in their name. If the participant does not currently have a bank account, the Career Advisor will assist the participant in obtaining one.

2. Timesheet

- a. All participants engaged in work experience must complete the timesheet provided electronically (Attachment I is a sample). A sample can also be accessed at https://docs.google.com/spreadsheets/d/1_diJPqyBNrRbiQB44avK_d8OSVj1R9Ab5GPei8eBtv8/edit?usp=sharing. (The link for the timesheet will be shared with the participant by NextGen Staff).
- b. Participants must indicate work start time, work end time prior to lunch or breaks, length of lunch or breaks, start time after lunch or breaks, and end time each day.
- c. Work times will be recorded in 15-minute increments and break/lunch times will range from 0-75 minutes using the dropdown menu on the timesheet.
 - i. *Example 1: If the participant arrives to work at 5 minutes after 8, it should be recorded as 8:00. If arrival is 10 minutes after 8, it should be recorded as 8:15.*



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

- ii. *Example 2: If the participant takes a break or lunch from 11:00 to 11:45 select 45 in the dropdown menu.*
- d. Participants are to record their time worked and breaks every day. The worksite supervisor or designee will verify the accuracy of the hours reported by signing the timesheet at the end of each pay period.
- e. Work day total, week day total, and volunteer time will calculate automatically on the electronic timesheet.
- f. WEX time balance, time worked, and ending balance for the WEX will calculate automatically on the electronic timesheet.
- g. After the timesheet is completed and signed by the participant and worksite supervisor, the Career Advisor **MUST** review timesheet for accuracy and sign it.

****NOTE: If the participant works over 28 hours per week it will be documented as volunteer time. Participants are not paid for volunteer time, breaks, or lunch time taken.***

Case Management, Evaluation, and Monitoring

1. **Participant Monitoring:** The Career Advisor or designated representative will complete a Participant Monitoring at least 3 times per WEX placement. Monitoring should take place during the first month of the WEX, about halfway through the WEX, and at the end of the WEX using the Work Experience Participant Monitoring Report (*Attachment B*). Exceptions may be made to allow for fewer monitorings if a WEX is planned for a short period of time in which completing 3 monitorings would not be feasible or if a WEX ends earlier than planned. Monitoring the participant at the worksite is encouraged, but it can be conducted offsite or remotely if necessary. A completed Work Experience Participant Monitoring Report (*Attachment B*) will be uploaded in the participant's file in NCWorks Online after each monitoring. Concerns and corrective actions necessary to accomplish goals should be recorded and appropriate actions and follow-up should be documented. Although official monitoring is only required to be performed as outlined above, Career Advisors should check-in on the progress of the WEX during their regular at-least monthly contacts with participants in order to ensure any concerns that may arise can be identified and addressed timely.
2. **Worksite Host Monitoring:** The YPBEC or designated representative will perform a monitoring of the worksite after the first month of the WEX, about halfway through the WEX, and at the end of the WEX using the Worksite Monitoring Tool (*Attachment C*). Worksite Hosts will also be asked to complete the Work Experience Follow Up Survey (*Attachment M*) to provide feedback on participant performance, areas of improvement for the WEX program, their interest in hosting more WEX, and any other pertinent information. Additional monitoring may be conducted on an as needed basis. Exceptions may be made to allow for fewer monitorings if a WEX is planned for a short period of time in which completing 3 monitorings would not be feasible or if a WEX ends earlier than planned. Monitoring can be conducted in-person, by phone, or through electronic means. Concerns and corrective actions should be documented in NCWorks and discussed with the Career Advisor as needed for appropriate actions and follow-up with the participant. The Monitoring Reports will be uploaded in the participant's file in NCWorks Online. All worksites must be willing to allow Board staff, the North Carolina Division of Workforce Solutions, and/or US Department of Labor to perform



NWDB WORK EXPERIENCE PROGRAM PROGRAM GUIDELINES

onsite monitoring to ensure compliance with the worksite agreement and to monitor the progress of the participant.

- 3. NWDB Work Readiness Tool:** Participant, service provider, and worksite hosts should participate in completing the appropriate sections of the NWDB Work Readiness Tool (*Attachment F*). This tool is designed to evaluate the participant's work readiness skill attainment at least three times during their Work Experience with the expectation that it occurs during the first month of the WEX, about halfway through the WEX, and the conclusion of the WEX. The areas of performance to be reviewed are indicated on the Work Readiness Tool. Areas not specified may be added depending on the requirements of the worksite. Additionally, job skills/abilities to be learned listed on the Worksite Job Description should be evaluated to show the participant's progress or areas of concern. Evaluations help to determine the participant's work readiness and skills gains. The Work Readiness Tool will be provided to the worksite supervisor and uploaded in NCWorks Online by the Career Advisor or designated representative after it is completed.

Northeastern Workforce Development Board

Work Experience (WEX) Participant Monitoring Report

Please complete the following:

PARTICIPANT NAME:	JOB TITLE:	WORKSITE:
WEX SUPERVISOR:	TITLE:	WEX TRAINING START DATE:
NAME OF WIOA REVIEWER:	TITLE:	DATE OF REVIEW:

YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	1) Do you have a copy of your Job Description?
<input type="checkbox"/>	<input type="checkbox"/>	2) Are you participating in training based on your job description? If not, do you know why?
<input type="checkbox"/>	<input type="checkbox"/>	3) Are you being supervised most of the time? If not, do you know why?
<input type="checkbox"/>	<input type="checkbox"/>	4) Have you been trained on safety rules, and are you abiding by workplace requirements?
<input type="checkbox"/>	<input type="checkbox"/>	5) Has your supervisor reviewed your performance with you consistently?
<input type="checkbox"/>	<input type="checkbox"/>	6) Do you have any concerns about the job? This includes working conditions, safety provisions, supervision, working hours, pay, etc.
<input type="checkbox"/>	<input type="checkbox"/>	7) What are some of the skills you have learned during the WEX?
<input type="checkbox"/>	<input type="checkbox"/>	8) Do you have any additional comments, questions, or concerns?

WIOA REPRESENTATIVE SIGNATURE:	DATE:
PARTICIPANT SIGNATURE:	DATE:

Northeastern Workforce Development Board

Work Experience (WEX) Worksite Monitoring Report

Please complete the following:		
PARTICIPANT NAME:	JOB TITLE:	WORKSITE HOST:
WORKSITE SUPERVISOR:	TITLE:	TRAINING DATES:
NAME OF WIOA REVIEWER:	TITLE:	DATE OF REVIEW:

YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	1) Do you have a copy of the WEX Folder & Supervisor's Manual?
<input type="checkbox"/>	<input type="checkbox"/>	2) Is the Worksite Host satisfied with the participant? If not, why?
		3) Who is providing most of the training and supervision of the participant?
<input type="checkbox"/>	<input type="checkbox"/>	4) Do you review the participant's progress with them regularly? Please explain.
<input type="checkbox"/>	<input type="checkbox"/>	5) Is the participant performing well in assigned tasks? Please explain.
<input type="checkbox"/>	<input type="checkbox"/>	6) Are there excessive excused or unexcused absences since the WEX started? Please explain.
<input type="checkbox"/>	<input type="checkbox"/>	7) In general, are you satisfied with the experience including the participant, timesheet process, and participant evaluation process?
<input type="checkbox"/>	<input type="checkbox"/>	8) Has the participant gained any new skills during the WEX or improved upon any existing skills? If so, please list them and indicate whether they are new skills or existing skills that have advanced.
<input type="checkbox"/>	<input type="checkbox"/>	9) Do you have any other questions, comments, or concerns?

WIOA WEX AGENCY REPRESENTATIVE SIGNATURE:	DATE:
EMPLOYER/SUPERVISOR SIGNATURE	DATE:



WIOA WORK EXPERIENCE PROGRAM Worksite Agreement

This Agreement is made between Northeastern Workforce Development Board
(Authorized WIOA Provider)

and _____
(Worksite host)

a **public** **non-profit** or **private for profit organization** for provision of employment and training services to eligible participants of the NWDB Work Experience Program, authorized and funded under the Workforce Innovation and Opportunity Act (WIOA). Under this Agreement, participants will be provided a work experience approved by the NWDB. Work Experience will be consistent with each participant’s capabilities and interests as much as possible and in a field/area they have had no or limited prior work activity. Work Experience should also develop skills and work habits which will prepare the participant to obtain unsubsidized, meaningful employment.

This Agreement provides the following assurances:

- (1) There will be enough meaningful work to keep the participant fully occupied during working hours; and
- (2) Work will be conducted in a safe and sanitary work environment; and
- (3) There will be adequate supervision of each participant by a qualified supervisor(s); and
- (4) There will be adequate accountability for the participant’s time and attendance; and
- (5) There will be sufficient equipment and/or materials provided to carry out assignments; and
- (6) The participating Worksite agency will notify the NWDB staff if difficulties arise which the Worksite supervisor and participant are unable to resolve. The NWDB staff will attempt to find a mutually satisfactory solution and may recommend termination/transfer of the participant if the situation or problem is not resolved; and
- (7) No WIOA Title I participant shall be employed or job opening filled (A) when any other individual is on layoff from the same or any substantially equivalent job, or (B) when the Worksite has terminated the employment of any regular employee or otherwise reduced its workforce with the intention of filling the vacancy so created by hiring a participant whose wages are subsidized under this Act; and
- (8) The worksite agency assures no person on the grounds of race, creed, color, disability, national origin, sex, age, political affiliation, or beliefs, will be excluded from participation in, be denied benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under the WIOA;
- (9) All activities where participants age 16-17 are engaged will be in compliance with current child labor laws; and
- (10) This agreement will be maintained at the worksite and available for review by federal, state, local area agent and program operator monitors; and
- (11) All rules and regulations governing the WIOA program will be upheld; and
- (12) All activities will be in compliance with current Fair Labor Standards.

WORK ACTIVITIES:

A job description must be attached to this Agreement. The job description must include a list of duties.

MONITORING:

It is understood that the worksite may be monitored by NWDB, Division of Workforce Solutions, or Department of Labor staff. NWDB Youth Program and Business Engagement Coordinator (YPBEC) or designee will monitor the worksite based on a planned schedule at least three times during the term of the Work Experience. The worksite supervisor will cooperate fully to provide monitors and other NWDB staff with worksite information as required. It is the responsibility of the YPBEC or designee to provide an orientation to each worksite supervisor regarding program expectations prior to the placement of participants at the worksite and to provide the supervisor with appropriate written materials necessary to perform their duties, including a copy of this Agreement.

EVALUATION OF PARTICIPANTS:

NWDB Issuance #8 Attachment D
Revised July 1, 2023



WIOA WORK EXPERIENCE PROGRAM Worksite Agreement

It is understood that the worksite host will participate in evaluations of program participants to assist in determining work readiness skills attainment.

SUPERVISION:

All worksite supervisors should be experienced in the work to be performed. Worksite supervisors should encourage good working habits and positive attitudes about work.

TIME ATTENDANCE AND COMPENSATION:

Time and attendance records will be monitored by the supervisor for each participant to ensure accuracy. Time and attendance records will reflect the time actually worked. **Participant will not be paid for absences, unworked hours (this includes at least one 30 minute meal break for participant working over 4 consecutive hours), or recreational activity. UNDER NO CIRCUMSTANCES WILL A PARTICIPANT BE COMPENSATED FOR WORKING OVER 28 HOURS IN A WEEK.** Any time worked over 28 hours will be considered volunteer work, and the additional hours will not reflect as paid time. Using timesheets provided by NWDB staff, the participant will log in when reporting to work each day, log out at the end of each work day, and sign the timesheet at the completion of each pay period. No one else will be allowed to sign a participant in or out. The timesheet will be signed at the end of the pay period by the supervisor or designated representative, whose signature will certify its accuracy.

These records will be collected every month (a schedule will be provided) by the NWDB representative for preparation of the payroll. The participant will be paid at the rate of \$_____ per hour, by direct deposit monthly or as determined by NWDB.

If any of the terms outlined here change during the term of the agreement, the worksite host agrees to notify the NWDB Program Coordinator immediately so this Agreement may be modified.

SIGNATURES:

(1) NWDB Program Coordinator or Designee

_____ Signature

Organization Name/Address

_____ Name and address

(2) Worksite Supervisor(s) and/or

Authorized Representative of Worksite Host

(i.e. Executive Director, Manager, Dept. Head, Principal)

_____ Print

_____ Signature

_____ Contact Number & email

Worksite Organization Address

_____ Worksite Address

_____ Unemployment Insurance & Federal Employer Identification Numbers

_____ Number of Employees Federal Contractor Y/N

TERM: THIS AGREEMENT WILL TAKE EFFECT ON _____ AND TERMINATE NO LATER THAN _____
(DATE) (DATE)

Participant Name	Position	Date Added to Agreement



Northeastern Workforce Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

WORKSITE HOST SUPERVISOR'S MANUAL

Work Experience Program

WELCOME:

The NextGen Work Experience Program is designed to assist Workforce Innovation and Opportunity Act (WIOA) Title I youth who are in need of employability skills training.

The purpose of this Supervisor's Manual is to acquaint you with the requirements of the Northeastern Workforce Development Board (NWDB) NextGen Work Experience Program.

Please read this manual thoroughly to become familiar with its contents.

**If you have any questions, please contact the
Youth Program and Business Engagement Coordinator at 252-333-5656
or hrobertson@accog.org.**

Career Advisor: _____

Contact number: _____

PURPOSE

A Work Experience (WEX) is intended to help youth acquire the personal attributes, knowledge, and skills needed to obtain meaningful employment or to advance in employment. Work experiences must encourage appropriate work habits and basic work skills for those who have never worked or who have not worked for a significant amount of time. WEX provides youth an opportunity to explore the working environment in selected industries that match as much as possible the youth's career interest and allows them to develop basic occupational-related skills. Work Experiences should also provide exposure to various aspects of an industry and include progressively more complex tasks.

Although desired, neither permanent employment nor occupational credentials are required outcomes of a WEX. Successful completion of a WEX is measured by the youth achieving work readiness skills as well as the youth and the employer's mutual satisfaction with the youth's participation in the WEX opportunity.

ELIGIBLE ACTIVITIES

Participation in a WEX activity is determined by the NWDB NextGen Career Advisor along with the youth and documented in the Individual Employment Plan. Each WEX is approved by the NWDB Youth Program and Business Engagement Coordinator and NextGen Program Manager. The host site is specifically chosen based on the experiential learning needed to enhance the youth's employability skills and may include the following:

- Instruction in employability skills or generic workplace skills such as those identified by the NWDB Work Readiness tool for the NWDB NextGen Program which will be provided to you.
- Exposure to various aspects of an industry;
- Progressively more complex tasks;
- Internships and job shadowing;
- The integration of basic academic skills into work activities;
- Service learning;
- Paid and unpaid community service; or
- Other approved activities designed to achieve the goals of the NWDB NextGen Work Experience Program

ELIGIBLE WORKSITES:

Work Experience worksites must meet the following program guidelines:

- A. The worksite host must sign the NWDB NextGen Worksite Agreement. The original Worksite agreement will be kept at the worksite and a copy will be retained by the NWDB NextGen Youth Program and Business Engagement Coordinator or designee and uploaded in NCWorks Online.
- B. The worksite host supervisor(s) must receive an orientation to the NextGen Work Experience Program and receive a copy of the Worksite Host Supervisor's Manual.
- C. Worksite host must complete the NextGen Work Experience Program Worksite Job Description or provide a Job Description.
- D. Youth must participate in an application and interview process with the worksite host that is equivalent to the existing hiring process of the worksite host.

- E. Youth must receive a short orientation session by the worksite host supervisors.
- F. The worksite host must not be involved in a current labor dispute and must not have a history of frequent layoffs.
- G. The worksite host cannot not utilize a Work Experience Agreement to displace currently employed workers or to reduce the hours of those employed workers below their normal schedule.
- H. A Work Experience Agreement cannot be written for a position in which a worker is currently on layoff or for a position which will deny a current worker a promotional opportunity.
- I. Work Experience must be conducted at the worksite host's place of business and may not be subcontracted.
- J. The training of an individual in circumstances where there is a sole proprietor may be allowed if the worksite host can demonstrate that sufficient training and supervision will be afforded the youth.
- K. Work Experience contracts will not be permitted if a NWDB Board member has a financial or personal interest. This limitation is intended to avoid any actual or perceived conflict of interest.
- L. The worksite host must be in compliance with all applicable business licensing, taxation and insurance requirements. The worksite host must not be in violation of any local, state or federal labor laws.
- M. Work Experience must not include political or religious activity.
- N. Work Experience participation must not infringe in any way upon the promotional opportunities of currently employed individuals.
- O. Training may not be provided for occupations where adequate supervision and/or monitoring are not available. These include traveling salespersons, out-stationed job positions, truck or van drivers and other positions requiring more than an occasional unsupervised trip from the hosting worksite.

ORIENTATION

Each youth will receive an orientation prior to the Work Experience by NWDB staff, which includes providing youth with a Participant's Manual. The manual outlining the purpose, expectations, and desired outcome of the WEX including a code of conduct, information regarding infractions, which will bring about termination, pay and other pertinent information participants will need for a successful WEX. The orientation will also provide information about the performance evaluation rating system which shows areas of strengths and weaknesses in work habits and skills, time sheets, job description which shows current skills and skills to be learned and the monitoring report.

Orientation by the employer is regarded as a payable activity from the youth's point of view and the time should be reported on the first timesheet. At a minimum, the following should be covered in a short orientation session once youth report to work:

- welcome youth;
- explain the rules and let them know what is expected of them;
- explain expectations regarding attendance, punctuality, notifying employers of tardiness and other soft skills/behavioral expectations at the worksite
- discuss safety rules and explain the need for safe working habits;

- encourage questions; and
- show youth where rules and regulations are posted; and
- any other information the employer deems pertinent for the WEX.

SUPERVISION:

The youth should be treated as much as possible as regular employees of the host worksite while taking into account that in many cases, youth will have little to no prior work history or understanding of workplace expectations. Supervisors need to be prepared to spend adequate, quality time with the youth and provide appropriate supervision. Worksite hosts must also understand some of the youth's time will be spent in educational endeavors and that flexibility of scheduling may be necessary.

As a worksite host and supervisor, your valuable contribution is critical to the success of the youth and the NWDB NextGen Program. Please do not hesitate to direct questions or concerns to the NextGen Youth Program and Business Engagement Coordinator (YPBEC), Hillary Robertson at 252-333-5656 or email hrobertson@accog.org.

EQUAL OPPORTUNITY

Worksite hosts may not discriminate against youth on the basis of race, sex, color, disability, age, national origin, religious or political affiliation or beliefs when making youth selection, job assignment, termination or any other aspect of training or employment.

WAGE AND PAYROLL PROCESS

NextGen participants should be compensated at the prevailing wage of employees with similar training, experience and skills for a similar occupation, as set by the employer (worksite). However, since work experiences are short-term and intended as trainee positions, wages should not typically exceed those for entry level employees. The rates may not be lower than the higher of the federal or state minimum wage. To determine the prevailing wage, the Career Advisor or service provider will obtain a job description for the participant and using the worksite pay scale determine what the wage will be, but not to exceed the entry level wage for the position. If the worksite does not have a pay scale, please reach out to the NWDB YPBEC for assistance in obtaining relevant labor market information to establish an appropriate wage for the WEX participant. Other items to be considered in determining the hourly wage are listed below. This list is not intended to be all inclusive:

- Objectives of the work experience
- Type of work to be performed during the work experience
- Skill set of the participant
- Skill set required for the work experience
- NWDB NextGen or Service Provider's budget

****Note* In many work experience placements, an individual's skill set may not meet the standard occupational classification qualifications for the position. Therefore, this distinction may allow the wages to be set below the prevailing wage standards, than***

what might be acceptable for a placement of an individual that meets the classification requirements.

Wage requirements under the Fair Labor Standards Act (FLSA) apply to all youth employed under WIOA. The FLSA applies to the extent that the activities performed in the work experience constitute employment. All work experiences are considered training opportunities and not employment.

The participant's checks will be deposited in their bank account as set forth in the time sheet/payroll schedule. A normal work week is determined by the youth, Career Advisor, and the worksite host and should be set in a way which will not conflict with the youth's other commitments; primarily their educational goals including obtaining a High School credential, post-secondary credentials, other educational goals or activities offered by NextGen program. Youth will not be paid for holidays or other absences.

Note: Be sure to review work hours and let the youth know what you expect with regard to meal breaks (breaks must be at least 30 minutes if the youth is working over 4 consecutive hours per Albemarle Commission policy) and other normal break periods. Otherwise, it is recommended that youth be required to follow the same break schedule as other employees.

TIMESHEETS

The NWDB Career Advisor or Service Provider will ensure that the timesheet is sent to the worksite host for review and signature at the end of each pay period. The timesheet is the official record determining the pay for the youth. Each youth is responsible to complete the timesheet daily by entering the actual hours worked, but it is the supervisor's responsibility to verify time is reported correctly before signing it. As a precaution, a designated alternate should be selected to sign the youth's time sheets and the NWDB YPBEC or other designated NWDB staff member should be given that person's name and contact information. Only the signature the worksite host supervisor or that of the designated alternate will be acceptable on youth timesheets.

