

## TABLE OF CONTENTS

1. Workforce Investment Needs .....	2
2. Employment Opportunities .....	3
3. One-Stop System .....	4
4. Adult and Dislocated Worker Employment and Training Opportunities .....	6
5. Local Board Coordination with State Rapid Response .....	7
6. Youth Activities .....	8
7. Fiscal Agent.....	10
8. Procurement .....	11
9. Priority System.....	14
10. Monitoring.....	15
11. Grievance Procedure .....	19
APPENDICES to Plan .....	20

## 1. Workforce Investment Needs

Identify the workforce investment needs of businesses, job seekers, and workers in your local workforce investment area.

Kentucky has placed an emphasis on enhancing the overall workforce investment system in order to compete effectively in the global economies. Economic growth within the state has been tied to a support system to encourage new and expanding industry by providing a competitive and well trained workforce. Kentuckians now see ties to world economies with additional foreign investments in everything from horse ownership to industrial investments in Toyota. In addition, communities have experienced job losses to Mexico, China, and other foreign workforces due low labor cost. Kentucky is now examining its investments in human capital to be assured that it can meet future challenges and position itself to respond to various economic bases driven from a variety of American and foreign cultures—all requiring a return on its investment in Kentucky.

As employers explore coming to the Commonwealth, or to expand their services, employers had looked for incentives. We now find these employers looking for the area's investment in human capital in hopes of increasing their bottom line earnings. These benefits are predicated upon meeting the needs of the businesses, the job seekers, and the worker. The need of business is to access a comprehensive system to have a prepared and available workforce supply. The system must be customer friendly and allow access and response within the needs of the business. We deal with "just in time" suppliers who do not want "next week" or "next month" employees. We deal with quality conscious companies who do not understand the incompetencies of time and management that may be built into the paperwork of U.S. Department of Labor programs. The business is seeking incentives of training for employees and tax credits to improve their bottom-line benefits. With the competitive economy in today's world, there may be only a small difference between a balance sheet gain and loss. The business is seeking quality and timely training to enhance the abilities and productivity of their workforce. U.S. Department of Labor programs such as the "Business Relations Group" help to identify workforce system products and initiatives to support business and its needs.

The job seeker and the worker have common needs in seeking access to occupational information. The individual in Hickman, KY, wants the same access to employment opportunities as the individual in New York City, NY. This type of access is available now through U.S. Department of Labor sites as "America's Career Kit" which can be very helpful in exploring career and occupational offerings. Career decisions and training requirements should be provided for the worker and the job seeker. The job seeker often finds information along with comparisons of opportunities and wages among site localities. An overview of potential providers of training is also available. Access for training funds and financial assistance can also be provided through this medium.

The worker finds electronic access to information timely as well as accessible for his questions—whether from a career center, public site, and a home. Various websites and materials are avenues to compare his earnings with those earnings in other localities. The worker also wants means by where he can raise his income above his current wage in order to increase self-sufficiency, stabilize benefits, and increase anticipated earnings. The worker wants access to information in timely and easily acceptable timeframes. The individual goes to work each day to earn a living for his family and only has a certain period of time available for self-enhancement. He can have movies, banking, and Wal-Mart "24/7" with full personal choice. So why can he not have career information which could increase his salary, or job opportunities, at the same level of flexibility?

Our workforce system is now elevating customer service for employers and employees as it goal. It is seeking to please its customers with improved customer services, to provide meaningful,

positive outcome, and to add value to its investments by the incorporation of workforce partner agency services to those customers' needs. It is struggling with declining workforce numbers along with declining competitive skills. The workforce system must continue to add value and be responsive to reach its goal of creating a skilled and competitive workforce to meet the demands of global competitiveness in the world economy existing today in Kentucky' businesses.

## 2. Employment Opportunities

- A. Identify the current and projected employment opportunities and job skills necessary to obtain such opportunities.