SUPERVISORS: Please check to make sure the youth has documented meal breaks when applicable (30 minutes for every 4 consecutive hours worked).

PLEASE MAKE SURE THE TIMESHEET IS COMPLETE, SIGNED, AND READY TO BE TURNED IN BY THE SCHEDULED DATE AND TIME. If the timesheet is completed incorrectly or is not submitted as scheduled, the youth's check may not be deposited on time. The worksite supervisor will be given a payroll schedule that outlines the beginning and ending dates of pay periods and the date the timesheets will be processed. Please keep this pay schedule in a convenient location. Any concerns about youth's pay should be directed to the NWDB staff or service provider.

TIMESHEET COMPLETION:

- a. All participants engaged in work experience must complete the timesheet provided electronically (Attachment I is a sample). A sample can also be accessed at

https://docs.google.com/spreadsheets/d/1_diJPqyBNrRbiQB44avK_d8OSVj1R9Ab5GPe_i8eBtv8/edit?usp=sharing. (The link for the time sheet will be shared with the participant by NextGen Staff).

- b. Participants must indicate work start time, lunch or breaks, and end time each day.
- c. Work times will be recorded in 15-minute increments and break/lunch times will range from 0-75 minutes using the dropdown menu on the timesheet.
 - i. *Example 1: If the participant arrives to work at 5 minutes after 8, it should be recorded as 8:00. If arrival is 10 minutes after 8, it should be recorded as 8:15.*
 - ii. *Example 2: If the participant takes a break or lunch from 11:00 to 11:45 select 45 in the dropdown menu.*
- d. Participants are to enter their arrival, break/lunch and end time every day and the worksite supervisor or designee verify by signing at the end of each pay period.
- e. Work day total, week day total, and volunteer time will calculate automatically using the electronic time sheet.
- f. WEX time balance, time worked, and ending balance for the WEX will calculate automatically using the electronic timesheet.
- g. After the timesheet is completed and signed by the participant and worksite supervisor, the Career Advisor **MUST** review timesheet for accuracy and sign it.

****NOTE: If the participant works over 28 hours per week it will be documented as volunteer time. Participants are not paid for volunteer time, breaks, or lunch time taken.***

TRANSFER/TERMINATION/SUSPENSION OF WORK EXPERIENCE

A youth will be considered for transfer or termination whenever there is a conflict with the worksite supervisor, co-workers, and/or other youth that cannot be resolved. However, every effort will be made to resolve the conflict without necessitating such action.

Since Work Experiences are also designed to provide the youth an opportunity for career exploration and hands on learning, youth will also be considered for transfer to another site whenever it is determined that this worksite may no longer be advantageous for the youth.

Youth may be terminated or suspended from the work experience program by NWDB staff for, but not limited to any of the following

- failure to be on time;
- unexcused absences;
- failure to do the job;
- dishonesty;
- disrespect;
- falsification of information on timesheets or other forms;
- endangering the lives of co-workers or customers;
- stealing or receiving stolen property while on the job;
- using, selling or receiving any form of narcotics, drugs, or alcoholic beverages on the job;
- reporting to work under the influence of alcohol or drugs;

- immoral behavior during work hours;
- failure to progress in educational or other goals as outlined in the IEP.

If a youth displays any of these behaviors, or is suspected of doing so, please contact the youth's Career Advisor or NWBD YPBEC immediately at [252-333-5656](tel:252-333-5656).

In the event that a youth needs to be transferred, terminated, or suspended from the WEX, NWDB staff will provide the necessary arrangements, disciplinary action, or counseling. However, the worksite supervisor can and should provide feedback and/or counseling to the youth for any areas of substandard behavior before recommendation for termination in a similar fashion that would be provided to an employee. Substandard behavior/work habits should be documented on the NextGen Work Readiness Tool provided by NWDB staff.

EVALUATIONS

Youth Monitoring Report: The NextGen Career Advisor or designated representative will make contact with the youth to monitor their progress in the WEX a minimum of once per month. The Career Advisor or designated representative will also complete a formal participant monitoring 3 times during the work experience; in the first month, about halfway through, and at the end using the Youth Monitoring Report. This is to ensure that the needs of the youth are being met; address any issues and concerns that may arise; and to give the youth feedback on their performance in a formalized manner. Exceptions may be made to allow for fewer monitorings if a WEX is planned for a short period of time in which completing 3 monitorings would not be feasible or if a WEX ends earlier than planned. Worksite hosts and youth are encouraged to bring any concerns to the attention of NWDB staff immediately.

Worksite Monitoring Report: The YPBEC or designated representative shall perform regular monitoring of the worksite at least 3 times during the course of the WEX and shall complete the Worksite Monitoring Tool. This is to ensure that the needs of the worksite host are being met, to ensure the safety of the youth, and to address any issues or concerns that may arise. Exceptions may be made to allow for fewer monitorings if a WEX is planned for a short period of time in which completing 3 monitorings would not be feasible or if a WEX ends earlier than planned. Worksite hosts and youth are encouraged to bring any concerns to the attention of the NWDB staff immediately.

NWDB Work Readiness Tool: The youth must be evaluated throughout the program so that the NWDB staff or Service Provider can offer corrective and/or technical assistance to the youth as needed. The areas of performance to be reviewed are attendance, punctuality, workplace appearance, taking initiative, quality of work, communication skills, response to supervision, teamwork, problem solving/critical thinking, workplace culture and safety. There are also other areas that may be added depending on the youth and workplace needs. Additionally, job skills/abilities to be learned listed on the Worksite Job Description should be evaluated to show progress or areas of concern. Evaluations will occur at least three times during the work experience program, (near the beginning, middle and end) and will be the measure to determine

youth's work readiness and skills gains. The NWDB Work Readiness Tool will be provided to you. If you need additional copies, please let the NWDB staff or Service Provider know.

SAFETY RULES/REGULATIONS:

It is the responsibility of each worksite host to discuss safety rules and regulations with each work experience youth and to ensure OSHA compliance as required. Each youth must be made aware of the proper safety procedures in case of a fire, injury, or other emergencies.

WORKER'S COMPENSATION

If an accident occurs on the job, the youth is covered by NWDB Worker's Compensation Insurance. Contact the NextGen Program Manager immediately at **252-333-5792**. The NextGen Program Manager will contact the Service Provider, legal guardian, or other persons as needed. If the Program Manager is not available, contact the NWDB Administrative Office at 252-404-7083 and let the NWDB staff know there was an accident with your youth worker. Arrange to transport the youth to the doctor, hospital, or clinic as soon as possible if needed. Immediately contact NWDB at 252-404-7083 for further instruction. Be sure to record the details of the accident (Who, What, When, Where, How, etc.).

WORKSITE HOST AGREEMENT

The worksite host agreement explains the Work Experience requirements and limitations. (See Attachment D).

WORKSITE HOST SUPERVISOR ORIENTATION

Below are topics that will be explained to you prior to placement of youth at your worksite.

Worksite Host: _____

- | | |
|--|--|
| | 1. Purpose |
| | 2. Eligibility requirements |
| | 3. Rights, benefits and responsibilities of youth |
| | 4. Hours of work (days, weeks, holidays, etc.) |
| | 5. Reporting procedures |
| | 6. Pay procedures |
| | 7. Worker’s Compensation |
| | 8. Sectarian activities not permitted |
| | 9. Equal employment opportunity |
| | 10. Grievance procedure-must use Albemarle Commission’s procedures |
| | 11. Termination procedure-will be addressed by NWDB if the youth is not appropriate for the position |
| | 12. Worksite Host Agreement |
| | A. Role of Supervisor |
| | B. Work assignments |
| | C. Monitoring |
| | 13. Handling on the job injuries/accidents-must call NWDB contact person immediately |
| | 14. Handling problems at the worksite host involving WIOA youth-must call NWDB contact right away |
| | 15. Completing NWDB Work Readiness Tool |
| | 16. Northeastern Workforce Development Board contact person |

Worksite Host Supervisor Signature

Date

Youth Program & Business Engagement Coordinator
or Designee

Date

**** The above signatures indicate that the subjects listed above have been reviewed with worksite host supervisor.**

Job Title: _____

Start Date: _____

Date of Evaluation: _____

Supervisor: _____

Worksite: _____

Has the participant gained any new skills or made improvements on existing skills? If so, please describe their progress.

Comments:

Instructions:

PREPARATION: Career Advisors should review tool with the participant prior to the first day of the Work Experience. Depending on the number of participants at a worksite and the Career Advisor's discretion, this can be done as part of a group orientation or individually with each worker. At the conclusion, each participant should have a clear understanding of their job description and expectations, what work readiness skills they will be measured on, and how often they will be measured.

FREQUENCY: It is recommended that employers conduct at least three evaluations. Regular assessments provide employers the opportunity to offer participants constructive feedback; formally recognize positive work performance; address small issues before they become larger ones; and formally communicate participant performance with local program staff to ensure added support.

FIRST EVALUATION: The first evaluation can be used as a helpful diagnostic and developmental tool. It is most useful when conducted within the first few weeks. For participants who are experiencing challenges and/or have received a "1" in any category, a performance improvement plan should be put in place to outline a set of goals for the participant to work towards.

GRADING SCALE: A grading scale of foundation skills has been listed on page 3 for employer convenience. To add any additional skills, employers can copy the language in the "general key" and modify as they see fit.

SUPPORT: Local area program staff are available to make evaluation process as simple and seamless as possible. Through employer orientations, worksite monitoring, and on-going communication, participant program staff are available to address any outstanding questions or concerns by the employer. They can also assist with job descriptions and provide additional supportive work readiness training to participants if needed.

Additional Skills: This work readiness tool is modifiable to best meet employers' specific needs. Ten foundation skills have already been listed. Employers may measure all or most of these skills and are also encouraged to add any additional workplace and career skills relevant to the work experience.

Job Title: _____

Start Date: _____

Date of Evaluation: _____

Supervisor: _____

Worksite: _____

Employment Evaluation Grading Descriptions

ATTENDANCE

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Excessive absences consistently impact work performance. Additional training is needed.	Below 90% attendance, but participant seeks out opportunities to make up missed work.	Maintains 90% attendance and notifies supervisor ahead of time prior to absence.	100% attendance or missed one day with valid reason that did not occur during first two weeks.

PUNCTUALITY

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Excessive lateness consistently impacts work performance. Additional training is needed.	Inconsistent in arriving to work, returning from breaks on time, and calling supervisor prior to lateness.	Arrives to work & returns from breaks on time with rare exception. If late, calls supervisor ahead of time.	Perfect or near perfect in arriving for work and returning from breaks on time. Model for other workers.

WORKPLACE APPEARANCE

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Has not yet demonstrated appropriate appearance and/or personal hygiene for position and duties.	Inconsistent in demonstrating appropriate appearance and/or personal hygiene for workplace.	Dresses appropriately and practices hygiene for position and duties with rare exception.	Consistent display of professional appearance and hygiene serves as a model for other workers.

TAKING INITIATIVE

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Reluctant to begin tasks without significant staff intervention. Needs frequent reminders. Additional training may be needed.	Inconsistently begins or remains on task. Needs occasional prompting. Often satisfied with bare minimum performance.	Begins and remains on task until completion with rare exception. Can work independently. Initiates interaction for next task.	Consistently begins/remains on task until completion, and initiates interaction for next task. Can work independently, and leads others.

QUALITY OF WORK

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Has not yet given best effort. Rarely evaluates work and utilizes feedback. Completes work inconsistently. Additional training may be needed.	Uneven work quality. Sometimes evaluates own work and utilizes feedback, but inconsistent in meeting quality standards.	Quality of work meets expectations. Evaluates own work, and utilizes employer feedback to improve performance.	Quality of work often exceeds expectations. Consistently gives best effort. Evaluates own work and utilizes employer feedback.

COMMUNICATION SKILLS

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Seldom speaks clearly or listens attentively. Repeatedly uses inappropriate language for the workplace. May need additional training and support.	Inconsistent in communicating in manner and language appropriate for workplace. Inconsistent in effort to speak clearly or listen attentively.	Demonstrates positive oral and non-verbal communication with rare exception. Listens attentively and uses language appropriate for workplace.	Consistently demonstrates positive oral/non-verbal communication skills. Speaks clearly and listens attentively. Can effectively present to a group if needed.

RESPONSE TO SUPERVISION

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Reluctant to accept feedback and constructive criticism from supervisor. Responds with poor verbal or non-verbal communication. Additional training may be necessary.	Inconsistent in accepting direction, feedback, and constructive criticism from supervisor. Shows potential for improvement.	Accepts direction and constructive criticism with positive attitude with rare exception. Uses feedback to improve work performance.	Consistently accepts direction and constructive criticism with positive attitude. Uses feedback to improve work performance, and provides new and useful ideas to employer.

TEAMWORK

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Has not yet demonstrated appropriate group behaviors. Improvement needed in treating others with respect. Rarely contributes to group efforts. Additional training may be necessary.	Inconsistent in promoting positive group behaviors amongst coworkers, and in contributing to group efforts. Shows potential for improvement.	Works well with co-workers, is respectful, and contributes to group efforts with rare exception. Respects diversity within the workplace.	Consistently facilitates positive group dynamics. Demonstrates leadership that plays a significant role in success of group efforts. Promotes larger group unity.

PROBLEM-SOLVING/CRITICAL THINKING

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Makes little or no effort to use knowledge learned from the job to solve workplace problems.	Inconsistent in using sound reasoning to solve work problems. Shows potential for improvement.	Uses sound reasoning, and job knowledge to solve workplace problems. Shows initiative in improving skills.	Consistently applies sound reasoning to solve work problems. Identifies potential problems before they can occur.

WORKPLACE CULTURE, POLICY AND SAFETY

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Has not demonstrated understanding of workplace policies/ethics. Has not completed applicable training on workplace .	Inconsistent in demonstrating understanding of workplace culture, policies, and safety rules.	Demonstrates understanding of workplace policies. Completed safety training if applicable, and adheres to rules. Exhibits honesty and integrity.	Shows clear understanding of work policies and safety rules. Exhibits honesty and integrity. Has completed applicable safety trainings and has led coworkers.

GENERAL KEY

Perf. Improvement Plan Needed	Needs Development	Proficient	Exemplary
Is not yet demonstrating the skills required for the position and needs to have a formal plan for improving skills. May need additional training.	Inconsistent in demonstrating and developing skills for the position, but development is needed.	Demonstrates the skills required for the position with rare exception, and shows initiative in improving skills.	Consistently demonstrates skills required for the position. Often exceeds expectations and has emerged as leader that improves overall team.

This general key is adaptable for employers to copy, paste in boxes on page 1, and modify accordingly for job-specific skills.



Northeastern Workforce
Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Serving Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

PARTICIPANT'S MANUAL

Work Experience Program

The Work Experience Program is designed to provide you, as a NWDB NextGen participant, with work-based learning opportunities in order to help you develop knowledge about your intended career field and gain skills that will help you be successful in the workplace.

The purpose of this Participant's Manual is to acquaint you with the requirements of the NWDB Work Experience Program as well as outline our responsibilities and your worksite host supervisor's responsibilities to you.

Please read this manual thoroughly to become familiar with its contents.

If you have any questions, please contact your Career Advisor

_____ [@accog.org](mailto:accog.org) at (252) _____

PURPOSE

A Work Experience (WEX) is intended to help you acquire the personal attributes, knowledge, and skills needed to obtain meaningful employment or to advance in employment. A WEX is to encourage appropriate work habits and basic work skills if you have little to no work experience or have not worked in your desired career pathway. It provides you an opportunity to explore the working environment in selected industries that match as much as possible to your career interest area and provides you the opportunity to develop basic occupation-related skills. A WEX should also provide exposure to various aspects of an industry and include progressively more complex tasks.

Benefits of a Work Experience include:

- It provides you an opportunity to sharpen your professional work habits
- You can explore a working environment in a career pathway that matches your career interests
- You can build work skills that will give you a boost in your desired career field

Although desired, neither permanent employment nor occupational credentials are required outcomes of a WEX. Successful completion of a WEX is measured by the work readiness skills you gain as well, your successful completion of your work-related IEP goals and objectives, and the mutual satisfaction of you and your worksite supervisor with your participation in the WEX opportunity.

ELIGIBLE ACTIVITIES

A WEX activity is planned by you and Career Advisor and documented in your Individual Employment Plan (IEP). Each WEX is approved by the NWDB Youth Program Coordinator and Program Manager. The host worksite is specifically chosen based on the experiential learning needed to enhance your employability skills and may include the following:

- Gaining or advancing workplace skills such as those identified by the NWDB Work Readiness tool for the NWDB Program which will be provided to you;
- Exposure to various aspects of an industry;
- Performing progressively more complex tasks;
- Internships and job shadowing;
- Applying the knowledge and skills you have gained in the classroom;
- Paid and unpaid community service; or
- Other approved activities designed to achieve the goals of the NWDB Work Experience Program.

PARTICIPANT ELIGIBILITY:

Participants who desire to participate in a work experience should meet the following program guidelines:

- A. Complete the requirements outlined in the WEX Readiness Checklist. Your Career Advisor will go over these requirements with you.
- B. Sign the NWDB WEX Participant's Agreement (last page of this manual). A copy of the WEX

participant's manual will provided to you.

- C. Agree to meet with the Career Advisor at least monthly or as scheduled by the Career Advisor.
- D. Actively work on goals outlined in your Individual Employment Plan (IEP).
- E. If attending school, you should continue to attend regularly and maintain a satisfactory GPA/earn satisfactory grades during your WEX.
- F. Participate in an application and interview process with the worksite host that is equivalent to the existing hiring process of the worksite host.
- G. Abide by the Code of Conduct outlined in this manual.
- H. Review and work to gain the skills and abilities as outlined in the Work Experience Program Worksite Job Description.
- I. Receive an orientation session by the WEX worksite supervisor or designee.
- J. Abide by the rules, policies, and safety guidelines set by the WEX worksite.

ORIENTATION

Each participant should receive an orientation prior to the Work Experience by NWDB staff, which includes:

- an explanation of this manual;
- the WEX Code of Conduct;
- timesheet, wages, and payroll process;
- job description which shows current skills and skills to be learned;
- the participant monitoring report and work readiness tool;
- information regarding infractions which may bring about termination;
- supportive services guidelines;
- other information required for a WEX.

Orientation by the employer is regarded as a payable activity, and the time should be reported on the first timesheet. At a minimum, the following should be covered in the orientation session once you report to work:

- welcome;
- receive a copy of the employee manual if applicable;
- explain the rules and let you know what is expected;
- explain expectations regarding attendance, punctuality, notifying employers of tardiness, and other soft skills/behavioral expectations at the worksite;
- discuss safety rules and explain the need for safe working habits;
- encourage questions;
- show you where rules and regulations are posted; and
- any other information the employer deems necessary for the WEX.

SUPERVISION:

You should be treated as a regular employee. Supervisors should be prepared to spend adequate quality time with you and provide appropriate supervision. Worksite hosts understand some of your time will be spent in educational endeavors and that flexibility of your work schedule may be necessary, however, a set work schedule should be maintained as consistently as possible.

EQUAL OPPORTUNITY

Worksite hosts may not discriminate against anyone on the basis of race, sex, color, disability, age, national origin, religious or political affiliation or beliefs when making selections, job assignments, terminations or any other aspect of training or employment.

COMPLAINT PROCEDURES

Any person who believes that he/she or any specific class of individuals has been or is being excluded from participation, denied benefits, subjected to discrimination or denied employment in the administration of or in connection with any WIOA funded activity or program, on the grounds of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in WIOA may file a written complaint. The complaint may be filed by the person or a representative.

Refer to the WIOA Equal Opportunity and Non-Discrimination Participant documents provided to you at enrollment for instructions on how to file a complaint.

PERSONAL APPEARANCE AND DEMEANOR

Discretion in style of dress and behavior is essential to the efficient operation of the WEX program and the work experience worksite. You are required to dress in appropriate attire and to behave in a professional manner. You will be held to the appearance standards of the WEX worksite while working. Please use good judgment in your choice of work clothes and remember to conduct yourself at all times in a way that best represents you, NWDB, and the WEX worksite well. Remember that you are often a role model for others. Always be neat, clean, and well groomed. Attire worn must be appropriate for the place and type of work. If you are unsure of the dress code for your worksite host, ask your WEX Supervisor for clarification.

GUIDELINES FOR APPROPRIATE CONDUCT

As a member of the WIOA Title I team, you are expected to accept certain responsibilities, adhere to acceptable business principles in matters of personal conduct, and exhibit a high degree of personal integrity at all times. This not only involves sincere respect for the rights and feelings of others, but also demands that, both in your business and in your personal life, you refrain from any behavior that might be harmful to you, your coworkers, the WIOA Title I program, and your worksite or that might be viewed as unfavorable by the public at large. Whether you are on or off work, your conduct reflects on them. You are, consequently, encouraged to observe the highest standards of professionalism at all times.

DRUG FREE WORKPLACE

It is the policy of the NWDB to create a drug free, healthy, and safe workplace. To promote this goal, employees are required to report to work in an appropriate mental and physical condition to perform their jobs in a satisfactory manner.

While on worksite premises and while conducting business related to your work experience, you may not use, possess, sell, or be under the influence of alcohol or illegal drugs. The legal use of prescribed drugs is permitted on the job only in strict compliance with the prescribing physician's instructions and only if it does not impair your ability to perform your duties effectively and in a safe manner that does not endanger other individuals in the workplace.

Violations of the policy may lead to disciplinary action, up to and including immediate termination of Work Experience.

LENGTH of WORK EXPERIENCE

Your Work Experience can extend up to 300 hours but may be planned for fewer hours depending on your goals, needs, and availability as well as the availability of funding. You may be eligible to participate in more than one WEX during your program enrollment, but you may only participate in one WEX at a time. Additional WEX activities may be performed at the same worksite or at different worksites but must align with your work-related goals by allowing you to learn progressively more advanced skills or explore different career options. The ability to participate in more than one WEX will be determined based on your career goals, work habits, and conduct during previous WEXs and your Career Advisor's recommendation. This also allows you to participate in more career exploration opportunities. Hours are based on your needs and the WEX worksite as well as available funding.

You will not be compensated for more than 28 hours per week. Any time worked over 28 hours per week will be considered volunteer hours and is not compensated by any monetary pay. Your work schedules should be determined by the following factors:

- available supervision at the WEX worksite;
- consideration of other commitments you have for your education, extracurricular school activities, WIOA Title I activities and family; and
- availability of WIOA Title I funding.

A Work Experience can be terminated by the service provider staff if training and supervision expectations are not being met, you are not upholding WEX program participation expectations or as requested by the supervisor(s) at worksite host. Your WEX is a training opportunity available to you and not a requirement for completion of the WIOA Title I program.

WAGE AND PAYROLL PROCESS

Participants starting wage will be established based on the participant's current training, experience and skills in a similar occupation with the same employer (worksite). Since work

experiences are short-term and intended as trainee positions, wages should not typically exceed those for entry level employees. The rates may not be lower than the state minimum wage. To determine the starting wage, the Career Advisor will obtain a job description for the participant and using the worksite pay scale determine what the wage will be, but not to exceed the entry level wage for the position. If the worksite does not have a pay scale, other information will be used to determine the wage. Other items to be considered in determining the hourly wage are listed below. This list is not intended to be all inclusive:

- Objectives of the work experience
- Type of work to be performed during the work experience
- Skill set of the participant
- Skill set required for the work experience
- NWDB budget

****Note* In many work experience placements, a participant's skill set may not meet the standard occupational classification qualifications for the position. Therefore, this distinction may allow the wages to be set below the prevailing wage standards than what might be acceptable for a placement of an individual that meets the classification requirements.***

Your checks will be deposited in your bank account as set forth in the service provider's time sheet/payroll schedule.

WORK SCHEDULE

A normal work week is determined by you, your Career Advisor and the worksite host and should not conflict with your other commitments; primarily your educational goals including obtaining a High School credential, post-secondary credentials, other educational goals or activities offered by WIOA Title I program. The WEX program does not provide pay for sick leave, time off or other absences. If you work on any holidays there are no additional compensation for these days.

Note: Be sure to review work hours and abide by your worksite supervisor's expectations with regard to meal breaks (breaks must be at least 30 minutes if the you are working over 4 consecutive hours per the service provider's policy) and other normal break periods. Otherwise, it is recommended that you be required to follow the same break schedule as other employees.

TIMESHEETS

The timesheet is the official record determining your pay. Your Career Advisor will send your timesheet electronically. You are responsible for filling in the timesheet each work day by entering the actual hours worked. Procedures are as follows:

- All participants engaged in work experience must complete the electronic timesheet provided (See Attachment I For Example).
- Participants must indicate work start time, end time before each break, break time taken, start time after each break, and end time each day.

- Work times will be recorded in 15-minute increments and break/lunch times will range from 0-75 minutes using the dropdown menu on the timesheet.
 - *Example 1: If you arrive to work at 5 minutes after 8, you would record that as 8:00. If you arrive at 10 minutes after 8, you would record that as 8:15.*
 - *Example 2: If you take a break or lunch from 11:00 to 11:45 you will select 45 in the dropdown menu.*
- Work day total, week day total, and volunteer time will calculate automatically on the electronic timesheet.
- WEX time balance, time worked, and ending balance for the WEX will calculate automatically on the electronic timesheet.
- After the timesheet is completed and signed by participant, the worksite supervisor must verify that the hours reported are correct, and the Career Advisor **MUST** review timesheet for accuracy and sign it.

****NOTE: If the participant works over 28 hours per week it will be documented as volunteer time. Participants are not paid for breaks or lunch time taken.***

Any change made to a timesheet that has been printed or sent for electronic signature must be marked through and initialed by you, the supervisor, or NWDB staff member as required. There should be no whiteout used on the timesheets.

Please do not fill in any time before you actually complete the work.

Only your signature and the supervisor or designated alternate will be acceptable on the time sheets. If you work more than 4 consecutive hours, a break of at least 30 minutes is required and must be shown on the timesheet. Any other breaks will be determined by the worksite supervisor. You will not be paid for any breaks taken.

PLEASE MAKE SURE THE TIMESHEET IS COMPLETE, SIGNED, AND READY BY THE DUE DATE AS DIRECTED BY YOUR CAREER ADVISOR. If the timesheet is completed incorrectly or is not submitted as scheduled, your check may not be deposited on time.

You are normally paid on a monthly basis by the last day of the month. You must have a bank account in your name for payment to be deposited. If you don't have a bank account, your Career Advisor will work with you to obtain one, but ultimately it is your responsibility to have an account. You will be given a payroll schedule that outlines the beginning and ending dates of pay periods and the date the timesheets must be completed for processing. Any concerns about your pay should be directed to your Career Advisor.

EVALUATIONS

NWDB Work Readiness Tool: You will be evaluated throughout the program so that your Career Advisor can offer corrective and/or technical assistance to you as needed and assess your skill attainment. The areas of performance to be reviewed are attendance, punctuality, workplace

appearance, taking initiative, quality of work, communication skills, response to supervision, teamwork, problem solving/critical thinking, workplace culture, and safety. There are also other areas that may be added depending on the requirements of your workplace. Additionally, job skills/abilities to be learned listed on the Worksite Job Description will be evaluated to show your progress or areas of concern. Evaluations will occur at least three times during the work experience (near the beginning, about halfway through, and at the end) and will be the measure to determine your work readiness and evaluate skills gains. The NWDB Work Readiness Tool evaluation will be provided to you. If you have any questions about your progress, please contact your worksite supervisor and discuss with your Career Advisor.

CODE OF CONDUCT

As a participant in the WEX program, you agree to follow the standards listed below. These standards are common behaviors that are expected during this WEX and any job you have throughout your career.

- Be on time
- Dress neatly and appropriately
- Call my worksite supervisor if I will be absent or if I am unable to get to work on time. (Your Career Advisor will not contact your worksite. This is your responsibility!)
- Discuss job related questions with my worksite supervisor
- Take my responsibilities seriously, since it could lead to permanent employment
- Work hard to get along with my co-workers
- Be careful with property that belongs to other people
- Observe all safety rules
- Follow instructions carefully and ask questions if I do not understand
- Be honest
- Maintain a positive attitude about myself, my job, and my co-workers.
- Document all time worked correctly on my timesheet (including at least a 30-minute mandatory meal break if working over 4 consecutive hours).
- Schedule a meeting with my career advisor if I am considering resigning from the work experience
- Give the worksite supervisor at least 2 weeks' notice in writing if I am planning to resign from the work experience

TRANSFER/TERMINATION/SUSPENSION OF WORK EXPERIENCE

The program operator reserves the right to remove persons from employment, either temporarily or permanently. North Carolina is an employment at will state and the program operator is an employment at will employer. A participant may be suspended, demoted or dismissed because of failure in performance of duties or failure in personal conduct. A participant will be considered for transfer or termination whenever there is a conflict with the worksite supervisor, co-workers, and/or others that cannot be resolved. However, every effort will be made to resolve the conflict without necessitating such action.

Since Work Experiences are also designed to provide you an opportunity for career exploration and hands on learning, you will also be considered for transfer to another site whenever it is determined that this worksite may no longer be advantageous for you.

You may be terminated or suspended from the work experience program by service provider staff for, but not limited to any of the following:

- failure to be on time;
- unexcused absences;
- failure to do the job;
- dishonesty;
- disrespect;
- falsification of information on timesheets or other forms;
- endangering the lives of co-workers or customers;
- stealing or receiving stolen property while on the job;
- using, selling or receiving any form of narcotics, drugs, or alcoholic beverages on the job;
- reporting to work under the influence of alcohol or drugs;
- immoral behavior during work hours;
- failure to progress in educational or other goals as outlined in the IEP;
- WIOA Title I funding availability.

If you display any of these behaviors, or are suspected of doing so, please contact your worksite supervisor and Career Advisor immediately.

In the event that you are considered for transfer, suspension, or termination from the WEX, your Career Advisor will provide the necessary arrangements, corrective action, and/or counseling. However, your worksite supervisor can and should provide feedback and/or counseling to you for any areas of substandard behavior or performance before recommendation for termination in a similar fashion that would be provided to an employee. Substandard behavior/work habits should be documented on the NWDB Work Readiness Tool.

SAFETY RULES/REGULATIONS:

It is the responsibility of each worksite host to discuss safety rules and regulations with you and to ensure OSHA compliance as required. You must be made aware of the proper safety procedures in case of a fire, injury, or other emergencies.

WORKER'S COMPENSATION

If an accident occurs on the job, you are covered by NWDB Worker's Compensation Insurance. Contact your Career Advisor immediately. If you are unable to reach your Career Advisor, contact the Program Manager immediately at **252-333-5792**. Be sure to record the details of the accident (Who, What, When, Where, How, etc.).

Unemployment Benefits

WEX participants are not eligible for unemployment benefits.

MONITORING

Participant Monitoring Report: Your Career Advisor or designated representative will make contact with you at least once per month to monitor your progress in the work experience. At least 3 times during the Work Experience, your Career Advisor will work with you to complete the Participant Monitoring Report. This is to ensure that your needs are being met, make sure any issues or concerns are addressed, and to give you feedback on your performance in a formalized manner. Exceptions may be made to allow for fewer monitorings if a WEX is planned for a short period of time, and completing 3 monitorings would not be feasible or if a WEX ends earlier than planned. You are encouraged to bring any concerns to the attention of your worksite supervisor and Career Advisor immediately.

Worksite Host Monitoring Report: The Program Coordinator or designated representative will perform a monitoring of the worksite after the first month of the WEX, about halfway through the WEX hours, and at the end of the WEX using the Work Experience Worksite Host Monitoring Report (Attachment C). These monitoring visits are conducted to get feedback from the host worksite on participant performance, areas of improvement for the WEX program, their interest in hosting more WEXs, and any other pertinent information. Additional monitoring may be conducted on an as-needed basis. Exceptions may be made to allow for fewer monitorings if a WEX is planned for a short period of time, and completing 3 monitorings would not be feasible or if a WEX ends earlier than planned. Monitoring can be conducted in-person, by phone, or by electronic means.

WEX OUTCOMES

A WEX is intended to help you acquire the personal and professional attributes, knowledge, and skills needed to obtain meaningful employment or to advance in employment. They are designed to encourage appropriate work habits and skills and get hands-on experience in a particular industry. At the end of your WEX there are some expected outcomes you should gain. Outcomes include, but not limited to the following things:

1. Gain transferrable skills (technical skills that can be used with any job)
2. Gain soft skills (non-technical skills that can be used with any job)
3. Gain occupational skills (skills that can be used in a specific career or industry)
4. Get a better understanding of expectations and requirements for any job and in a specific occupation
5. Get a referral letter from your WEX employer
6. Get a job offer

It is recommended that you write a summary of things you learned during your work experience including but not limited to:

- a. Transferrable and occupational skills learned

- b. Soft skills gained: teamwork, handling stress, receiving feedback, problem solving/conflict resolution, critical thinking, communication, employer expectations, etc.
- c. Dress and appearance

Your Career Advisor can assist you in developing your summary. This is intended to help you in your career progression, self-development, resume writing and interview skills.

WORK EXPERIENCE PARTICIPANT READINESS CHECKLIST

Your Career Advisor will work with you to complete the WEX Participant Readiness Checklist (Attachment L) to help prepare you for your work experience. Completion of the items on the checklist is required in order for you to be eligible to begin your WEX. This list is not all inclusive and there may be other things needed that are not listed.

The below signatures indicate that the Career Advisor has reviewed the WEX Participant’s Manual with me, that I have read and understand these guidelines and that I agree to abide by the guidelines of this WEX manual.

Participant’s Signature

Date

Career Advisor or Designee

Date



NEXTGEN WORK EXPERIENCE PROGRAM WORKSITE JOB DESCRIPTION

IMPORTANT NOTICE: For each job title requested a job description/training outline must be completed. All participants will be trained in the job skills listed below and also provided employment skills training.

Section 1: General Information Please complete the following:							
Participant Name:				Job Title:			
Worksite Name:							
Worksite Address:							
Supervisor Name:				Phone #:			
				Email:			
Alt. Supervisor Name, (if applicable):				Phone #:			
				Email:			
Planned Work Schedule: (Time/Hours)	Sun	Mon	Tues	Wed	Thurs	Fri	Sat
For this position only – CANNOT WORK OVER 28 HOURS IN A WEEK							
Hourly Wage:	\$	Does this position require a background Check?			<input type="checkbox"/> Yes <input type="checkbox"/> No		
If so, has a background check been completed?		<input type="checkbox"/> No <input type="checkbox"/> Yes, provided by the Worksite <input type="checkbox"/> Yes, provided by WIOA Service Provider					
Special clothing equipment required:							
Section 2: Job Description (can be attached)							
Section 3: Participant Skills Set/Transferrable Skills (can be attached)							
<i>List Assessment Tool(s) used to identify skills to be learned (skills gap)(Ex: ONet https://www.onetonline.org)</i>							
Section 4: Identify Skills/Abilities to be Learned							
Job Skills/Abilities to be Learned				Job Skills/Abilities to be Learned			

Job Description/Training Outline Developed/Approved by:



NEXTGEN WORK EXPERIENCE PROGRAM WORKSITE JOB DESCRIPTION

Worksite Representative/Supervisor Signature

NWDB Staff Signature

SAMPLE WORK EXPERIENCE

Note: Participants should sign timesheet daily to certify time worked each day. If working over 4 hours consecutively, participants MUST document a 30 minute (minimum) break. All timesheets should be completed in **INK, NOT PENCIL** and **NEVER USE WHITE-OUT**.
In and Out times will be recorded in 15 minute increments (:00, :15, :30 and :45 minutes).

of Hrs will be recorded in quarterly increments (.00, .25, .50 and .75).

Month/Year:	Feb 2021	Pay Period	Day
Work Experience Participant Name	First and Last Name	Job Title	Beginning 15
Worksite: Business Name		Ending	31
Carry Forward	8		

Write in and out times for each date listed below.

Date	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31
In	8:00 AM		8:00 AM		8:00 AM			8:00 AM		8:00 AM		8:00 AM		8:00 AM			
Out	12:00 PM		12:00 PM		12:00 PM			12:00 PM		12:00 PM		12:00 PM		11:00 AM			
Break	30		30		30			30		30		30					
In	12:30 PM		12:30 PM		12:30 PM			12:30 PM		12:30 PM		12:30 PM					
Out	4:30 PM		4:30 PM		4:30 PM			4:30 PM		4:30 PM		4:30 PM					
Break								30									
In								5:00 PM									
Out								6:00 PM									
Enter Work Day Totals in the Boxes Below																	
Work Day Totals	8		8		8			9		8		8		3			
Enter Work Week Totals Below																	
Work Week Totals	Work Week Totals Must Not Exceed 28 Hours per Week																
(Sunday-Saturday)	Week 1 Hours:	28 (includes 4 Carry Forward Hours)				Week 2 Hours:	25						Week 3 Hours:	3			
Volunteer Time Earned	Week 1:	4 (remaining carry forward hours)				Week 2:							Week 3:				

WEX Time Balance	
Beginning Balance	800
Time Worked	60
Volunteer Hours Worked	4
Ending balance does not include volunteer hours	800 - 56
Ending Balance	744

TOTAL PAID HOURS	56
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Converting Time to Decimal Hours			
Start Time	End Time	Hours : Minutes	Decimal Hours
8:00 AM	11:15 AM	3:15	3.25
8:00 AM	11:30 AM	3:30	3.50
8:00 AM	11:45 AM	3:45	3.75
8:00 AM	12:00 PM	4:00	4.00

I certify this is a true record of my accountable time.

 Work Experience Participant Signature Date

 Worksite Supervisor's Signature Date

 Career Advisor's Signature Date

 Program Manager's Signature Date



- NEW EMPLOYEE
- CHANGES
- LAST PAYROLL **and/or** TERMINATE EMPLOYEE IN PAYROLL SYSTEM

Date: _____

All Payroll Changes Must Be Submitted Utilizing this Form with the attached Documents

Any changes submitted without this form will not be processed until this form and the attached documents are submitted to Payroll

YOUTH WORK EXPERIENCE EMPLOYEE FORM

- In School Youth
- Out of School Youth

Hire Date: _____ Employee Number: _____

Employee Name: _____

Employee Email Address: _____ DOB: _____

SS#: _____

Employee Home Address: _____

Employee Phone Number: _____ Job Title: _____

Origin/Object Code: _____ Location Code: _____ Job Classification Code: _____ Starting Salary: _____

Salary Change: From / To
 \$ _____ / _____ Effective Payroll: _____
 Type: _____

Direct Deposit Change **(ATTACH FORM)** Effective Payroll: _____

E-Verify Form – Including copy of Driver’s License and SS Card

Taxes – See attached NC 4 and W-4 forms

Other:

APPROVALS:

Employee: _____ Date: _____

(On all changes – if employee is off site, an email from them is sufficient for a signature)

Program Director: _____ Date: _____

(All YWEX Changes)

Finance Director: _____ Date: _____

(All YWEX Changes)

Benefits Administrator: _____ Date: _____

(All YWEX Changes)

Payroll Administrator: _____ Date: _____

(All YWEX Changes)

Executive Director: _____ Date: _____

(All YWEX Changes) **LAST TO SIGN ON SITE**

When all approvals and changes are signed off on, form is to be returned to the Albemarle Commission for their file

New Employee Number: _____

WIOA Work Experience Program Worksite Agreement Modification

Worksite Name: _____

WIOA Title I Service Provider Name: Northeastern Workforce Development Board

Modification Number 1 2 3 4

Modification for the following Participant:

Name	Job Title	Work Experience Hours Remaining	Hourly Wage

Work Experience Worksite Agreements may require changes for which a modification is necessary. Reasons for a modification include but are not limited to:

- *To extend the end date of the work experience (not to exceed allowable hours per placement, program year, or program enrollment)*
- *To correct errors in the original agreement or job description/training outline*

The Worksite Supervisor and the WIOA Title I Service Provider agree that this Worksite Agreement shall be modified as stated:

Except as hereby modified, all other terms and conditions of this worksite agreement remain unchanged and in full force and effect. The effective date of this modification is _____.

The worksite supervisor and WIOA Title I Service Provider mutually agree to abide by the terms and conditions stated and do hereby execute this modification in keeping with our respective authority.

By signing below, I agree to adhere to the modification(s) stated above

Worksite Supervisor Signature

Title

Date

NWDB Designated Representative Signature

Title

Date

Attach modification to original worksite agreement.



Work Experience Readiness Checklist

Participant:		Program: OSY ISY
Career Advisor:		
Career Interest Area:		
Planned Worksite:		
<u>Career Advisor Responsibilities</u>		Initial as Completed
Completed at least one relevant Aspiring Minds assessment and results documented in NCWorks with 401 Code		
Conducted LMI review & 442 Code entered:	Education <input type="checkbox"/>	Wages <input type="checkbox"/> Industry Outlook <input type="checkbox"/>
Confirmed Youth has a bank account and/or assisted youth in establishing one, appropriate Financial Literacy Education provided & 440 code entered		
Completed Job Shadow at planned Worksite, 409 code entered		
Resume in NCWorks		
WEX as goal in IEP with projected length noted & measurable objectives set for skill attainment/advancement		
400 or 408 Activity Open w/NWDB as the Provider, case notes & supporting documents uploaded against activity code		
W-4, NC-4, I-9, DL/ID Card, SS Card, Direct Deposit Form & Employee Change Form completed & uploaded in NCWorks under WEX activity		
Participant WEX Agreement signed & uploaded in NCWorks		
Shared & trained participant on the electronic timesheet		
Clothing/Equipment required per job description		Yes / No
Planned Interview Date		
Planned Start Date		
<u>Program Coordinator Responsibilities</u>		Initial as Completed
Worksite Agreement signed & uploaded in NCWorks		
WEX Job Description uploaded		
WEX host worksite added to NCWorks		
Timesheet shared with Career Advisor		
Uploaded WEX Readiness Checklist in participant file in NCWorks		
Entered Employer Service Code and Case Note		
Program Manager Review		
Submitted to Albemarle Commission Benefits Coordinator		
Notes:		



Work Experience (WEX) Follow Up Survey

What do you wish you had known prior to participating in the NWDB Work Experience Program?

What did you like most about the experience? How could we have improved your experience?

Would you like information about business support services through the NCWorks Career Center?