Current employment opportunities are bountiful in demand occupations for the skilled job seeker as employers have become competitive in seeking qualified and experienced individuals. Turnover is high in some occupational area due to pressures of global competition causing local business to search for cheaper workers in production with wages and benefits to secure training/trainable employees. Much of the area's unemployment rate is from 4% - 9%.

Estimates predict that the greatest number of job openings will be in service occupations followed closely by operating, fabricating and labor occupations and the professional, paraprofessional and technical occupations (sales and related occupations, production occupations, office and administrative support occupations, and food preparation and serving related occupations). Particular occupations with the greatest percentage of change from 2000 to 2010 in the West Kentucky Workforce Investment Board (WKWIB) area are desktop publishers, financial service/sales, rental clerks, computer support specialists, network systems and data communications analysts, veterinary technologists and technicians, computer controlled machine tool operators, taxi drivers and chauffeurs. The largest growth rates are expected in service occupations, professional, paraprofessional and technical occupations, and marketing and sales occupations (computer and mathematical occupations, healthcare support occupations, legal occupations, and arts, design, entertainment, sports, and media occupations). The projected top three WKWIB area occupations with the most annual job openings are child care workers, cashiers and retail salespersons, but many of those opportunities will be tied to workforce turnover and potentially low wages. The high demand, higher wage occupations in the WKWIB area with the most annual job openings are management occupations, education, training, and library occupations, as well as healthcare practitioners and technologist occupations.

Area-wide training requirements note the need for a high school diploma or its equivalent. Also, high basic skills must be demonstrated. Many manufacturing sites require 10-12th grade level skills demonstration. Recent studies have indicated that main areas of priority skills are as follows: communication skills, interpersonal skills, computer skills, supervisory skills, technical skills, and advanced academic skills (math).

- B. State the data sources(s) used to project employment opportunities.

Pennyriple Area Occupational Outlook to 2010. Commonwealth of Kentucky, Education Cabinet, Research and Statistics Branch Publication, January 2004.  
Purchase Area Occupational Outlook to 2010. Commonwealth of Kentucky, Education Cabinet, Research and Statistics Branch Publication, January 2004.

### 3. One-Stop System

- A. Describe the one-stop delivery system to be used or to be established.

Kentucky was one of a small number of states selected for funding through the U.S. Dept. of Labor initiative for One-Stop Career Centers. Kentucky received three years of funding to begin what was described as comprehensive centers, under the initiative in twenty-two separate labor market areas across the state of Kentucky. During the era of these initiatives, the guiding principles of universality, customer choice, integration and measurable performance outcomes were the foundation of the system.

Local agencies were focused around comprehensive centers for centralized services and activity. Unfortunately, the partners were often playing by the old rules when trying to develop a system to break "the rules". These funds provided some partners with the opportunity to enhance technology or to enhance their physical setting. Some agencies came forward and made some difficult decisions to empower local staff to do what was "right" to meet the needs of the local community. Turfism overcame some agencies and these agencies sought refuge in old comfortable roles and prescribed a new system based upon their past. Other agencies sat quietly at the table upon the demands of their superiors, waiting for funds to be spent, and for the initiatives to die. Few agencies took this as an effort and opportunity to shield them from everyday dictates of individual and separate programs to begin an integrated approach to services. However, locally, you could find staff that sat and watched the action of their fellow staff and saw their values and goals. They found they were being aligned to the same mission. These staff saw a person who needed one agency to share information with another in order for that person to get a job. They saw new industry hiring 100 people. What staff member would not think that they could not play a role in helping that to happen? Very quietly, these types of by-products also came from these funds. It is this basic beginning of the understanding of the system that was occurring among staff as they sat together and worked together. This afforded the first real common visions for the One-Stop Career System and its accomplishments.

Under the Workforce Investment Act of 1998, the One-Stop System now has rules and regulations that still support the previous guiding principles of universality, customer choice, integration, and enhanced customer service; however, these were now couched in more definitive terms with expected roles and responsibilities to other Partners. These responsibilities even apply to the funding of the One-Stop activity. Agencies now know that no one funding stream will pay for all One-Stop activities, but the funding of One-Stop activities will now be an integrated cost allocation sharing as the integration of services are within the One-Stop. Previous activities as capacity building, in-house training among staff, monitoring and review of in-house processes are all positive products which can be carried into a new system. The limited outcomes of only a few partners being placed together will now be expanded with the expectation of all partners physically located or securely tied together electronically for integrated services to occur. The local WIB will have the opportunity to set increasing levels of expectations for these events and these services.