Please provide a quote about your experience that we can present to other businesses that may be interested in our program.

Please provide any additional comments regarding the program and your experience.

Thank you for your feedback!

Please complete the following:

Worksite:	Supervisor:	Date:
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Northeastern Workforce Development Board

ALBEMARLE COMMISSION REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

July 1, 2015 **Updated 2/27/2024**

NWDB Issuance No. 2015-07-A \ RESCINDS Issuance No. 2015-07

SUBJECT: Supportive Services Policy

PURPOSE: To transmit guidance for supportive services

BACKGROUND:

Supportive services are defined as one of the WIOA activities that could be provided to eligible WIOA participants to assist them in resolving their employment barriers as they transition to employment and self-sufficiency. WIOA funds may be used to pay for supportive services if such services are not otherwise available. Supportive services may include transportation, childcare, other emergency assistance, etc.

ACTION:

Implementation of the Supportive Service Policy / Revision of general procedures and attachments of Supportive Service Policy

EFFECTIVE DATE: October 3, 2018

EXPIRATION DATE: Indefinite

CONTACT: NWDB Director

DISTRIBUTION: NWDB staff and WIOA service providers, Career Center staff

ATTACHMENTS:

- A – Supportive Services Procedures (**Updated 12/1/2023**)
- B – Supportive Service Policy – Transportation (**Updated 2/27/2024**)
- C – Supportive Service Policy – Childcare (**Updated 12/1/23**)
- D – Authorization Letter Procedures (**Updated 12/1/23**)
- E – Request for Reimbursement Form
- F – Sample Accounts Payable Schedule
- G – Mileage Reimbursement Forms (For Non-licensed/Not-for-Hire Individual & For Licensed Providers) & Attendance Report for Student (**Updated 2/27/24**)
- H – Travel and Attendance Report for Student Form (**Updated 12/1/23**)
- I – IRS W-9 (see website for current form <https://www.irs.gov/formspubs/about-form-w-9>) (**Updated 5/5/2023**)
- J – WIOA Licensed Childcare Provider Contract (**Updated 12/1/23**)
- K – Childcare Attendance Report and Statement (**Updated 12/1/23**)
- L – Authorization Letter (**Updated 12/21/2022**)
- M – Childcare Assistance Procedures & Participant Agreement and Public Assistance Verification Form (**Updated 12/1/23**)
- N – Transportation Assistance Procedures & Participant Agreement (**Updated 2/27/24**)
- O – Other Supportive Services (**Updated 12/1/23**)
- P – Justification for Technology Purchase for Title I Participants
- Q – Technology Purchase Agreement for Title 1 Participants

David Whitmer, NWDB Director

Attachment A

Northeastern Workforce Development Supportive Services Procedures

Supportive Services Defined

Supportive services are defined as activities which enable participants to take part in activities authorized under WIOA. Supportive services should not be the primary activity for any WIOA participant. They are a means to allow participants to successfully complete the goals outlined in the Individual Employment Plan (IEP) or Individual Service Strategy (ISS).

These services may include, but are not limited to, the following:

- (a) Linkages to community services;
- (b) Assistance with transportation;
- (c) Assistance with child-care and dependent care;
- (d) Assistance with housing;
- (f) Assistance with educational testing;
- (g) Reasonable accommodations for individuals with disabilities;
- (i) Referrals to health care;
- (j) Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eyeglasses and protective eye gear;
- (k) Assistance with books, fees, school supplies, and other necessary items¹ for students enrolled in postsecondary education classes; and
- (l) Payments and fees for employment and training-related applications, tests, and certifications.

Supportive services not allowed by NWDB:

Supportive services for participants must be viewed in a manner that underscores collaboration. WIOA resources are limited and must be administered with the knowledge that some supportive service needs may be met through linkages with other NCWorks Career Centers and community partners. Every effort must be made on the part of Career Advisors to ensure participants have been provided Community Resource information on low cost and/or free services available locally. Every county has a "Community Resource Guide", located in staff online resources through NCWorks online.

Supportive services where:

- There is not an expressed and documented need for the service.
- There is a need, but the participant can obtain services through another organization in the participant's community.
- It would be against local, state, or federal guidelines to purchase such a service.
- Services are not outlined in the IEP/ISS.

More specifically, Supportive services may NOT be used to pay for:

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- the purchase, improvement, or maintenance of any asset (e.g. car payments or mortgage payments);
- taxes;
- past due fees, penalties, interest, or other such expenses;
- child support payments in arrears or otherwise;
- parking or moving violation tickets;
- bail or restitution;
- settlement of an insurance claim or;
- consumer debt

Who may receive supportive services?

Adults, Dislocated Workers and NextGen Youth Participants currently enrolled in or receiving follow up services from WIOA programs and who are unable to obtain supportive services through other resources.

NextGen (Youth and Young Adults) can receive supportive services after exit and during follow-up under the following provisions:

After exit, NextGen Supportive Services may include:

- Assistance with transportation;
- Assistance with child care and dependent care;
- Assistance with uniforms or other appropriate work attire and
- Assistance with required work-related tools, including such items as eye glasses and protective eye gear

Staff will use Service F-Codes to capture supportive services provided after exit.

After exit, supportive services for NextGen participants may only be provided if the customer is employed or attending school and the intention of the above supportive services is to assist participants in retaining their employment or student status at school.

Participants must use community resources first before WIOA funds will pay for these items. If community resources cannot be found, the Career Advisor must prepare written justification for use of WIOA funds for the above items after the participant has exited from WIOA services and is employed.

Documenting Supportive Services

It is essential that the Career Advisor substantiates and documents the need for participants to receive this additional support in order to participate in WIOA services. Career Advisors or authorized service providers must maintain a stringent attitude towards documentation of all supportive services provided and ensure that supportive

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services are documented in the IEP/ISS, Objective Assessment, and case notes in NCWorks.gov.

For example:

- Recurring supportive services such as transportation and childcare should be documented in the IEP/ISS in NCWorks Online and updated regularly.
- Support services activities must be opened and closed at the time the Career Advisor processes the support service reimbursement.
 - The appropriate service activity code (typically "CSS") should be entered¹
 - The documentation for payments (i.e., purchase orders, invoices, etc. as outlined below) should be uploaded into the case note.
- Career Advisor's should periodically review each supportive service to assess the continued need for the service.
- Case notes should also be annotated when there are changes or updates.
 - Non-recurring supportive services should be documented in the case note associated with the applicable activity.

Paying for Supportive Services

Supportive services may be paid for by NWDB in the ways described below. Career Advisors should keep in mind that in many cases, it may take some time to make funds available or to arrange payment. Planning ahead is essential in providing this service in a timely manner. The Career Advisor should ensure all documentation is appropriately completed prior to providing any services.

Reimbursement/Payment

Invoices for supportive services can come in two forms: reimbursement to a participant or payment/reimbursement to a vendor using an invoice and authorization letter or a purchase order. Payment/reimbursement to a vendor is the preferred NWDB method. The vendor will provide an invoice or authorization letter to the Career Advisor or NWDB Finance for payment.

If the participant is to be reimbursed, specific procedures are outlined in the Transportation and Childcare Supportive Services policy (see Attachment B and C respectively). All requests for reimbursement to a participant must include proof of payment. The participant pays for the approved service and NWDB reimburses them for the cost of the approved service. To receive reimbursement, the participant must submit the following:

- i. The itemized receipt should include;
 - a. Authorized items/goods purchased
 - b. Date of purchase
 - c. Amount of purchase
 - d. Proof of payment
 - e. The vendor
- ii. A completed *Request for Reimbursement* form (Attachment E).

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Invoices are submitted using the following steps:

- i. **Career Advisors:**
 - a. Assign the vendor to an activity code. If the vendor is not listed in NCWO, contact the superuser to update the system with the vendor's information.
 - b. Complete an authorization letter on behalf of the participant and submit to the Program Manager.
 - i. If a Registration Hold Form is used, it will be sent directly to the vendor and doesn't require the Program Manager's signature.
 - c. After Program Manager's approval, provide the authorization letter to the vendor or participant.
 - d. Upload a copy of the fully signed authorization letter, invoice, and any other supporting documents appropriately in NCWorks Online.

- ii. **Program Managers:** All invoices for supportive services are submitted by the Career Advisor to the Program Manager for approval. The Program Manager's responsibilities include:
 - a. Review each invoice or authorization letter for correctness (errors and omissions) to include the eligibility of the participant to receive supportive services. Errors should be corrected and any reported expense that appears out of the ordinary should be noted.
 - b. Review activities to ensure there's a code requiring supportive services; also review the IEP/ISS to ensure supportive services are properly identified.
 - c. Verify that the expense is reasonable, allowable, and that all applicable NWDB policies are being followed. If there are substantial variances from normal travel activities, such as the examples below, an explanation for the differences must be provided.
 - i. Example: If a participant travels 10 miles to and from school for 20 days out of the month and 110 miles for 2 days out of the month, an explanation for the difference must be provided.
 - ii. Example: If a participant reports travel to and from school Monday through Thursday every week except for one week, an explanation for the difference must be provided.
 - d. Prior to submitting each invoice or authorization letter to the NWDB Finance for processing, signify that payment is authorized by signing the forms, invoices, and/or authorization letter.
 - e. Return a copy of the signed authorization letter to the Career Advisor to give to the vendor or participant and provide a copy to the NWDB Finance.

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- iii. **NWDB Finance:** Invoices that have been approved for payment by the Program Manager are submitted to NWDB Finance. NWDB Finance responsibilities include:
 - a. Review each invoice or authorization letter for correctness (miscalculations, errors, and omissions).
 - b. Verify the expense is reasonable, allowable, and allocable.
 - c. Prior to affixing a pre-audit stamp with signature to an invoice, ensure there is a budget appropriation and sufficient funds remain to pay the invoice.
 - d. Submit all invoices for final approval to the NWDB Director.
- iv. **NWDB Director:** Invoices that have been approved for payment by NWDB Finance are submitted to the Director for final approval. The Director:
 - a. Serves as an additional set of eyes and verifies that all required signatures/approvals have been obtained.
 - b. Ensures that all expenses are allowable and that the proper backup documentation is provided

Credit Card

If invoicing is not an option for a participant, staff may make purchases for the participant with the Albemarle Commission's credit card.

- i. The Career Advisor completes a purchase order or AC Voucher Request for the approved item and submits it to the Program Manager.
- ii. The Program Manager verifies purchases are authorized and reasonable and signs the purchase order or AC Voucher Request then give to the NWDB Finance.
- iii. NWDB Finance will use the appropriate method to secure the requested item/service. *(Please allow adequate time for processing.)*

Necessity may require other forms of payment in other situations. Please work with the appropriate Program Manager and NWDB Finance to develop a solution. As a rule, payments will be paid as a reimbursement or directly to vendors whenever possible with Career Advisors submitting documentation to support the costs. Payments directly to the vendor avoids potential problems that may occur if payment is made directly to participants for expenses. An exception to this is the reimbursement of mileage for transportation costs. These costs are typically paid to the participant or to someone that has transported the participant to school, work activities, or other authorized activities, to participate in WIOA supported activities. Payment is made based upon the NWDB Transportation Policy (see Attachment B).

Safeguarding: No supportive services payments will be made using cash. Checks for supportive services payments are mailed directly to the participant or vendor by the Albemarle Commission's third-party finance vendor.

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Additional Limitations: NWDB reserves the right to, at any time, recommend and/or set spending requirements and limits for Adult, Dislocated Worker, and/or Youth Supportive Services, due to budget allotments and/or restrictions. Any proposed exceptions to the above procedures must be submitted in writing to the NWDB Director, who will have final approval.

Other Exceptions: In exceptional circumstances, any request for waiver to the above policies must be made by the Program Manager to the NWDB Director in writing prior to issuance of the service for which exception is being requested.

¹ The Northeastern WDB will provide technology supplies to students enrolled in Adult, Dislocated Worker or NextGen Youth programs. This includes, but is not limited to: laptops, desktops, printers, and webcams. Certain conditions apply to this before approval to purchase one or more of these items is granted by the NWDB Director. The Career Advisor for the participant is required to submit the "Justification for Technology" to his/her program manager for consideration for approval who will then send to the NWDB Director for final approval. Once approved and signed by the program manager and NWDB Director, the career advisor will work with the participant to fill out the "Technology Agreement" form. Both of these documents will be loaded to the participant's documents on NCWorks.

**Attachment B:
Northeastern Workforce Development
Supportive Services Policy - Transportation**

Participant transportation reimbursement guidelines are as follows:

- Transportation assistance may be provided to WIOA participants who are engaged in WIOA supported activities if they have a demonstrated need and as funding allows. The need for transportation assistance must be documented in the IEP. Participants will present verbal evidence of needed transportation support and Career Advisor will document this justification.
 - i. The participant will exert all efforts in seeking alternative options for participants to resolve their transportation barriers. A plan of action regarding resolution of transportation barrier(s) should be included in case notes and a part of career counseling during program participation. WIOA funds may be used to pay for these services, only if they are not otherwise available to the participant. Career Advisors may assist participants in executing options to mitigate the need for transportation support.
- The Career Advisor will ensure all supportive service documentation is completed prior to paying for services to support transportation costs, to include completion of Attachment N (Transportation Assistance Procedures & Participant Agreement). The participant is responsible for completing the appropriate paperwork for payment or reimbursement and submitting it to the Career Advisor prior to the first deadline shown on the Albemarle Commission's Accounts Payable schedule (see NWDB Finance for schedule). These documents will include the following:
 - i. Mileage Reimbursement Form (Attachment G) - to reimburse the non-licensed/not-for-hire private individual providing transportation to a WIOA participant, or
 - ii. Attendance Report for Student Using Licensed Transportation Provider (Attachment G) – to reimburse licensed/for- hire transportation services (i.e., taxi services) (*may use Service Provider's invoice in place of Transportation Report*) or
 - iii. Travel and Attendance Report for Student (Attachment H) – to reimburse the WIOA participant
 - iv. IRS W-9 is required for non-licensed and licensed transportation providers. (Attachment I)
- Participants must read and sign the Transportation Agreement – (Attachment N) prior to receiving transportation assistance.
- The Career Advisor will utilize the appropriate form when reimbursing transportation cost to the WIOA participant, non-licensed/not-for-hire private individual, or the licensed/for-transportation services.
- All requests for mileage reimbursement must be submitted for payment by the deadline shown on the Albemarle Commission's Accounts Payable Schedule to ensure participant or vendor is paid within 30 days of receipt of submitting a correct invoice (see NWDB Finance for schedule). Special consideration must be given for the end of a program year (June 30th) to ensure that all payments are processed for services received by June 30th.

- All mileage forms that are not completed accurately will be returned to the Career Advisors for correction. This will delay processing and highlights the need for forms to be heavily scrutinized by Career Advisors when they receive from participants, before submission to the program manager.
- Career Advisors are responsible for making sure all mileage reimbursement forms have the header information, names of all the participant's courses or activities, month and year pre-typed in. Also, days prior to semester start date, breaks, holidays, weekends and days after the last day of classes should be grayed out before the template is provided to the participant.
- WIOA participants and non-licensed/not-for-hire private individuals are eligible to be reimbursed for mileage costs at a set rate not to exceed the current federal rate per mile for miles traveled while the participants are actively engaged in WIOA activities. Travel reimbursements are subject to a monthly limit based on funding availability.
- Please note the following:
 - i. All travel will be based on MapQuest mileage (shortest distance).
 - ii. There must be a minimum of 10 miles roundtrip travelled for a participant to claim travel for any given day.
 - iii. Mileage for more than one round trip on the same day will not be reimbursed unless the participant is returning to school for an evening class and that class is more than 3 hours after the previous class has ended.
 - iv. Participants using transportation services by licensed/for-hire providers are eligible to receive transportation supportive services for mileage costs not to exceed the monthly limit per month per participant based on the set mileage rate of the service provider.
 - Participant no-shows may result in revoked transportation services. Participants must call the transportation provider and cancel in advance (minimum of 24-hour notice).
 - v. The participant's last reimbursement may not be turned in to the NWDB Finance until all required documents (transcripts, degree/diploma, standardized certification results, CRC results, IEP signed, etc.) have been submitted. Special consideration must be given for the end of a program year (June 30th) to ensure that all payments are processed for services received by June 30th.
 - vi. Certification tests should be taken within 60 days of course completion and results provided to the Career Advisor prior to receiving their last travel reimbursement.

Fraud

It could be considered fraud if:

- A participant knowingly claims false mileage either by indicating that he/she was in attendance on a certain day when he/she actually was not or by overstating the amount of actual mileage traveled.
- A participant does not obtain the official signature of his/her instructor (i.e., the participant signs the mileage reimbursement form or the participant has a third party sign the mileage reimbursement form in the teacher's stead).

Special circumstances outside of these requirements can be considered with the review and recommendation of the Career Advisor and approved by the NWDB Director.

**Attachment C:
Northeastern Workforce Development
Supportive Services Policy – Child and Dependent Care**

Participant childcare reimbursement guidelines are as follows:

- a. All requests for childcare supportive services must be submitted to the WIOA Program Manager for approval. The Career Advisor should submit a completed Childcare Assistance Plan (located in Attachment M Childcare Assistance Procedures & Participant Agreement) to their Program Manager for review to ensure availability of funds and adherence to the \$170 per week (\$34 per day) childcare assistance limit. This limit is per WIOA participant, not per child. If changes are made to the participant's childcare arrangements that will increase the cost, an amended Childcare Assistance Plan should be submitted for review and approval.
- b. For adult and dislocated worker participants, childcare can only be provided if they are currently enrolled in courses from the NWDB Approved Training List. on a full-time basis and there is a need for assistance. Childcare can be provided to adult and dislocated worker participants that are enrolled on a part-time basis due to limited course availability². Attendance at school must be verified monthly by the instructor¹.
 - i. Childcare is only reimbursed for consecutive enrollment at an approved training provider. A participant must be enrolled in back-to-back semesters (fall-spring, spring-summer, summer-fall). Breaks that are built into a participant's school schedule are covered such as spring break, fall break, Christmas break if un-enrolling the participant's child would likely cause that child to not be able to attend childcare after the break concludes. Moreover, documentation from provider must state that they require payment during these breaks. Summer is considered an enrollment opportunity and should not be considered a break as it is an additional semester. All of this information must be documented in the IEP/ISS.
 - ii. If a participant does not participate in WIOA activities due to verifiable medical situations, but is expected to resume WIOA activities within 30 days, NWDB can continue to pay for childcare during that period. This applies only if the participant is at risk of not being able to resume childcare services from an eligible childcare provider to resume WIOA activities.

¹ If a participant is receiving childcare, while enrolled in all online classes for the semester, proof of attendance will still be required to support the childcare service. As evidence of participation in online classes (in lieu of attendance forms-Attachment G), a current printout of the participant's grades (with name, current semester and current date) should be attached to the childcare form. A copy of the participant's registration should be in the participants file.. Childcare forms, without supporting documentation, will not be processed.

² Exceptions to this rule are strongly discouraged but can be considered on a case by case basis in consultation with the appropriate program manager.

- c. For youth participants, childcare can be provided if they satisfy the guidelines listed above. Youth participants can also receive childcare if they are engaged in youth-supported consecutive/consistent WIOA activities, such as Work Experiences (WEX), HRD classes, soft skills development, CRC preparation, job shadowing, career counseling, labor market research, college tours, etc. Career Advisors should consult with their Program Manager about these circumstances and receive approval from the Program Manager in order for childcare to be approved as a supportive service. All of this must be documented in the participant's IEP/ISS. Supporting documentation must accompany monthly reimbursement requests for these types of WIOA activities to exhibit regular attendance to support the need for childcare (ex: a WEX timesheet).
- d. The need for childcare assistance must be documented in the IEP/ISS.
- e. If the participant drops any classes, or changes status in any other approved WIOA activities, they must notify their Career Advisor immediately as this may affect eligibility for continued childcare assistance. Participants will be responsible for childcare fees if they do not meet the guidelines of this policy.
- f. Services must be coordinated with existing childcare resource agencies to ensure that participants are inquiring into other means of support. Reference Attachment M, which requires signature from the participant. (i.e. A participant must apply for all available childcare assistance resources to include but not limited to the Department of Social Services, Smart Start or other resources for childcare assistance).
- g. Children must be 12 years of age or younger, unless care is required because of special circumstances. A copy of the child/children's birth certificate(s) is required to verify age and documentation of care for special circumstances.
- h. Care for other family members may be covered on a case-by-case basis if the WIOA participant is the primary caregiver and the WIOA participant needs care for the family member to attend training. (i.e., The WIOA participant must provide proof of being the primary caregiver for his/her elderly family member and that alternate care is necessary in order to attend training).
- i. Childcare services must be provided through an eligible childcare provider.

¹ If a participant is receiving childcare, while enrolled in all online classes for the semester, proof of attendance will still be required to support the childcare service. As evidence of participation in online classes (in lieu of attendance forms-Attachment G), a current printout of the participant's grades (with name, current semester and current date) should be attached to the childcare form. A copy of the participant's registration should be in the participants file.. Childcare forms, without supporting documentation, will not be processed.

² Exceptions to this rule are strongly discouraged but can be considered on a case by case basis in consultation with the appropriate program manager.

- i. Eligible Providers and Requirements:
 - i. Licensed Childcare Centers
 - ii. Registered Licensed Family Childcare Home
 - iii. Licensed Church Based Childcare Programs

- ii. Ineligible Providers:
 - i. Non-Licensed Childcare Facility
 - ii. Non-Family member or family member residing in the same household as the WIOA participant

- j. The WIOA Career Advisor will determine if the childcare provider is a licensed provider. The Career Advisor will ensure all documentation is complete and submitted prior to the program paying for any services to support childcare costs. These documents required will include the following:
 - i. Required Forms for initial documentation:
 - i. Child(ren)'s Birth Certificate(s) or cover page of latest tax return showing dependents & their date of birth.
 - ii. A letter from a childcare resource agency (such as DSS) stating that participant has requested assistance and that none is available/participant has been placed on the waiting list.
 - iii. WIOA Licensed Childcare Provider Contract (Attachment J)
 - iv. W-9 Tax Form (Attachment I; current form at www.irs.gov)
 - v. Childcare Provider's Parent Manual and Contract
 - vi. Childcare rates, including documentation that the provider requires reimbursement for holidays, teacher training days, breaks, etc. The career advisor is responsible for ensuring that these rates do not exceed the rates listed below and for documenting the reimbursable rate on Attachment J.
 - ii. Required forms for ongoing documentation for reimbursement purposes:
 - i. WIOA Participant Travel & Attendance Report (Attachment H)
 - ii. WIOA Childcare Attendance Report and Statement (Attachment K)
 - 1. Other documentation is acceptable if childcare is being provided in order for the participant to engage in other WIOA activities (other than classes), to include employment. The Career Advisor should discuss these circumstances with their Program Manager before the activity begins. For example, documentation might include timesheets reflecting days worked while child was in childcare.

¹ If a participant is receiving childcare, while enrolled in all online classes for the semester, proof of attendance will still be required to support the childcare service. As evidence of participation in online classes (in lieu of attendance forms-Attachment G), a current printout of the participant's grades (with name, current semester and current date) should be attached to the childcare form. A copy of the participant's registration should be in the participants file.. Childcare forms, without supporting documentation, will not be processed.

² Exceptions to this rule are strongly discouraged but can be considered on a case by case basis in consultation with the appropriate program manager.

k. Reimbursement Policy

- i. Childcare reimbursement is limited to \$170 per week (\$34 per day) per WIOA participant. This amount can be divided up to provide childcare assistance for multiple children, however, the total amount of childcare assistance provided to any one WIOA participant may not exceed \$170 per week (\$34 per day). The participant is responsible for any charges above the allowed amount. If the childcare provider charges by the day, then NWDB will only pay for charges for days that the parent is in attendance at school or other WIOA approved activities. A one-time annual fee for registration, books, or supplies may be paid to the childcare provider by NWDB if the fee is required for attendance.
- ii. The Childcare Attendance Report and Statement (Attachment K) will be the document submitted to the Finance Department for payment to the provider¹.
 - i. The participant is responsible for completing the appropriate paperwork for payment or reimbursement and submitting it to the Career Advisor prior to the first deadline shown on the Albemarle Commission's Accounts Payable schedule (see NWDB Finance for schedule) to ensure that the vendor is paid within 30 days of NWDB's receipt of the completed and correct childcare attendance form. Special consideration must be given for the end of a program year (June 30th) to ensure that all payments are processed for services received by June 30th.
 - ii. All requests for childcare payments must be submitted for payment prior to the end of the month following the month of the actual service (i.e. by September 30th for services that were provided in August). Requests received after the due date will be reimbursed in the next available pay cycle. Please follow the Accounts Payable Schedule put out by the Finance Department annually for specific timeframes.
- iii. The Career Advisor will verify that the participant is actually enrolled and attending training or other authorized WIOA activities (if other WIOA activities are substantiated by Career Advisor and Program Manager), then the Career Advisor is responsible for inputting the correct service activity code.

¹ If a participant is receiving childcare, while enrolled in all online classes for the semester, proof of attendance will still be required to support the childcare service. As evidence of participation in online classes (in lieu of attendance forms-Attachment G), a current printout of the participant's grades (with name, current semester and current date) should be attached to the childcare form. A copy of the participant's registration should be in the participants file.. Childcare forms, without supporting documentation, will not be processed.

² Exceptions to this rule are strongly discouraged but can be considered on a case by case basis in consultation with the appropriate program manager.

Attachment D: Northeastern Workforce Development Supportive Services Authorization Letters Procedures

An authorization letter is in effect an "IOU" or "promise to pay" from NWDB to an authorized vendor. It very specifically describes *who* is allowed to purchase *what* from *whom* on behalf of NWDB. Authorization letters can only be used to purchase goods or services from authorized vendors.

Examples of authorized vendors are:

- Colleges/Training providers
- Uniform stores
- Doctor's offices
- Health departments
- Hospitals
- Text Book Stores
- Educational Supply Stores

Examples of appropriate goods and/or services are:

- Tuberculosis (TB) tests
- Work/School uniforms or specialized footwear
- Work/School physicals
- Vaccinations, Immunizations, or medical tests required for educational programs or employment
- CPR/First Aid training
- Textbooks
- GED testing costs
- Other goods and services necessary to participate in WIOA activities.

Once the need for the supportive service is established and documented:

1. Career Advisor should submit an Authorization Letter (Attachment L) to appropriate Program Manager for approval.
2. The Authorization Letter can be used to purchase **only** the goods or services specifically described in the letter from the specific authorized vendor described in the letter.
3. The Authorized Vendor should submit an invoice to NWDB Finance along with a copy of the Authorization Letter for payment.

The Authorization letter should include at least the following:

- Participant's name and last 4 digits of social (or student ID number if being submitted to a college or training facility and a student ID number has been assigned)
- Name of the WIOA program (Adult/DW/ISY/OSY)
- Semester or date of class for which authorization is written (if being submitted to cover the cost of classes)
- What WIOA will cover-tuition, fees, books, etc.
- Where to send invoices
- Maximum amount authorized
- Last date the invoice can be submitted in order for the vendor to receive reimbursement

Request for Reimbursement

Date: _____

Program: _____

Participant Name: _____

Last Four of SSN# _

Participant Address: _____

Course/Activity: _____

Item Description: _____ Amount: _____

Purpose of Reimbursement: _____

Is the service for the reimbursement included in the IEP? Yes No

Is there an open related activity for this service? Yes No

Career Advisor Signature: _____

Date: _____

Date Submitted to Program Manager: _____

Program Manager Signature: _____

Date: _____

Date Submitted to Finance Officer: _____

ACCT # _____	AMT _____
ACCT # _____	AMT _____
ACCT # _____	AMT _____
ACCT # _____	AMT _____
ACCT # _____	AMT _____
ENTER BY _____	
INVOICE CHECKED BY _____	
PAYMENT APPROVED BY _____	

"This instrument has been preaudited in the manner required by the Local Government Budget and Fiscal Control Act.

Signature of Finance Officer



Albemarle Commission

2019 Accounts Payable Schedule

Due to Albemarle Commission for Review	Due to Albemarle Regional Health Services	Checks Written
January 4 January 23	January 9 January 28	Tuesday, January 15 Thursday, January 31
February 6 February 19	February 11 February 22	Friday, February 15 Thursday, February 28
March 6 March 20	March 11 March 25	Friday, March 15 Friday, March 29
April 4 April 19	April 9 April 24	Monday, April 15 Tuesday, April 30
May 6 May 22	May 9 May 28	Wednesday, May 15 Friday, May 31
June 5 June 19	June 10 June 24	Friday, June 14 Friday, June 28
July 3 July 22	July 9 July 25	Monday, July 15 Wednesday, July 31
August 7 August 21	August 12 August 26	Thursday, August 15 Friday, August 30
September 4 September 19	September 9 September 24	Friday, September 13 Monday, September 30
October 4 October 22	October 9 October 25	Tuesday, October 15 Friday, October 31
November 6 November 18	November 12 November 21	Friday, November 15 Wednesday, November 27
December 4 December 17	December 9 December 20	Friday, December 13 Tuesday, December 31

Mileage Reimbursement Form: For Non-Licensed/Not-For-Hire Private Individuals

NWDB: Workforce Innovation & Opportunity Act

Transportation Provider			
Last 4 Digits of Provider SS#		Budget Code	
Address			

Transportation Certification - to be completed by the individual providing transportation to WIOA Participant

I have driven _____ for the month of _____. I have recorded the miles driven on the attendance report. **(Report must be attached)**

I certify that the amounts are accurate and the services were provided in accordance with WIOA policy. I understand that if I knowingly falsify or withhold information regarding payments that I am not eligible for, then I may be subject to penalties provided.

Transportation Provider's Signature _____ Date _____

Participant Certification: I certify that I have received transportation services from the above listed individual and the information provided is correct. I understand that if I knowingly falsify or withhold information to qualify for payments made on my behalf for which I am not eligible, I will be subject to penalties provided for fraud. I have attached my attendance report.

Participant Signature: _____ Date: _____

To be completed by WIOA Staff:

WIOA Certification: I have reviewed the participant's attendance record, and based on the information provided by the participant and the training provider I certify that this information appears to be an accurate representation of the participant's attendance during the period indicated

WIOA Career Advisor Signature _____ DATE _____

WIOA Program Manager Signature _____ DATE _____

This instrument has been preaudited in the manner required by the Local Government Budget and Fiscal Control Act	
Acct	Amount
Entered By:	
Invoice Checked By:	Invoice Approved by:
Finance Officer Signature:	

Note: WIOA participants and non-licensed/not-for-hire private individuals are eligible to be reimbursed for mileage costs at a set rate not to exceed the current federal rate per mile for miles traveled while the participants are actively engaged in WIOA activities. Travel reimbursements are subject to a monthly limit based on funding availability.

Miles Driven _____

Amount Approved \$ _____

Mileage Reimbursement Form: For Licensed Providers (*Only needed if invoice is not provided*)

NWDB: Workforce Innovation & Opportunity Act

Transportation Provider		Participant Name	
Tax ID Number		Last 4 Digits of SS#	
Address		Budget Code	
Physical Address if diff from Mailing Address		Training Provider	

Transportation Certification-to be completed by the Transportation Provider

I have provided transportation services to _____ for the month of _____. Transportation has been provided to and from an approved training provider or other location as authorized by WIOA Staff. The total cost of this service is \$ _____. If available I have attached an invoice for my services during this period. I understand that reimbursement is limited to the amount approved under WIOA policy.

I certify that the amounts are accurate and the services were provided in accordance with WIOA policy. I understand that if I knowingly falsify or withhold information regarding payments I am not eligible for, then I will be subject to penalties provided for fraud.

Transportation Provider Signature: _____ Date: _____

*Participant Certification: I certify that I have received transportation services from the above listed provider and the information provided is correct and I understand that if I knowingly falsify or withhold information to qualify for payments made on my behalf for which I am not eligible, I will be subject to penalties provided for fraud. **I have attached my attendance report.***

Participant Signature: _____ Date: _____

To be completed by WIOA Staff: (Attendance Report must be attached) Amount Approved for Transportation Payment \$ _____

WIOA Certification: I have reviewed the participant's attendance record, and based on the information provided by the participant and the training provider I certify that this information appears to be an accurate representation of the participant's attendance during the period indicated

WIOA Career Advisor Signature _____ DATE _____

WIOA Program Manager Signature _____ DATE _____

This instrument has been preaudited in the manner required by the Local Government Budget and Fiscal Control Act	
Acct	Amount
Entered By:	
Invoice Checked By:	Invoice Approved by:
Finance Officer Signature:	

Note: WIOA participants and non-licensed/not-for-hire private individuals are eligible to be reimbursed for mileage costs at a set rate not to exceed the current federal rate per mile for miles traveled while the participants are actively engaged in WIOA activities. Travel reimbursements are subject to a monthly limit based on funding availability.

Northeastern Workforce Development Board: Workforce Innovation and Opportunity Act Training Program

Attendance Report for Student

Participant Name		Address		Budget Code	
Last 4 of SSN	xxx-xx-	Training Facility		Training Facility Address	

Instructor Certification

Instructor: This student is enrolled in the Workforce Innovation and Opportunity Act (WIOA) Program and is receiving financial assistance. WIOA policy mandates students attend classes regularly and that attendance be verified. Please complete the attendance record below. Your signature in the far right column indicates that the attendance information is correct and serves as verification for financial assistance purposes.

Attendance Record ☉☉ Must be completed in INK ☉☉ Mark with "X" for days attended ☉☉ Mark with "A" for days absent ☉☉ Mark with "N" for non-class days

Course Title	For the Month of																															Teacher Certification				
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31					
Total Miles (if applicable)																																				

Participant Certification: I certify that the above attendance record is correct and I understand that if I knowingly falsify or withhold information to qualify for payments made on my behalf which I am not eligible, I will be ineligible for WIOA training services and will be terminated from the program.

Participant Signature: _____ Date: _____

WIOA Certification: I have reviewed the participant’s attendance record, and based on the information provided by the participant and the training provider I certify that this information appears to be an accurate representation of the participant’s attendance during the period indicated

WIOA Career Advisor Signature _____ DATE _____

WIOA Program Manager Signature _____ DATE _____

**Northeastern Workforce Development Board: Workforce Innovation and Opportunity Act Training Program
Travel and Attendance Report for Student**

Participant Name		Participant Address		Last 4 of SSN		Budget Code	
Training Facility		Training Facility Address				OJT Payment #	

Instructor Certification: This student is enrolled in the Workforce Innovation and Opportunity Act (WIOA) Program and is receiving financial assistance. WIOA policy mandates students attend classes regularly and that attendance be verified. Please complete the attendance record below. Your signature in the far-right column indicates that the attendance information is correct and serves as verification for financial assistance purposes.

Attendance Record ☺☺ Must be completed in INK ☺☺ Mark with "X" for days attended ☺☺ Mark with "A" for days absent ☺☺ Mark with "N" for non-class days

Course	For the Month of																															Teacher Certification		
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31			
Total Miles																																		

Participant Certification: I certify that the above attendance record is correct and I understand that if I knowingly falsify or withhold information to qualify for payments made on my behalf which I am not eligible, I will be ineligible for WIOA training services and will be terminated from the program.

Participant Signature: _____ Date: _____

WIOA Certification: I have reviewed the participant's attendance record, and based on the information provided by the participant and the training provider I certify that this information appears to be an accurate representation of the participant's attendance during the period indicated

WIOA Career Advisor Signature _____ DATE _____

WIOA Program Manager Signature _____ DATE _____

This instrument has been preaudited in the manner required by the Local Government Budget and Fiscal Control Act	
Acct	Amount
Entered By:	
Invoice Checked By:	Invoice Approved by:
Finance Officer Signature:	

WIOA participants and non-licensed/not-for-hire private individuals are eligible to be reimbursed for mileage costs at a set rate not to exceed the current federal rate per mile for miles traveled while the participants are actively engaged in WIOA activities. Travel reimbursements are subject to a monthly limit .based on funding availability.
Total Miles: _____
Amount to be Reimbursed \$ _____

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note: ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a) J—

A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/Businesses and clicking on Employer Identification Number (EIN) under Starting a Business. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.

You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.

You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABL accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor ²
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

*Note: The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Visit www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

**Northeastern Workforce Development Board: Workforce Innovation And Opportunity Act Program
LICENSED CHILDCARE PROVIDER CONTRACT**

Instructions for Career Advisor: The following information must be discussed with the participant and the provider, preferably at the same time.

CHILDCARE PROVIDER Name: _____
Address: _____
Phone: _____
License: _____
Fed: ID or SSN: _____

I certify, by my signature below, that I will provide childcare services for the child(ren) shown below for the Northeastern Workforce Development Board (NWDB) Workforce Innovative and Opportunity Act (WIOA) program participant

(Participant's Name)

Beginning on _____, I understand NWDB will reimburse the above Childcare Provider at the established rates according to the above Childcare Provider's policy/handbook/manual not to exceed NWDB's reimbursement rates as indicated below per child. Any costs exceeding NWDB's reimbursement rates will be the responsibility of the participant.

Child 1: _____ @ \$ _____ per day/week (circle one)
Child 2: _____ @ \$ _____ per day/week (circle one)
Child 3: _____ @ \$ _____ per day/week (circle one)
Child 4: _____ @ \$ _____ per day/week (circle one)

Reimbursement will be made for those days the child is in attendance (unless the childcare provider only charges by the week), and the parent attends his/her program activity. Payment will be made, if required, during the holidays and vacations to hold the child(ren)'s slot. It must be the written policy of the Provider that the child will lose his/her slot if payment is not paid during this time. The participant will be responsible for the remainder of the balance due. In addition, any late fees assessed by the Provider are the responsibility of the participant. The participant should submit the Childcare Attendance form (Attachment K) and the Attendance Report (Attachment G) at the end of the month*. The Career Advisor will process the reimbursement and the payment will be issued within 30 days of receipt of a correct and complete attendance report. **If the participant does not submit complete and timely information on a monthly basis, the participant shall be responsible for payment.**

**Participants enrolled in all online courses may submit alternative documentation in lieu of attendance reports, such as a current printout of the participant's grades in courses (with name, current semester and if possible, current date)*

If the participant exits from the program the childcare payments will be discontinued as of the date of exit and the participant will be responsible for any childcare expenses after that date. **NOTE: The participant is responsible for supplying the childcare provider the child(ren)'s application, medical report, and immunization history.**

I certify by my signature, that I have read this verification form and agree to the reimbursement policy and procedures stated above.

_____ Childcare Provider Name	_____ Childcare Provider Signature	_____ Date
_____ Program Participant Printed Name	_____ Program Participant Signature	_____ Date
_____ WIOA Career Advisor Printed Name	_____ WIOA Career Advisor Printed Signature	_____ Date

For office use only: Childcare provider has been provided with the current Albemarle Commission's Accounts Payable Schedule & the Childcare Attendance Template and has been informed on reimbursement procedures as well as the most convenient and timely methods to turn in childcare forms in order to receive reimbursement.



Northeastern Workforce Development Board

ALBEMARLE COMMISSION

REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

March 28, 2023

NWDB Issuance No. 47

SUBJECT:

Trade Adjustment Assistance (TAA) Co-enrollment with Workforce Innovation and Opportunity Act (WIOA) Dislocated Worker Programs

PURPOSE:

To introduce strategies to strengthen participant outcomes for TAA and WIOA participants by increasing access to multiple services to benefit the long-term success of program participants through simultaneous admission known as co-enrollment (20 CFR 618.600).

BACKGROUND:

The Title I WIOA Dislocated Worker (DW) Program is a critical partner with TAA in identifying and serving trade-impacted workers. Co-enrollment of workers covered under certified petitions (TAA - certified workers) in partnership with the WIOA Dislocated Worker programs allows for the timely provision of individualized career services and improves the overall effectiveness of the TAA Program (Training and Employment Guidance Letter 4-20).

ACTION:

As indicated in 20 CFR 618.605, TAA will now be a mandatory partner in the NCWorks Career Centers. All individuals participating in TAA programs will also be enrolled as WIOA Dislocated Workers. Each Local Area Workforce Development Board may determine WIOA services are to be offered to individuals co-enrolled with TAA.

TAA forms should continue to be utilized as the primary documentation to avoid duplication of efforts. In addition, the dislocated worker's assessment (20 CFR 618.345), or the individual employment plan that outlines the assessment results, employment, and occupation/training goals must also be uploaded. To the extent possible, local WIOA and NCWorks TAA staff should work together to share common forms for services such as attendance and travel reimbursement.

Based on funding availability, TAA funds should continue to be used to pay for training costs, and WIOA program funds may be used to supplement services (20 CFR 618.804 (h)(4)).