The Workforce Investment Board will make decisions relating to the One-Stop system and the basic requirements for the comprehensive One-Stop Career Center. Considerations of the local system shall evolve from among the following elements and other agencies as well:

- 1) The definition of a truly comprehensive One-Stop Career Center as it relates to the co-location of a minimum number of Partners as well as services. For example, there would be a specific number of entities located together with a minimum number of services before a center could be considered

comprehensive. Existing centers who do not meet these criteria would have an opportunity to involve additional partners to this level, or to become satellite service centers. Prior investments could be maintained in this manner.

- 2) Information on the satellite service sites would need to be defined for comparability throughout the area. Cost allocations of on-site partners sharing their percentage of the operational cost have been developed. Decisions on handling income generated from the centers for customized services or services beyond the basic services in an agency would have to be discussed.
- 3) The coordination of service delivery, such as core services which are required to be delivered at a center and which may be delivered by more than one agency would need to be outlined. Training costs for participants may be shared in some instances for the benefit of the funding agencies.
- 4) Non-traditional work hours and the placement of staff for special occasions or needs may also be addressed. For example, the comprehensive center might stay open one night a week or one Saturday a month, or some specified timeframe that would be known to the public on an expanded schedule.
- 5) Resource Areas may require a common definition with minimum types of materials available or a minimum technology level available in the resource area.
- 6) Processing the flow of clients to share responsibility among the involved Partners and to share outcomes.
- 7) Career Centers need to continue to meet business needs in working with local government, workforce development, employers, and continue to meet the needs of participants.
- 8) Cost allocation and resource sharing are only beginning to be implemented at the levels addressed in the DOL directives and vision. Career Centers still have a financial challenge in directing state agency and federal budgets to meet the needs of career centers and their customers. Currently the WKWIB is funding a majority of the equipment and related infrastructure needs through incentive funding. As allocations decrease, then we may find less incentive money to support the needs of the career centers and it will default to the agencies involved to support all the career center needs.

WIA Title I core and intensive services shall be performed by the staff of the Pennyriple Area Development District as the administrative entity grant recipient for the nine (9) counties of the Pennyriple Area Development District, with like services to be performed in the eight (8) counties known as the Purchase Area by the Purchase Area Development District. This method of service delivery has been approved by the chief elected officials in the consortium agreement due to past experience and the highest levels of demonstrated effectiveness of the two (2) local agencies in past performance.

- B. How does the local board ensure continuous improvement of eligible providers of services?

The local board can help to ensure continuous improvement of eligible providers by applying the additional elements of the DOL accountability system to the provider performance. Additional continuous improvement quality programs as the Baldrige

Principles of Quality Management and the Department of Labor's self-assessment continuous improvement program. The OET "Aim High" reports are shared with staff and career center partners for discussion on dislocated worker services and strategies. The WKWIB has implemented a customer service survey card system at the Career Centers to get continual feedback for improvements. Continuous review and oversight of the outcomes will be the foremost strategy for the board to apply, along with the assistance of the chief elected official in this process. Quarterly staff reviews with career center staff, management, and the WKWIB keep all partners aware of performance outcomes. Customer satisfaction information will also be available for WIA improvement planning use.

- C. How does the local board ensure that providers meet the employment needs of local employers and participants?

Provider offerings must meet the test of occupational demand training as well as have providers who meet performance criteria. Self-sufficiency wages are also a test of employment needs that are easily documentable. Customer service surveys will now be an additional tool to demonstrate the ability to meet needs.

The local board will have additional tools with performance criteria and detailed statistical information with the new DOL accountability tools. This, plus the provider requirements of ITAs coupled with youth program accountability criteria should ensure this.