EFFECTIVE DATE: 3/28/2023

EXPIRATION DATE: Indefinite

CONTACT: State Trade Adjustment Coordinator

DISTRIBUTION: NWDB staff and WIOA service providers

David Whitmer, NWDB Director



Northeastern Workforce Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

November 29, 2016, Updated January 9, 2023

NWDB Issuance No. 2016-24

- SUBJECT:** Local Incumbent Worker Grant
- PURPOSE:** To establish NWDB's Local Incumbent Worker Grant referred to as the NWDB Employee Training Grant
- BACKGROUND:** Local Workforce Development Boards were invited by the NC Division of Workforce Solutions to establish their own local incumbent worker grant policies, in which they can use up to 20 percent of the combined Adult and Dislocated Worker allocated formula program funds to serve incumbent workers. NWDB has established a local policy because many employers have found the previous iterations of the state-sponsored Incumbent Worker Grant to be vital in averting layoffs due to skills' gaps among incumbent workers. Incumbent Worker Training is designed to meet the special requirements of an employer, or group of employers, to retain a skilled workforce or avert the need to lay-off employees.
- ACTION:** The Northeastern Workforce Development Board's Business Engagement Coordinator, members of the Business Resources and Opportunity Committee, external partners (ex: Chambers of Commerce, Economic Developers, County Governments, etc.) and the NCWorks Career Center staff and staff in outposts throughout the NWDB region shall inform employers of this grant opportunity and the process for applying for funds.
- EFFECTIVE DATE:** Immediately
- EXPIRATION DATE:** Indefinite
- CONTACT:** NWDB Business Engagement Coordinator
- DISTRIBUTION:** WIOA service providers including all NCWorks Career Center Staff



Northeastern Workforce Development Board

ALBEMARLE COMMISSION
REGION R COUNCIL OF GOVERNMENTS

Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties

ATTACHMENTS:

- A- NWDB ETG Policy (Revised December 14, 2020, November 3, 2022, January 9, 2023)
- B- Pre-Awards Checklist
- C- ETG Application
- D- Amended Training Form
- E- Cover Page for Scoring
- F- Scoring Committee Questions
- G- Total Scoring Designations
- H- Award Notification
- I- Contract
- J- Goal Attainment Report
- K- Reimbursement Request
- L- Trainee Documents (Revised January 9, 2023)
- M- NCWorks Online Instructions
- N- Changes in Policy for PY2022 (Revised October 7, 2021, January 5, 2022, May 4, 2022, November 3, 2022)

David Whitmer, NWDB Director

**INCUMBENT WORKER GRANTS (EMPLOYEE TRAINING GRANTS)
NORTHEASTERN WORKFORCE DEVELOPMENT BOARD
POLICY & EMPLOYER GUIDELINES**

KEY POINTS:

- The Northeastern Workforce Development Board will use no more than 20% of the combined Adult and Dislocated Worker funds from the Workforce Innovation & Opportunity Act to fund Employee Training Grants for awarded employers. The process for awarding Employee Training Grants (ETG) is outlined within this policy.
- The Employee Training Grant is a competitive training grant through which qualifying employers can address employees' skills gaps:
 - These skills gaps can be a result of an employee's changing responsibilities/requirements in her/his job, or for an employee whose job may potentially be eliminated and skill upgrading is needed to accept new responsibilities.
 - The training(s) should result in increased knowledge/skills for the employee and increase the stability and competitiveness of the employer.
 - Trainings that results in or provides a significant step towards achieving an industry-recognized certification/credential will receive award preference.
- North Carolina employers that have been in operation in North Carolina for a minimum of twelve months are eligible to apply; eligible employees must have been employed for a minimum of six months prior to beginning training.
- The maximum amount is \$10,000 per grant*, with a lifetime funding limit of \$60,000.
- Employers can submit their applications at any point to the Northeastern Workforce Development Board but must adhere to the process for submission described below.
- Applications are scored for approval by the Northeastern Workforce Development Board on a rolling basis.
- After an award is confirmed, a contract will be established and an employer is expected to pay for the training (in accordance with the budget set forth in their application). A employer then receives reimbursement from the Northeastern Workforce Development Board (NWDB) for the training. NWDB issues payments twice a month.

*Maximum amount subject to change based on funding availability. Grants are competitive as funding is limited. Applications will be accepted until funds are exhausted. Contact Amber Morse for current maximum amount.

WHY WOULD AN EMPLOYER UTILIZE THIS GRANT?

An employer can utilize this competitive training solution when employees have identified skills gaps that need to be addressed through training, thus enhancing the employee's continued employability. Employers that acknowledge the need for employees' training in order to increase their competitiveness, efficiency, and/or stabilization should apply for this grant.

WHAT EMPLOYEES ARE ELIGIBLE TO BE TRAINED THROUGH THIS GRANT?

Eligible employees are:

- At least 18 years of age and a paid employee of the applicant employer(s);
- In a relationship that meets the Fair Labor Standards Act requirements for an employer-employee;
 - The FLSA defines "employ" as the work that the employer directs or allows to take place. Workers who are economically dependent on the employer of the employer and will receive a W-2 for tax filing

purposes have an employer-employee relationship.

- An individual that does not meet the employer-employee relationship are;
 - Those who will receive a 1099 for tax filing purposes or
 - Those who are placed through a temporary agency.
- An employee with an established employment history with the employer for 6 months or more (may include time spent as a temporary or contract worker); and
- A citizen of the United States or a non-citizen whose status permits employment in the United States
 - Employees will be expected to fill out a trainee application that documents their social security number, complete name, contact information, gender, date of birth, right to work status, selective service compliance, disability status, ethnicity, and race. This information will be documented using the NCWorks Online system.

WHICH EMPLOYEES WOULD BENEFIT FROM THE NCWORKS IW TRAINING GRANT?

This grant is beneficial to employees who have identified skills gaps, where eligible training addresses these gaps, improves employee retention, helps stabilize the employer, and will increase the competitiveness of the employee and employer. These employees either:

- Need to upgrade skills and knowledge to retain their current job; OR
- Need to gain new skills and knowledge so they qualify for a different job with their employer.

WHAT EMPLOYERS ARE ELIGIBLE TO APPLY?

- An employer that is eligible to apply:
 - Is a North Carolina employer
 - Has at least 3 employees
 - Has an employer-employee relationship with the trainees;
 - Has been in operation in North Carolina for a minimum of twelve months
 - Is current on all federal, state and local tax obligations;
 - “Current” can also be defined via an established and documented proof of payment plan with the taxing entity. The scoring committee for this grant will take tax payment circumstances into account during their decision to award the grant.
 - Is financially viable;
- Employers that have previously received the Incumbent Worker Grant through the State of NC are still eligible to apply for funding through this grant.
 - Employers that have already met the maximum lifetime limit of \$60,000 through the previous versions of the state-sponsored Incumbent Worker Grant are eligible to apply for funding through NWDB’s Employee Training Grant and start with a balance of zero.

WHAT EMPLOYERS ARE NOT ELIGIBLE TO APPLY?

The following employers are not eligible to apply for funds under this program:

- A business currently receiving training funds through the state of NC, unless those funds do not duplicate the funds for the IWG training. Includes trainings offered at no cost by SBTDC and Community Colleges.
- A Workforce Development Board or its administrative entity
- A labor union

HOW DO EMPLOYERS’ IDENTIFY THE TRAINING(S) MOST RELATED TO THEIR EMPLOYEES’ NEEDS?

Employers are invited to apply for as many trainings, for one or more employees, as they wish in one grant application

(as long as the total cost for all trainings does not exceed current maximum amount. Employers understand their training needs the best and are therefore invited to submit any training that applies to their employees' skills gap, as long as it fits within the reimbursable requirements listed below. NWDB can assist employers with the identification of training topics, training instructors, training dates, training locations, etc. Grant funds will be expended on training activities that take place only in North Carolina unless NWDB approves training outside the state.

SELECTION OF TRAINING PROVIDER

In addition to the NWDB Employee Training Grant, the Small Business Technical Development Center (SBTDC) provides trainings to benefit companies and the North Carolina Community College System provides funds for company trainings through their Customized Training Program. To maximize resources, the employer must demonstrate that it has made efforts to secure funding through the SBTDC and the local Community College, as demonstrated in the pre-awards analysis. To ensure better fiscal stewardship of limited federal funding, the employer, where applicable, is highly encouraged to utilize the available funding and training through the SBTDC and/or the local Community College prior to applying for the NWDB Employee Training Grant. NWDB does acknowledge and recognize that the employer has an inherent knowledge of their own training needs for its employees. Therefore, the NWDB will support the employers' thoughtful consideration in selecting a training provider of their choice that can fulfill those expectations, which means they are not limited to trainings provided by the local community college or the SBTDC.

WHAT OUTCOMES ARE EXPECTED FROM THE EMPLOYEE TRAINING GRANT?

When employers experience a skills gap in their workforce, their stability can be compromised. The ETG, funded by the federal Workforce Innovation and Opportunity Act (WIOA) addresses such needs by increasing workers' skills, wages, advancement opportunities, knowledge, and certification.

All employers that are eligible are encouraged to apply for the ETG. A specific outreach focus for this grant will reach employers that are aligned to the growing industries of our region, which include those in which our career pathways are built around: Advanced Manufacturing, Health Sciences, Agriscience/Biotechnology and Employer Support Services. Small employers are also a specific focus of this grant and the trainings in which this grant will fund should have an impact on the company's stability, competitiveness as well as the employees' opportunity for career growth. However, employers that are not within these industry sectors can still apply for the grant and be awarded based on the same selection criteria.

CAN AN EMPLOYER APPLY FOR A GRANT THAT WILL SERVE DIFFERENT, MULTIPLE EMPLOYERS WITH COMMON TRAINING NEEDS?

Yes, unique employers can partner and apply for a collaborative training grant. The proposal for the common request must:

- Train employees of at least two different employers, with one of those employers designated as the Lead Applicant;
- Include employees of the Lead Applicant in the training;
- Include training descriptions and outcomes that address the employees from all employers impacted by the proposed common training
- Include information on each employer that will be part of the training. The application has a specific section for this information

WHAT IS THE MAXIMUM AMOUNT PER ROUND FOR WHICH AN EMPLOYER CAN APPLY?

The maximum amount is \$10,000 per grant*. An application representing common training needs of two or more employers will be subject to the \$12,500 per training grant. In a collaborative grant, the amount of the award will be

equally portioned among the employers included in the application.

WHAT IS THE LIFETIME LIMIT FOR EMPLOYERS RECEIVING GRANTS?

The lifetime limit is \$60,000. Employers with locations in multiple areas of the state will be treated as a single company for the purposes of determining when this maximum is met. The lifetime limit applies to the company, its parent company and subsidiaries. This applies to all applicants, regardless if they have received a grant before.

The employer may apply for subsequent, competitive grants, but receipt of a prior grant does not automatically guarantee an award of future grants. If a company is awarded the NWDB Employee Training Grant but is unable to use any of the funds and forfeits the full grant amount, then that grant amount will not count against the total lifetime limit for that company.

IS THE EMPLOYER REQUIRED TO CONTRIBUTE TO THE COST OF THE TRAINING?

The employer or group of employers must pay for a portion of the cost of providing the training to incumbent workers through fairly evaluated in-kind contributions. This portion is defined as the non-federal share. The non-federal share is based on the following limits:

- Not less than 10% of the cost, for employers with not more than 50 employees;
- Not less than 25% of the cost, for employers with more than 50 employees, but not more than 100 employees; and
- Not less than 50% of the cost, for employers with more than 100 employees.

The number of employees is based on all locations within North Carolina. The employer will be required to calculate its actual non-federal share at the conclusion of the training. Should the non-federal share not meet the limits, the funds could potentially have to be repaid.

WHAT IS THE NON-FEDERAL SHARE?

The non-federal share provided by an employer participating in the program may include the amount of the wages paid by the employer to a worker while the worker is attending a training program. The employer may provide the share in cash or in kind, fairly evaluated. Examples of the non-federal share are trainees' wages, on-site facility usage, trainees' travel, food, and/or lodging.

WHAT IS THE PROCESS FOR SUBMITTING AN APPLICATION AND HOW ARE FUNDING DECISIONS MADE?

1. A Pre-Awards checklist is first provided to the employer by the Northeastern Workforce Development Board.
2. After completing this checklist and receiving feedback from NWDB, the employer will receive an application template.
3. The Assistant Director or a designated NWDB member of the employer services team will review the application and provide feedback to the employer on suggested edits.
4. Employers will then complete a second draft of their application and submit again to the NWDB. Failure to resubmit within application deadline may result in delayed review.
5. Following the submission of this draft, NWDB will convene the Employee Training Grant Review Committee, comprised of board representatives from NWDB, to review the application and determine a funding decision using a standardized application assessment form. The committee can be convened for online scoring, should the application require prompt scoring.
6. NWDB will notify the employers of the decision of the review committee once scoring is complete.

WHAT HAPPENS AFTER AN EMPLOYER IS AWARDED THE GRANT?

1. A contract is established between NWDB and the awarded employer *within a month* following the review committee's decision.
 - a. Trainee information is entered by NWDB staff into NCWorks online and appropriate service codes are entered to ensure compliance with state regulations.
2. NWDB holds the funds for the training until the training is complete.
 - a. Training must be completed within 12 months from the date of the contract between the employer and NWDB.
3. During or after completion of the training, the employer will submit a reimbursement request* (with their invoice and proof of payment to the training provider), to NWDB in order to receive reimbursement for the training. NWDB also prefers, but does not require a trainee roster and goal attainment report to be submitted following training(s).

*Note: If there is an extenuating circumstance that leads to a need to request a change to the approved training, the employer must contact the NWDB to discuss the best alternatives. Changes in the training(s) will not necessitate a new application but the employer will need to complete an amended training form and submit to the NWDB as soon as possible. If necessary, NWDB may convene the grant review committee to review these changes as it relates to the purpose of this grant, including the trainees' originally identified skills gaps. The training will still need to be completed within the one year timeframe.

Employee Training Grant through Northeastern Workforce Development Board Pre-Awards Questionnaire

Business: [Click here to enter text.](#)

Date: [Click here to enter text.](#)

Name: [Click here to enter text.](#)

Phone: [Click here to enter text.](#)

Email: [Click here to enter text.](#)

What type(s) of training are you interested in for your employees? *(List all)*

[Click here to enter text.](#)

Do you need assistance from NWDB in exploring training topics, finding a training provider, etc.? *(If yes, NWDB contact information below)*

Yes No

Approximately how many employees would participate in the training(s)?

[Click here to enter text.](#)

Have the above employees been employed with your business for at least six months prior to the anticipated start date for training(s)?

Yes No

Has the company been in operation in NC for one year?

Yes No

What's your estimated timeline for the training(s) to occur?

[Click here to enter text.](#)

Please indicate location of business (Must be in the NWDB Region which includes the counties of: Camden, Currituck, Chowan, Dare, Gates, Hyde, Perquimans, Pasquotank, Tyrrell and Washington)

[Click here to enter text.](#)

Have you contacted the Small Business, Technology and Development Center at Elizabeth City State University regarding the availability of free training programs, related to the training you're interested in through this grant, for your employees? **See below for an email template**

Yes, but there are no free trainings available to meet my needs. ****You must make contact and mark this answer before you can proceed to the application****

Yes, there are trainings available to meet my needs.

No

Comments: [Click here to enter text.](#)

Have you contacted the appropriate NC Community College's Customized Training department regarding the availability of free training programs, related to the training you're interested in through this grant, for your employees? **See below for an email template**

Yes, but there are no free trainings available to meet my needs. ****You must make contact and mark this answer before you can proceed to the application****

Yes, there are trainings available to meet my needs.

No

Comments: [Click here to enter text.](#)

Is your company current on all federal, state, and local taxes? *(If No, your application is not disqualified but you will need to provide documentation of your payment plan agreement in your application)*

Yes No

Has your company previously received an NCWorks Incumbent Worker Training Grant?

Yes No

Has your company established an employer account on the state's online workforce system – www.ncworks.gov? If not, please set up your free account before submitting this form. Yes No

Other Comments: [Click here to enter text.](#)

*Email Template to use for communication to COA/BCCC and the SBTDC:

I am emailing you because my business is applying for NWDB's Employee Training Grant. My business is interested in trainings in the areas of _____. Please advise as to whether you offer a training at zero cost in these topics. Thank you.

Employee Training Grant through Northeastern Workforce Development Board EMPLOYER Application

SECTION I: EMPLOYER INFORMATION

Employer Name:		
Description of Product(s) or Services (3-5 sentences):		
Street/Mailing Address:		
City/State:	Zip:	County:
Company Contact Person & Title:	Email: Phone: Fax:	
Months/Years in business:	Total number of paid employees at this location:	<u>Legal Structure of Business:</u> <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> LLC <input type="checkbox"/> Other:
<u>Tax Status of Employer:</u> <input type="checkbox"/> For-profit <input type="checkbox"/> Not-for-profit	Employer's Federal ID #: Unemployment Insurance ID#:	
<u>Parent Company?</u> <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(If yes, please indicate business names in space provided.)</i>	Parent Company Name: Representative: Contact Phone & Email:	
<u>Is this a collaborative grant?</u> <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(If yes, please indicate business name in space provided.)</i>	Business: Representative: Contact Phone & Email:	

SECTION II: TRAINING SUMMARY *(IF APPLYING FOR MORE THAN ONE TRAINING, REQUEST ANOTHER TRAINING SUMMARY TEMPLATE FROM NWDB, DO NOT COMBINE TRAINING INFORMATION.)*

Training Topic/Course Title:	
Course Description and/or Objectives:	
Estimated Training Date(s):	
Number of Trainees ¹ :	Training Location:
Name of Training Provider (Organization - if applicable):	
Name of Trainer/Instructor:	
Address, City, State, Zip:	
E-Mail Address:	Phone:
Qualifications of Trainer/Instructor to Teach Component (2-3 sentences):	

¹All trainees must be eligible to work in the U.S. and the majority of trainees must have a 6-month employment history with your establishment. Specific trainee information and their I-9's will be required.

SECTION III: BUDGET [REFERENCE REIMBURSABLE EXPENSES AT END OF DOCUMENT FOR ALLOWABLE EXPENSES]

INSTRUCTIONS:

- IF APPLYING FOR MORE THAN ONE TRAINING, REQUEST ANOTHER BUDGET TEMPLATE FROM NWDB; DO NOT COMBINE BUDGET INFO FOR MULTIPLE TRAININGS.
- REFER TO REIMBURSABLE EXPENSES DOCUMENT FOR SPECIFIC COSTS THAT CAN BE INCLUDED IN THE BUDGET REQUEST

Category	Grant Funds Requested	Explanation/Detail:
Training/Course Registration	\$	
Manuals/Textbooks	\$	
Training Certifications, Certificates, Credentials, Licenses	\$	
Materials and Supplies	\$	
Total Amount Requested: \$		

Employer’s Non-Federal Share* (Indicate only one with information in corresponding table)

My business has less than 50 employees, a 10% non-federal share* is required for this grant

Wages: \$	Facility Fee: \$	Meals/Travel*: \$	Training Equipment Purchase: \$
Total Non-federal share: \$			

My business has between 50-100 employees, a 25% non-federal share* is required for this grant.

Wages: \$	Facility Fee: \$	Meals/Travel*: \$	Training Equipment Purchase: \$
Total Non-federal share: \$			

My business has more than 100 employees, a 50% non-federal share* is required for this grant

Wages: \$	Facility Fee: \$	Meals/Travel*: \$	Training Equipment Purchase: \$
Total Non-federal share: \$			

**The non-federal share provided by an employer participating in the program may include the amount of the wages paid by the employer to a worker while the worker is attending a training program. The employer may provide the share in cash or in kind, fairly evaluated. Examples of the non-federal share are trainees’ wages, on-site facility usage, etc.*

SECTION IV: TRAINING ABSTRACT

INSTRUCTIONS: ANSWERS TO THE QUESTIONS BELOW ARE IMPERATIVE FOR CONSIDERATION OF YOUR GRANT APPLICATION. THOROUGH, THOUGHTFUL AND COMPLETE ANSWERS ARE REQUIRED FOR YOUR APPLICATION TO PROCEED TO BEING REVIEWED AND SCORED. PLEASE PROVIDE ALL OF THE FOLLOWING INFORMATION ON A SEPARATE DOCUMENT. A MINIMUM OF 5 SENTENCES FOR EACH QUESTION IS STRONGLY ENCOURAGED.

1. Background information on the company.

For example: When did the company start? What are the company's products, services, etc.? How many employees work at the company? Does the company have competitors in the region? How has the company grown since inception?

2. Overview of the training and information to support the request and need for training.

For example: Why is this trainer provider the preferred source for this training? What are the goals/objectives of the training and how do those goals/objectives relate to the products and/or services of the business? Why is this training outside of the typical training provided to employees at the businesses expense? What are the unique qualities of the training and its provider? Why is the training location and length of training preferred by the business?

3. Description of how the requested training will address the identified skills gaps, improve employee retention, impact company stability, and increase the competitiveness of the employee and employer

For example: How is this training related to the employee(s) responsibilities? Why were the employees chosen for this training? Will the training help the employee remain in his/her position or will the employee have an opportunity for advancement by acquiring the skills from this training? How will the training affect the stability of the company? How will the training affect the profitability of the company? How will the training affect the competitiveness of the company?

4. Reason for requesting financial assistance to conduct the training

For example: Why are there limitations to the business paying for the training(s) itself? Are certain economic factors that limit the business' ability pay for the training(s)? How will the business be a good steward of federal grant funds through this opportunity?

AUTHORIZATION AND CERTIFICATION

As authorized representative of the employer submitting this application, I hereby certify that:

- I have read the NWDB Employment Training Grant guidelines/policy.
- The employer meets the requirements of the policy in regard to business and employee eligibility and is eligible to submit this application.
- The information contained in this application is true and accurate.
- I am aware that any false information, intentional omissions, or misrepresentations may result in rejection of the application and possible disqualification for future funding.
- The employer agrees to adhere to all reporting requirements requested by NWDB upon notification of award.
- The employer agrees to provide all data elements as required for federal reporting.
- The employer agrees to resubmit this application if NWDB requests edits within the designated timeframe.
- The request training expense is in accordance with the reimbursable requirements outlined in the ETG policy.
- Trainee applications for all employees seeking training are attached to this application.

Further, this business shall not discriminate against any employee, applicant for employment, applicant or Workforce Innovation and Opportunity Act participant, subcontractor or potential beneficiaries of employment and training programs or projects because of race, color, disability, religion, age, sex, national origin, political affiliation or belief.

Employer Representative Print Name: _____

Employer Representative Signature: _____

Date: _____

Northeastern Workforce Development Board: Employee Training Grant

REIMBURSABLE /NON-REIMBURSABLE TRAINING COSTS

The following is a listing of reimbursable and non-reimbursable training costs for the NWDB Employee Training Grant:

Allowable Training Costs:

1. Training / Course registration
2. Training that results in participants obtaining an industry-recognized certification or credential to include training preparation for certification exams, including:
 - i. Process improvement or quality-related training
3. Web-based online training
4. Employee skills assessment that results in primary training funded through the grant
5. Textbooks / manuals used 100% for the training activities
6. Travel for trainer(s): Costs associated with trainer travel to come to the business or another designated location are reimbursable.

Non-Allowable Training Costs:

1. Travel for trainee(s): Costs associated with mileage, lodging & airfare, etc.
2. Employee related costs such as wages, fringe benefits, etc.
3. Training-related costs incurred prior to the beginning date of the contract with the NWDB or after the contract ends.
4. Training that the company or an entity on the company's behalf already provides to its employees.
5. Employment or training in sectarian activities
6. Curriculum design and/or training program development
7. Trainers employed by any business whose employees are being trained to include parent company employees
8. Purchase of employee assessment systems or systems usage licenses (example: site licenses)
9. Company website design and development, website hosting, and maintenance, software or hardware upgrades, advice on computer selection for purchase and upgrade
10. Third party compensation or fees not directly related to the provision of the requested training
11. Any costs that would normally be considered allowable, but for which there is no request/cost for training related to the item(s) within the application
12. Capital improvements, purchase of real estate, to include the construction or renovation of facilities or buildings, and capital equipment or other durable (long lasting and/or reusable) training materials
13. Business relocation or other similar/related expenses
14. Travel outside of contiguous United States or costs associated with bringing a trainer into the country
15. General office supplies and non-personnel services costs (example: postage and photocopying)
16. Membership fees/dues
17. Food, beverage, entertainment, and/or celebration related expenses
18. Job/position profiling
19. Publicity/public relations costs

* Non-Federal share is defined as the following in NWDB's ETG policy. Non-Federal share can also be referred to as an "in-kind" contribution. This may include the amount of wages paid by the employer to a worker while the worker is attending a training. Other examples may include facility fee rental for the training, meals, travel for the employees participating in the training, and/or any training equipment purchases not covered as a reimbursable expense. For example, if a training costs \$5,000 and your business has less than 50 employees (which requires a 10% non-federal requirement), the minimum non-federal share required would be \$500.

**EMPLOYEE TRAINING GRANT
NORTHEASTERN WORKFORCE DEVELOPMENT BOARD
AMENDED TRAINING PLAN**

SECTION I: JUSTIFICATION OF TRAINING CHANGE

Describe Why You Have Decided To Use Your Awarded Grant Money For A Different Training

Purpose: [Click here to enter text.](#)

SECTION II: TRAINING SUMMARY *(IF APPLYING FOR MORE THAN ONE TRAINING, PLEASE ATTACH A SEPARATE PAGE FOR SUBSEQUENT TRAININGS, IN THE FORMAT PROVIDED BELOW.)*

Training Topic/Course Title: Click here to enter text.	
Course Description and/or Objectives: Click here to enter text.	
Estimated Training Date(s): Click here to enter text.	
Number of Trainees: Click here to enter text.	Training Location: Click here to enter text.
Name of Training Provider (Organization - if applicable): Click here to enter text.	
Name of Trainer/Instructor: Click here to enter text.	
Address, City, State, Zip: Click here to enter text.	
E-Mail Address: Click here to enter text.	Phone: Click here to enter text.
Qualifications of Trainer/Instructor to Teach Component (2-3 sentences): Click here to enter text.	

SECTION III: BUDGET

INSTRUCTIONS:

- IF APPLYING FOR MORE THAN ONE TRAINING, REQUEST ANOTHER BUDGET TEMPLATE FROM NWDB; DO NOT COMBINE BUDGET INFO FOR MULTIPLE TRAININGS.
- REFER TO THE LAST PAGE (REIMBURSABLE EXPENSES) FOR SPECIFIC COSTS THAT CAN BE INCLUDED IN THE BUDGET REQUEST

Category	Grant Funds Requested	Explanation/Detail:
Training/Course Registration	\$	
Manuals/Textbooks	\$	
Training Certifications, Certificates, Credentials, Licenses	\$	
Materials and Supplies	\$	
Travel Expenses*		
Total Amount Requested: \$		

Employer’s Non-Federal Share (Indicate only one with information in corresponding table)

My business has less than 50 employees, a 10% non-federal share** is required for this grant

Wages: \$	Facility Fee: \$	Meals/Travel*: \$	Training Equipment Purchase: \$
Total Non-federal share: \$ _____ ≥10% of the above total amount requested			

My business has between 50-100 employees, a 25% non-federal share** is required for this grant.

Wages: \$	Facility Fee: \$	Meals/Travel*: \$	Training Equipment Purchase: \$
Total Non-federal share: \$ _____ ≥25% of the above total amount requested			

My business has more than 100 employees, a 50% non-federal share** is required for this grant

Wages: \$	Facility Fee: \$	Meals/Travel*: \$	Training Equipment Purchase: \$
Total Non-federal share: \$ _____ ≥50% of the above total amount requested			

SECTION IV: TRAINING ABSTRACT (*PLEASE PROVIDE ALL OF THE FOLLOWING INFORMATION ON A SEPARATE DOCUMENT*)

1. Background information on the company
2. Overview of the training and information to support the request and need for training
3. Description of how the requested training will address the identified skills gaps, improve employee retention, impact company stability, and increase the competitiveness of the employee and employer
4. Reason for requesting financial assistance to conduct the training.

**EMPLOYEE TRAINING GRANT THROUGH NORTHEASTERN WORKFORCE DEVELOPMENT BOARD
APPLICATION ASSESSMENT**

BUSINESS: [Click here to enter text.](#)

DATE OF REVIEW: [Click here to enter text.](#)

DUE DATE OF ASSESSMENT FOR BUSINESS NOTIFICATION OF AWARD: [Click here to enter text.](#)

Training Topic(s): [Click here to enter text.](#)

Amount Requested: [Click here to enter text.](#)

Collaborative Grant? Yes No

Application version: 1st submission 2nd submission 3rd submission

QUESTION	ANSWER	COMMENTS
What is the structure of the business?	<input type="checkbox"/> For-profit <input type="checkbox"/> Not-for-profit	Comments: Click here to enter text.
Has the business been in operation in NC for at least 12 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Previous NWDB engagements with business: Click here to enter text.
Has the business exhausted all means of other training programs (related to the training needs outline in this application) available through the SBTDC and NC Community College's Customized Training Programs, that are available at no cost?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Comments regarding discussions with the SBTDC and NC Community College's Customized Training Programs: Click here to enter text.
Has the business satisfied the non-federal share requirement of the total amount requested?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Non-federal (in-kind) share from business based on number of employees (refer to ETG policy) <input type="checkbox"/> 10% ≤ total request grant funds: Click here to enter text. required. Business indicated: Click here to enter text. <input type="checkbox"/> 25% ≤ total request grant funds: Click here to enter text. required. Business indicated: Click here to enter text. <input type="checkbox"/> 50% ≤ total request grant funds: Click here to enter text. required. Business indicated: Click here to enter text.

Other Comments for review committee: [Click here to enter text.](#)

QUESTIONS FOR REVIEW COMMITTEE: *To be filled out by each NWDB committee member*

Business: _____

Committee Member Name: _____

QUESTION	ANSWER	COMMENTS
1. The training(s) addresses the skills gaps of an employee or group of employees.	<input type="checkbox"/> Strongly agree (11-15 points) _____ <input type="checkbox"/> Agree (6-10 points) _____ <input type="checkbox"/> Disagree (1-5 points) _____ <input type="checkbox"/> Strongly Disagree (0 points) _____	
2. The training(s) will result in increased productivity, OR profitability, OR competitiveness, OR sustainability of the applicant.	<input type="checkbox"/> Strongly agree (11-15 points) _____ <input type="checkbox"/> Agree (6-10 points) _____ <input type="checkbox"/> Disagree (1-5 points) _____ <input type="checkbox"/> Strongly Disagree (0 points) _____	
3. The training(s) will result in retention and/or promotion of the designated employee(s) to be trained.	<input type="checkbox"/> Strongly agree (11-15 points) _____ <input type="checkbox"/> Agree (6-10 points) _____ <input type="checkbox"/> Disagree (1-5 points) _____ <input type="checkbox"/> Strongly Disagree (0 points) _____	
4. The training(s) proposed falls within the reimbursable requirements outlined in the NWDB ETG Policy.	<input type="checkbox"/> Strongly agree (11-15 points) _____ <input type="checkbox"/> Agree (6-10 points) _____ <input type="checkbox"/> Disagree (1-5 points) _____ <input type="checkbox"/> Strongly Disagree (0 points) _____	
5. The training topic is clearly aligned to the training need outlined in the application.	<input type="checkbox"/> Strongly agree (11-15 points) _____ <input type="checkbox"/> Agree (6-10 points) _____ <input type="checkbox"/> Disagree (1-5 points) _____ <input type="checkbox"/> Strongly Disagree (0 points) _____	
6. The training provider has strong qualifications related to this training topic.	<input type="checkbox"/> Strongly agree (11-15 points) _____ <input type="checkbox"/> Agree (6-10 points) _____ <input type="checkbox"/> Disagree (1-5 points) _____ <input type="checkbox"/> Strongly Disagree (0 points) _____	
7. The amount requested is reasonable in terms of the training topic(s) and the non-federal share is fairly evaluated.	<input type="checkbox"/> Strongly agree (11-15 points) _____ <input type="checkbox"/> Agree (6-10 points) _____ <input type="checkbox"/> Disagree (1-5 points) _____ <input type="checkbox"/> Strongly Disagree (0 points) _____	
If the training(s) will result in new certification(s) for the employee(s), add 15 points to your total score.		
	TOTAL POINTS: _____	Overall Comments:

NWDB Employee Training Grant

Applicant: [Click here to enter text.](#)

Date of Review: [Click here to enter text.](#)

Review Committee: NWDB Business Resources & Opportunities Committee

QUESTIONS & SCORING DESIGNATIONS	COMMITTEE MEMBER SCORES	COMMENTS	AVERAGE			
<p>Strongly agree (11-15 points) Agree (6-10 points) Disagree (1-5 points) Strongly Disagree (0 points)</p>	<p>The scores below reflect each member's evaluation of the application as it pertains to the assigned question. A minimum of 3 scorers required for each evaluation.</p>	<p>If the average requirement and total score requirement is satisfied (application is thus approved for funding), applicants have the option to address the comments below by communicating with Emily (it is not a requirement that this issues/questions be addressed by the applicant).</p> <p>If the average requirement and total score requirement is not satisfied (application is not approved for funding), applicants are encouraged to resubmit their applications by resolving the comments below in order for the application to be received for a second scoring.</p>	<p>Applications that receive a total average that is 70% or higher of the maximum score (105), and do not receive an average between 0-5 on any of the questions will be awarded. Therefore, applications with a total of 73.5 or above will be awarded*.</p> <p><i>*An average between 0-5 on ANY element will result in application disqualification (total score will be null). Businesses can revise and resubmit for another scoring.</i></p>			
<p>1. The training(s) addresses the skills gaps of an employee or group of employees</p>	<table border="1" style="width: 100%; height: 100%;"> <tr><td style="width: 50px; height: 25px;"></td></tr> <tr><td style="width: 50px; height: 25px;"></td></tr> <tr><td style="width: 50px; height: 25px;"></td></tr> </table>					
<p>2. The training(s) will result in increased profitability, competitiveness, sustainability, etc. of the business</p>	<table border="1" style="width: 100%; height: 100%;"> <tr><td style="width: 50px; height: 25px;"></td></tr> <tr><td style="width: 50px; height: 25px;"></td></tr> <tr><td style="width: 50px; height: 25px;"></td></tr> </table>					
<p>3. The training(s) will result in retention and/or promotion of the employee(s)</p>	<table border="1" style="width: 100%; height: 100%;"> <tr><td style="width: 50px; height: 25px;"></td></tr> <tr><td style="width: 50px; height: 25px;"></td></tr> <tr><td style="width: 50px; height: 25px;"></td></tr> </table>					

NWDB Employee Training Grant

Applicant: [Click here to enter text.](#)

Date of Review: [Click here to enter text.](#)

Review Committee: NWDB Business Resources & Opportunities Committee

Filled out by NWDB Business Services Representative

<p>4. The training(s) proposed falls within the reimbursable requirements outlined in the business guidelines</p>	<table border="1"> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> </table>					
<p>5. The training topic is clearly aligned to the training need outlined in the application</p>	<table border="1"> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> </table>					
<p>6. The training provider has strong qualifications related to this training topic</p>	<table border="1"> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> </table>					
<p>7. The amount requested is reasonable in terms of the training topic(s) and the non-federal share is fairly evaluated</p>	<table border="1"> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> </table>					
<p><i>Number of extra points for certification(s) resulting from training.</i></p>			<p>Total extra points:</p>			
		<p>Comments from Business Services Representative:</p>	<p>TOTAL: Awarded: <input type="checkbox"/> Yes <input type="checkbox"/> No</p>			



Date:

Dear [Click here to enter text.](#):

The Northeastern Workforce Development Board is pleased to inform you that the Employee Training Grant submitted by [Click here to enter text.](#) has been approved by NWDB's Business Resources & Opportunities Committee for the amount of \$.

The award is to cover training for the following training for [Click here to enter text.](#) employees as outlined in your application:

[Click here to enter text.](#)

Please note that the NWDB Employee Training Grant Policy specifies that:

--NWDB will enter into an administrative and fiscal contract with your company to ensure alignment with the approved application and all regulatory requirements. Trainings that take place before contracts are signed will not be reimbursed.

--Trainings must be completed as outlined in your approved application and in no case later than twelve months from the date of the contract. All trainee participants must be approved, entered and tracked in NCWorks.

--Employers must fill out trainee summary and have trainees fill out applications. All of this must be submitted to NWDB before the training can occur.

--Payment to the business is on a cost reimbursement basis for training costs as outlined in the approved application.

We are pleased that [Click here to enter text.](#) has been awarded this training grant in our local area and applaud your desire to offer training opportunities to your employees. We look forward to working with you to ensure the success of this workforce initiative. Please contact me at 252.312.4308 if you have any questions.

Sincerely,

Amber Morse, Assistant Director
Northeastern Workforce Development Board

CAMDEN

CHOWAN

CURRITUCK

DARE

GATES

HYDE

PASQUOTANK

PERQUIMANS

TYRRELL

WASHINGTON

COLUMBIA

CRESWELL

DUCK

EDENTON

ELIZABETH CITY

GATESVILLE

HERTFORD

KILL DEVIL HILLS

KITTY HAWK

MANTEO

NAGS HEAD

PLYMOUTH

ROPER

SOUTHERN SHORES

WINFALL

**Northeastern Workforce Development Board
Employee Training Grant Contract/Agreement**

Agreement # _____

Effective Dates: Contract is effective upon execution of the last required signature on the contract and will be effective for a period of one year.

1. PARTIES

1.1 This Contract/Agreement is entered into between the Northeastern Workforce Development Board administered by the Albemarle Commission and _____. Any notice or communications pursuant to this agreement shall be in writing and mailed to the following:

(a) David Whitmer, Workforce Development Director
Albemarle Commission [as Administrative/Fiscal Agent for the Northeastern Workforce Development Board]
512 S. Church Street
Hertford, North Carolina 27944

(b)

2. BASIS FOR AGREEMENT

2.1 Pursuant to the provisions of the Workforce Innovation and Opportunity Act and its implementing regulations, this agreement is written for the purpose of providing incumbent worker training.

2.2 Based on the application submitted by _____ and negotiation between all parties, _____ agrees to train _____ employee as identified in the original approved application for the following training component(s):

- _____

2.3 _____ warrants that the information set forth in the application is true, correct and complete in all material aspects and that such application may only be amended by prior approval of the Albemarle Commission and subject to mutual agreement by all parties.

2.4 The Albemarle Commission is prepared to provide funds not to exceed _____ as outlined in the approved application budget. These funds shall be expended solely for the purpose of the identified training cost on a reimbursement and performance method of payment.

3. TERM OF AGREEMENT

3.1 The term of the Agreement shall commence upon execution of the last required signature, and shall remain in effect until the stated purpose, as outlined in Section 2.2 above, is completed to the satisfaction of the Albemarle Commission but for no longer than a period of one year. Training may not begin prior to the effective date of this Agreement. As specified in _____'s application, the estimated date(s) of training(s) will be:

-

4. PAYMENTS

4.1 Schedule. Payments shall be made to _____ on a cost reimbursement basis. _____ will submit to the Albemarle Commission the Reimbursement Request Form including documentation of expenditures (invoice submitted by training provider and proof of payment) in such detail as to provide for a proper pre-audit and post-audit.

4.2 Availability of Funds. The Albemarle Commission's liability under this Agreement is contingent upon the continued availability of appropriated and allocated funds under the Workforce Innovation and Opportunity Act. _____ agrees that the Albemarle Commission shall be the final determiner of the availability of such funds.

5. REQUIREMENTS

5.1 During the term of this Agreement, _____ agrees to:

- (a) comply with all applicable federal, state and local laws related to the execution of the program described in the grant application;
- (b) cooperate with the Albemarle Commission in every reasonable way to ensure the successful delivery of the training program and attainment of specific training objectives.

5.2 Trainee Roster & Progress Report. During the term of this Agreement, _____ shall provide the Albemarle Commission with a completed Trainee Roster & Goal Attainment Report. This report should be submitted no later than 60 working days after each training.

5.3 Audit and Records. During the term of this Agreement, _____ agrees to comply with the following requirements:

- (a) maintain books, records, and documents (including electronic storage media) in accordance with generally accepted accounting procedures and practices which sufficiently and properly reflect all revenues and expenditures for funds provided by the Albemarle Commission for a period of three years after conclusion of the Agreement. The aforesaid records, books, documents, and other evidence shall be subject at a reasonable time to inspection, review, or audit by representatives of the Albemarle Commission and/or state personnel responsible for the oversight, monitoring, and evaluation of the Workforce Innovation and Opportunity Act;
- (b) submit all bills for fees or other compensation for services or expenses in detail sufficient for a proper pre-audit and post-audit;
- (c) maintain financial records and reports related to funds paid to any parties for work on the matters which are the subject of this Agreement; and
- (d) include these record-keeping requirements in contracts and subcontracts entered into by _____ with any party for work required under terms of this Agreement.

5.4 Liability. _____ assumes the risk of any claims, suits, judgments or damages arising from _____'s performance of, or failure to perform, the tasks and duties which are the subject of this Agreement, or from _____'s participation in the program. _____ shall indemnify, defend, and hold harmless the Albemarle Commission from all claims, suits, judgments or damages arising out of intentional acts, negligence or omissions _____'s performance of the tasks and duties which are the subject of this Agreement.

5.5 _____ shall also cooperate with the Albemarle Commission in completing surveys after training to assist in determining the long-term effectiveness of the NWDB employee training program.

5.6 _____ shall act as an independent contractor and not as an employee of the Albemarle Commission in the performance of the tasks and duties which are specific obligations of _____ pursuant to this Agreement.

5.7 Non-discrimination. _____ will not discriminate against any employee employed in the performance of this Agreement, or against any applicant for employment because of race, color, religion, sex, marital status, national origin, age, disability, political affiliation or belief. The United States has the right to seek judicial enforcement of all applicable Non-Discrimination and Equal Opportunity provisions of the Workforce Innovation and Opportunity Act and associated regulations.

6. TERMINATION

6.1 In the event that _____ does not conduct the training specified in the grant application, a business representative will notify NWDB of such cancellation as soon as possible.

6.2 In the event that _____ materially defaults in the performance of any duty, obligation, covenant or agreement imposed on it or made by it in this Agreement, then the Albemarle Commission shall provide to _____ notice of such default. _____ shall have fifteen (15) calendar days within which to initiate action to correct the default and thirty (30) calendar days within which either to cure the default, or to demonstrate to the satisfaction of the Albemarle Commission that corrective action has been taken and will likely result in curing the breach. In the event that _____ fails to cure the default, the Albemarle Commission will have the right to terminate this Agreement.

6.3 _____ shall permit public access to all public documents or other materials prepared, developed or received by them in connection with the performance of their obligations or the exercise of their rights under this Agreement. The Albemarle Commission may terminate this Agreement if _____ fails to allow such public access.

7. MODIFICATION

7.1 No provision for automatic renewal or extension of this Agreement shall be effective.

7.2 This writing contains the entire Agreement of the parties. No representations were made or relied upon by any party, other than those that are expressly set forth in this Agreement. No agent, employee, or other representative of any party is empowered to alter any of the terms of this Agreement, unless done in writing and signed and approved by an authorized signatory of the Albemarle Commission and an authorized executive officer of the _____. The parties agree to renegotiate this Agreement if revisions of any applicable laws, regulations or decreases in allocations make changes to this Agreement necessary.

8. GENERAL CONDITIONS

8.1 _____ acknowledges and agrees that any expenses incurred above and beyond the grant funds shall be borne and paid by _____. _____ will be liable for any project funds used for purposes other than payment of costs listed in the approved budget. _____ shall indemnify and hold the Albemarle Commission harmless for claims made by any third party with respect to expenses incurred or activities performed by _____ in fulfillment of this project.