#### 4. **Adult and Dislocated Worker Employment and Training Opportunities**

- A. State the type of employment opportunities available in your area for the adult and dislocated worker population.

The types of employment opportunities available in the local WIA for adult and dislocated workers are fairly broad in the current atmosphere. Generally good basic skills and a GED will meet the highest occupational area demands of the service and retail industry, but this occupational area will not address the self-sufficiency wage needs of many job seekers. Technical workers in medical and personal care areas are in need, but will require short-term to multi-year training to obtain job placements; however, wages are normally in the medium to high range. Short-term training as truck driving, and other sources leading to entrepreneurial areas, are helpful for the dislocated worker. Manufacturing growth has offered a large variety of occupations, but skills and experience make competition stiff for the high wage placement. Some dislocated workers from other manufacturing segments may be extremely successful here with some technical skills enhancements. The area is beginning to see replacement jobs entering areas where there were workforce surpluses due to high numbers of dislocated workers. As the demand for an experienced workforce increases, we hope to find the replacement jobs even more prevalent.

See Section 2-A. for additional discussion on occupational areas for placement.

- B. Describe the type of training activities to be offered to meet these employment opportunities for the adult and dislocated worker population.

WIA Title I funds for adult and dislocated workers will be used to provide all required services including core, intensive, and training services. The delivery of these services to adults and dislocated workers through comprehensive one-stop center(s) should maximize the utilization of funds by targeting increased outreach and marketing, by

offering a more comprehensive assessment and support of the individual's needs, by providing cross-trained staff for assistance, by cultivating additional partnerships with additional public and private partners, by heightening multi-agency awareness of targeted customer outcomes and required performance indicators. To provide the most effective customer service, training options are varied and include but are not limited to: occupational skills, pre-vocational training, on-the-job training, and customized training. Supportive services for adult and dislocated workers are allowable activities including needs related payments to participants. All such payments will be made in accordance with the Act and the local policies established by the local WIB. Such payments shall only be provided if such funds are not otherwise available through the referral to or assistance from coordinating agencies.

Local activities and policies developed by the local WIB shall recognize the empowerment of customer choice by the utilization of "Individual Training Accounts" (ITAs) to offer a comprehensive list of eligible training providers for the individual's selection as well as varied training options.

- C. Describe the Individual Training Account (ITA) system and exceptions chosen for your area which are allowed in accordance with section 134(d) (4)(G)(ii) and 663.430.

The ITA is established on behalf of the participant with an identified eligible provider of their choice. This action is taken at the discretion of the participant in consultation with the case management staff. The local WIB's policy includes this system criterion:

- 1) Duration guidelines on the ITA;
- 2) Funding limitation guidelines on the ITA;
- 3) Re-occurring use of the ITA;
- 4) Correlation guidelines of the Individual Employment Plan and the ITA;
- 5) Method of payment/financing
- 6) Examination of additional funding/support resources.
- 7) Occupational demand

All potential providers are maintained on a system as identified by the State with the local area designating allowable local providers.

The area will address specific policy exceptions to the Individual Training Account (ITA) as allowable under the Act in Section 134(d) (4) (G) (ii) and 663.430 to provide for contracted activity. Exception includes the use of on-the-job training (OJT) and the use of customized training. Customized training for the timely multi-hiring needs of a business/industry group(s) that would 1) relate to an immediate occupational related placement opportunity, or 2) relate to the upgrade of wage/skills within the same business/industry group.

Special population groups would be considered for procured/contracted training only if the training activity would relate to a specific and timely business/industry occupational hiring need.

## 5. Local Board Coordination with State Rapid Response

Describe how the Local Board will coordinate local activities with statewide rapid response activities.