8.2 The following activities **shall not** be funded with any of the grant funds: (a) trainees' wages, salaries or fringe benefits; (b) purchase of capital equipment, furniture or fixtures; (c) lobbying

of state or federal legislatures, judiciaries or agencies; (d) real estate, capital or facilities improvements or renovations; (e) business relocation expenses; (f) costs incurred prior to the effective date of this Agreement; (g) employment or training in sectarian activities.

8.3 The parties agree to comply with all the terms and provisions of this Agreement including and incorporating herein the following specified Attachments:

1. The approved trainees, training component(s) and budget forms included in approved training application
2. Certification per Drug-Free Workplace
3. Certification per Lobbying
4. Reimbursement Request
5. Trainee Roster
6. Goal Attainment Report

8.4 The parties recognize and agree that the laws of the state of North Carolina and the federal Workforce Innovation and Opportunity Act and accompanying regulations shall govern the interpretation and enforcement of this agreement. Any action brought pursuant to this agreement shall be brought in the state of North Carolina.

8.5 Interest of Members of the Albemarle Commission and Others: No officer, member, or employee of the Albemarle Commission, and no member of its governing body, and no other public official of the governing body of the locality or localities in which the services are performed or being carried out who exercises any functions or responsibilities in the review or approval of this Agreement, shall participate in any decision relating to this Agreement which affects his or her personal interest or have any personal or pecuniary interest, direct or indirect, in this Agreement or the proceeds thereof.

IN WITNESS WHEREOF, the parties have caused their hand to be set by their respective authorized officials hereto.

Printed Name of Business Representative: _____

Title of Business Representative: _____

Business Signature: _____

Date Signed: _____

NWDB Business Engagement Coordinator Signature: _____

NWDB Director Signature: _____

Albemarle Commission Executive Director Signature: _____

Date: _____

This instrument has been pre-audited in the manner required by the Local Government Budget & Fiscal Control Act.

SIGNATURE OF FINANCE OFFICER: _____

Business: _____

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The grantee certifies that it will provide a drug-free workplace by:

- a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- b) Establishing a drug-free awareness program to inform employees about—
 - 1. The dangers of drug abuse in the workplace;
 - 2. The grantee's policy of maintaining a drug-free workplace;
 - 3. Any available drug counseling, rehabilitation and employee assistance programs, and
 - 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - 1. Abide by the terms of the statement; and
 - 2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after each conviction;
- e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - 1. Taking appropriate personnel action against such an employee, up to and including termination; or
 - 2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

Printed Name and Title of Certification Official

Signature

Date

NWDB EMPLOYEE TRAINING GRANT
CERTIFICATION REGARDING LOBBYING

Business: _____

**CERTIFICATION REGARDING LOBBYING CERTIFICATION FOR
CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreements, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients and shall certify and disclose accordingly.

This certification is a material representative of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Date

Name and Title of Authorized Representative

Business:

1. Please give a short narrative of competencies the trainees received for each training.
[Click here to enter text.](#)

2. Explain how the above competencies will result in increased productivity, efficiency, profitability, competitiveness, etc. of your establishment.
[Click here to enter text.](#)

3. What are the short and long term benefits of this training for your establishment?
[Click here to enter text.](#)

4. Did any trainees retain their employment at your business solely as a result of the training?
Yes No
Comments:
[Click here to enter text.](#)

5. Have/will any of the trainees receive additional compensation as a result of their increased skills?
Yes No
Comments:
[Click here to enter text.](#)

6. Did any trainee advance to other job positions or perform other advanced job responsibilities as a result of the training?
Yes No
Comments:
[Click here to enter text.](#)

7. Was the training topic aligned to the needs outlined in your grant application?
Yes No
Comments:
[Click here to enter text.](#)

8. Explain the degree in which the training provider satisfied these needs.
[Click here to enter text.](#)

9. Would you recommend the training topic and training provider to another business?
Yes No
Comments:

[Click here to enter text.](#)

10. Was any of the training provided through this grant available from a publicly funded local community college or university?

Yes No

If yes, and you did *not* choose that source as a training vendor, please explain why:

[Click here to enter text.](#)

11. Would you recommend the NWDB Employee Training Grant to other businesses?

Yes No

Comments:

[Click here to enter text.](#)

12. Do you have additional workforce needs for current or future employees that you would like to discuss with NWDB?

[Click here to enter text.](#)

NWDB EMPLOYEE TRAINING GRANT
REIMBURSEMENT REQUEST

Business:

Address to Send Reimbursement: [Click here to enter text.](#)

Instructions: Attach invoice & proof of payment for each line-item expense. If desired, businesses can submit separate requests for different trainings as they are completed.

Itemized Expense Description (Ex: Course registration, manuals/textbooks, testing/certification cost)	Approved Expense Amount	Total Reported Expense	Approved Non-Federal Share Amount*	Total Non-Federal Share Expense	Unexpended Budget Balance
<i>Only Include reimbursable expenses approved in your application</i>	<i>List amount approved in application</i>	<i>List amount actually spent</i>	<i>List non-federal share approved in application</i>	<i>List non-federal share actually spent</i>	<i>Approved Expense - Total Reported Expense</i>
Click here to enter text.	Click here to enter text.				
Click here to enter text.	Click here to enter text.				
Click here to enter text.	Click here to enter text.				
Click here to enter text.	Click here to enter text.				
Click here to enter text.	Click here to enter text.				
Click here to enter text.	Click here to enter text.				
Click here to enter text.	Click here to enter text.				
Totals					
	Requested Reimbursement:				

Signature of Authorized Business Official: _____
 Date Submitted to NWDB: _____
 NWDB Signature: _____
 Date Submitted to Finance: _____
 This instrument has been pre-audited in the manner required by the Local Government Budget & Fiscal Control Act.
 SIGNATURE OF FINANCE OFFICER: _____

NWDB ETG: TRAINEE SUMMARY

Name of Employee to be trained	Training Topic/Course/Certification	Trainee Application Attached?	Trainee I-9 Attached?	Will this training fulfill a skills' gap that would otherwise result in this employee's dismissal?	Will this training result in increased compensation for the employee?	Will this training result in advancement for this employee in your establishment?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Employer:



Incumbent Worker Trainee Application

This request for information is confidential and will be used solely in determining your eligibility for the Incumbent Worker grant funded by the federal Workforce Innovation & Opportunity Act (WIOA) received by your employer.



If you do not have an NCWorks.gov account, you will need to create one prior to completing this application. Your employer received a set of instructions to provide employees who needed assistance in creating an account.

Application Date: _____

First Name	Middle Initial	Last Name
Date of Birth	Last 4 (SSN)	Male <input type="checkbox"/> Female <input type="checkbox"/>
Street Address		
City	State	Zip
Primary Phone Number		Race
Hispanic or Latino? <input type="checkbox"/> Yes <input type="checkbox"/> No	Are you a US citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No If not, are you authorized to work in the US? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Do you have a disability you wish to state? <input type="checkbox"/> Yes <input type="checkbox"/> No	Did you register for Selective Service (if male) and born after December 31, 1959? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Female, not applicable	
Are you currently in the military or a veteran of US military service? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, please provide dates of service:	
If yes, are you within 24 months of retirement or 12 months of discharge from the military (transitioning service member)? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, are you a member of the armed forces who is wounded, ill, or injured and receiving treatment in a military facility or warrior transition unit? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If yes, are you a disabled Veteran? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, have you served on active duty in the armed forces and were discharged or released from such service under conditions "other than honorable"? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Are you the spouse of a Veteran? <input type="checkbox"/> Yes <input type="checkbox"/> No	Are you the spouse/dependent of someone in active-duty military service, National Guard, or Reserves who is currently activated? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Are you a caregiver who is a spouse or family member of the armed forces who is wounded, ill, or injured and receiving treatment in a military facility or warrior transition unit? <input type="checkbox"/> Yes <input type="checkbox"/> No	Are you the spouse of a veteran who has a total service-connected disability, is Missing in Action, captured in the line of duty by a hostile force, is a Prisoner of War or who died from a service connected disability? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Are you a current member of the NC National Guard? <input type="checkbox"/> Yes <input type="checkbox"/> No	Do you have a high school diploma or GED? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, what was the last grade you completed?	
Do you have a college degree? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, year graduated?	
Field of Study/Degree:		

I certify that the information provided in this application is true to the best of my knowledge. I am aware that this information may be verified and that any falsification shall be grounds to deny services and may subject me to prosecution under the law. I understand that the information will be used to determine eligibility for WIOA services and may be released for verification and federal reporting purposes.

Employee Signature

Date

Business:

	Trainee Name (<i>List ALL identified in grant application</i>)	Training Topic/Course; Certifications, Etc.	Participation Status (<i>C=Completed; NC=Not Completed</i>)	If not completed, please explain.
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				

NWDB Employee Training Grant
Employee Roster

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NWDB Employee Training Grant
Employee Roster

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NCWORKS Online

Connecting talent to jobs

Keying Incumbent Worker Participants into NCWorks Online

Businesses that receive an Incumbent Worker Grant must provide enough information on their Employees participating in the training, in order to key Individual recipients into **NCWorks Online**. All Individuals must meet the basic WIOA eligibility to be served in the Incumbent Worker Program. This means the Individual must be at least 18, be in compliance with Selective Service, and be a US Citizen or demonstrate other right to work.

EMPLOYER REGISTRATION

Add an EMPLOYER account if one doesn't already exist in **NCWorks Online**.

Note: Have the Employer self-register if an account is NOT in system already, then Staff will only have to approve the Employer.

The screenshot shows a staff profile form with the following fields and values:

- Staff Name:** Alicia Clark **Phone:** 252-231-1129
- *Service Type:** E20 - Received NCWorks Incumbent Worker Training Grant
- Scheduled Date:** 10/15/2017
- Scheduled Time:** [Dropdown] : [Dropdown] AM
- Actual End Date:** [Empty]
- Completion Code:** None Selected
- *Region:** None Selected
- *Office:** VOS - NC Division of Workforce Solutions
- Position:** Staff
- Contact Type:** Staff Initiated
- Contact Method:** In Person at Worksite
- Contact Name:** None Selected
- Comments:** Signed IWP paperwork on 10/15/2017

At the bottom of the form, there are links: [Add a new Case Note | Show Filter Criteria]

After the Employer has been setup and approved, add an Employer Service, showing receipt of an Incumbent Worker grant.

- Staff's Profile → Manage Activities → Employer Services → Assist → Add Service
- Service E20—Received Incumbent Worker Grant

PROVIDER REGISTRATION

Once the Employer record has been created, Staff must create a Provider record and Program, which allows the Provider and Program to be selected on the activity screen of the Individual.

The screenshot shows the 'Provider Information' form with the following fields and values:

- * Status:** Active Inactive
- * LWIA Region:** Triangle South Workforce Development Board
- Linked Employer:** [Empty] [Search For Employer]
- * Vendor ID:** [Empty]
- * FEID/SSN:** [Empty]
- * Provider Name 1:** [Empty]

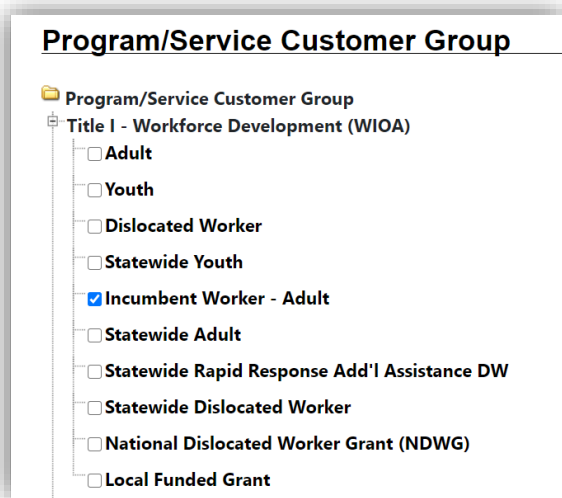
Create a Local Provider

- If the Employer is already in the system, import the existing information by choosing "Search for Employer."

NCWORKS Online

Connecting talent to jobs

Note: Preface the Provider Name with "IWP-" to make them more easily identifiable.



Select Provider Type as **PS-Other**

- Add new Program Service(s) for IWP
- Add Program/Service Customer Group
Incumbent Worker—Adult

INDIVIDUAL REGISTRATION

1- Individuals must be registered in **NCWorks Online**, indicating that a user ID has been created, and all basic contact information is successfully entered.

*Note: Individuals who Self-Register into **NCWorks Online** will be responsible for keying all the data screens, and Staff will only have to review.*

- 2- Employers must provide a list of all Individuals being served in the IWP program. If an Individual is already registered, the Employer can provide the user ID instead of the Individual's SSN.
- 3- Staff must complete a standard WIOA Core Application. All fields are required in order to complete the application, though some are not relevant to being a served as an IWP. Staff can answer irrelevant questions as "No". For example, there is no Veteran priority of service for the IWP; thus, this field should always answered with "No," so that verification doesn't have to be completed.
- 4- Staff must still verify DOB and Citizenship for all Individuals. Boards can decide if Employers provide copies of driver's licenses of all Individuals, or have them sign a form attesting they have copies on file that can be provided, if needed.
- 5- On the "Start" screen for the WIOA Wizard, for **Application/Registration Information, Incumbent Worker Eligibility** must be selected.

NCWORKS Online

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Application/Registration Information

* **Application Date:** (mm/dd/yyyy)

Incumbent Worker Eligibility:

Incumbent Worker Eligibility Date: (mm/dd/yyyy)

Adult Eligibility:

Dislocated Worker Eligibility:

Youth Eligibility:

Proceed.

- 6- On the final screen, "Eligibility and Grants", when the system reports eligibility for Adult, the **Eligible** column indicates **Undetermined**.

Applicant Eligibility

Income Table: [Income Table](#)

Program	Eligible	Priority	Calculated Exception/Limitation	Reason(s) Not Eligible	Action
Adult	Undetermined			No Adult Eligibility Date.	<input type="checkbox"/> Inactive
Dislocated Worker	Undetermined			No DW Eligibility Date.	<input type="checkbox"/> Inactive
Youth	Undetermined			No Youth Eligibility Date.	<input type="checkbox"/> Inactive

VET = Veteran, BSD = Basic Skills Deficient, PA = Public Assistance, LI = Low Income, SLP = Additional Priorities

- 7- Choose **Yes** for **Incumbent Worker Eligibility**.

WIOA Grant Eligibility

Incumbent Worker Eligibility: Yes No Not Applicable Inactive
 Applicant meets the basic requirements for Incumbent Worker eligibility, but staff must manually set this to "Yes" and add a grant, when appropriate.

National Dislocated Worker Grant NDWG: Yes No Not Applicable Inactive
 Applicant does not meet the requirements for NDWG eligibility.

Statewide Adult Eligibility: Yes No Not Applicable Inactive
 Applicant does not meet the requirements for Statewide Adult eligibility.

Statewide Dislocated Worker Eligibility: Yes No Not Applicable Inactive
 Applicant does not meet the requirements for Statewide Dislocated Worker eligibility.
 Applicant does not meet the requirements for Statewide Youth eligibility.

Statewide Rapid Response Additional Assistance Eligibility: Yes No Not Applicable Inactive
 Applicant does not meet the requirements for Statewide Rapid Response Additional Assistance eligibility.

NCWORKS Online

Connecting talent to jobs

Add the Grant name that is appropriate.

The screenshot shows a 'Grants' selection window. At the top, there is a header with columns: Grant Type, Grant ID, Grant Name, ETA/Local Grant Code, Date Added, and Action. Below the header, it states 'No records found'. A link 'Select from the list of available grants.' is present. Below this link is a table with the following data:

Grant Type	Grant ID	Grant Name	ETA/Local Grant Code	Action
Statewide Incumbent Worker (Adult)	35	IWDP Grant - October 2013 Round	Oct13	Add
Statewide Incumbent Worker (Adult)	36	IWDP Grant - April 2014 Round	Apr14	Add
Statewide Incumbent Worker (Adult)	40	NCWorks IW Training Grant - Oct 2014	Oct14	Add
Statewide Incumbent Worker (Adult)	41	NCWorks IW Training Grant - April 2015	Apr15	Add
Statewide Incumbent Worker (Adult)	45	March16 - NCWorks IW Training Grant - 3/31/2016	Mar16	Add

- 8- Click **Next**. This step will enroll them into the program.
- 9- After entering Incumbent Worker activity, Add an Activity. To do this, return to the WIOA Wizard, and click the + beside the completed application. Under the **Participation** section, click **Create Participation**.

The screenshot shows the details for application WIOA #4757072 - Complete. It includes the following information:

- LWIA:** 34 - Capital Area Workforce Development Board
- Onestop:** 14 - NCWorks Career Center- Capital Area (Cary)
- Open/Total Activities:** 0 / 0
- Application Date:** 02/06/2017
- Participation Date:** N/A
- Closure Date:** N/A
- Exit Date:** N/A

Case Information

- ABC Eligibility Date:** N/A
- Dislocated Worker Eligibility Date:** N/A
- Incumbent Worker Eligibility Date:** 02/06/2017
- Adult Eligibility Date:** N/A
- Youth Eligibility Date:** N/A

Location and Staff

- LWIA:** 34 - Capital Area Workforce Development Board
- Create Staff Username:** 4798888
- Case Manager:** N/A
- Onestop:** 14 - NCWorks Career Center- Capital Area (Cary)
- Edit Staff Username:** 4798888
- Temporary Case Manager:** N/A

Below the details are expandable sections for **Eligibility Summary** and **Participation**. In the **Participation** section, a **Create Participation** button is circled in red.

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Application Summary:	Program: Title I - Workforce Development Application Date: 11/7/2017 Earliest Eligibility Date: 11/07/2017
Participation Date:	12/07/2017
* Customer Program Group:	92 - Statewide Incumbent Worker - Adult ▼
* LWDB:	Triangle South Workforce Development Board ▼
* Office Location:	Harnett County Career Center Affiliate-Dunn ▼

The correct **Office Location** must be entered for the Grants to display.

From **Enrollment Information**, select the Grant number that is associated with your State or Local IW grant.

Enrollment Information

Grant: 6017 - 2017 Triangle South Local IW ▼

WIOA Title II Partner Program: Yes, service is a WIOA Title II Partner Program.

*** Activity Code:** [Select Activity Code](#)

Projected Begin Date: Today

Actual Begin Date: 12/07/2017
Actual begin date may not be modified on the first activity.

*** Projected End Date:** Today

Any classes attended through Yes No
[Distance Learning:](#)

10- Record a **Projected End Date** to last the entire duration of the training.



11- On the Provider screen, select the. Select the **Provider, Service, Course/Contract**. Finish as indicated.

NCWORKS Online

Connecting talent to jobs

12- The system will soft exit 90 days after the end of the projected End Date so there is nothing more you are required to do for this service.

View it by returning to **Programs**, and view the **Workforce Innovation and Opportunity Act (WIOA) Program Application**, the **Activities / Enrollments / Services** listing.

Status	Activity / Provider	WZ	Funding / Grant	Projected Begin Date	Actual Begin Date	Projected End Date	Actual End Date
	365 - IWP - Training Programs - Rapid Response Funded IWP-Strata Solar		Statewide Incumbent Worker - Adult 6017 - 2017 Triangle South Local IW	12/07/2017	12/07/2017	04/25/2018	Close

**Employee Training Grant
 Northeastern Workforce Development Board
 Schedule and Changes in Policy for PY2022 (Effective November 3, 2022)**

Change 1: Applications will be accepted on a scheduled basis, according to the schedule below

Change 2: Applications will be reviewed for approval or non-approval by both the NWDB Business Resources & Opportunities Committee and the Northeastern Workforce Development Board or Leadership Committee, according to the schedule below¹.

<i>Applications Due from Businesses</i>	<i>Business Resources Committee Review & Vote</i>	<i>NWDB Review & Vote</i>	<i>Business Notified of NWDB Decision</i>
July 27, 2022	August 2, 2022	September 19, 2022	September 20, 2022
September 28, 2022	October 4, 2022	November 21, 2022	November 22, 2022
November 30, 2022	December 6, 2022	January 17, 2023	January 18, 2023
February 1, 2023	February 7, 2023	March 21, 2023	March 22, 2023
March 29, 2023	April 4, 2023	May 16, 2023	May 17, 2023

¹ NWDB reserves the right to change this schedule as needed.

Workforce Innovation and Opportunity Act of 2014

Program Year 2024 - 2028 Comprehensive Four-Year Title I Plan

Signatory Page

Northeastern WDB

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

May 1, 2024

Submission Date

Workforce Development Board Chair

Sean Lavin

Typed or Printed Name

Program Manager, TCOM LP

Typed or Printed Title



Signature

04 / 29 / 2024

Date

Chief Local Elected Official

Lloyd E. Griffin, III

Typed or Printed Name

Pasquotank County Commissioner

Typed or Printed Title



Signature

04 / 26 / 2024

Date

Title	Northeastern Signatory Page
File name	Northeastern_Signatory_Page.docx
Document ID	cb67cd4a12fdafad34a98990e1b6169960997c77
Audit trail date format	MM / DD / YYYY
Status	● Signed

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