Kentucky's Rapid Response Team (RRT) is organizationally located in the Education Cabinet, Office of Employment and (OET), Division of Workforce Services (DWS). The Office of Employment and Training is the designated state agency for receipt of the Worker Adjustment

and Retraining Notifications (WARN). When rapid response is a State Rapid Response Team (SRRT) required activity, the SRRT is the lead entity for contacting local WIB's, employers, unions, etc., to coordinate services for dislocations of more than 50 individuals. Upon receipt of a WARN notification, the RRT will notify the Purchase/Pennyriple Workforce Investment Area within 48 hours to coordinate all available services to respond to the WARN notification. If a WARN letter should be inadvertently received by the local Purchase/Pennyriple Workforce Investment Area, it will be immediately faxed/mailed to the Office of Employment and Training, Division of Workforce Services, Rapid Response Team Coordinator. When the local Purchase/Pennyriple Workforce Investment Area learns of a substantial layoff or plant closure from a source other than a WARN notification before the State's Rapid Response Team is notified, the Purchase/Pennyriple Workforce Investment Area will contact the Rapid Response Team prior to contacting employers regarding the layoff or closure. Contacting the Rapid Response Team first ensures coordination and prevents a duplication of effort from the local and state actions.

The West Kentucky LARR team\* will consist of: 1) Three (3) Office of Employment and Training trained and certified specialists who will handle the majority of the EKOS employer module checking, data entry and verification for RR events, re-employment solution details in the meetings, and UI basics 2) Three (3) trained LWIA specialists who will generally act as the RR lead for the majority of all RR events, provide majority of DW program information, training options, tabulate surveys and complete the RR50, 3) Other career center partner agencies (Adult Education, Office of Vocational Rehabilitation, KCTCS, Local Health Departments) who will consult and/or attend meeting as needed to best meet the needs of the employees, and 4) A lead LARR coordinator (Juliet Allen) and assistant LARR coordinator who will consult with team member hearing about the layoff and choose team member(s) best able to handle the RR event.

\* team members as well as size of the team may change due to changes in responsibilities but the West KY team will continue to retrain current and appropriately train new members to best meet the needs of the area.

The LARR team will take the lead in Rapid Response activities for the Purchase/Pennyriple Area Development Districts. As the West Kentucky Workforce Investment Board covers 17 counties, 4 comprehensive centers and multiple full and partial service affiliate sites, the Team division within the WK LARRT and will be coordinated and monitored by the LARRC/ALARRC to assure consistency and quality, but each rapid response event will be handled by chosen team members following communication with the LARRC/ALARRC and those team members most closely located to, and qualified to handle, the specifics of the event. This flexible team approach will be vital to our continued success. Training, **Re-employment and Career Center services (TRaC)** sessions will be planned as a part of all Trade affected layoffs (and larger non-trade layoffs). The purpose of these sessions is to provide an opportunity for all the career center staff and the individual to jump-start and streamline the service and eligibility process for **Career Center services**. The West KT LARR team will coordinate with the **State Rapid Response Team who** will be notified of all layoffs and be Principal recipient of all original WARN notifications as well as provide support, guidance, monitoring and technical assistance to all KY LARR teams. The Area Development Districts are in a position, with their economic development programs, to be of assistance by coordination with the local officials and the Economic Development Cabinet in attempting to divert plant closures or lay-offs.

## 6. Youth Activities

A. State the type and availability of activities for youth in your area.

The West Kentucky Workforce Investment Board (WKWIB) shall follow the fiscal agent's procurement policy in competitively securing youth services within the seventeen counties of the Purchase/Pennyriple. These programs will work toward making sure that

students attain credentials, increase literacy, move on to employment or post-secondary education, and increase work readiness capabilities by providing work experiences and or internship with private and public sector businesses, offer or refer to occupational skills training. These activities will be available to youth ages 16-21 that are eligible for WIA services. The services will be provided through contractors in the various counties attained through procurement process where available.

The WKWIB shall move toward the current vision of USDOL and continually strive for improvement in our youth programs within the full extent of the law and use any state or federal waivers in place to meet the needs of the youth in the WKWIB. The referral processes for the youth to assure they receive all the services that they need to be successful and overcome any barriers to employment will include all partner agencies under WIA as well as local agencies that provide any of the needed youth elements as described in the law and regulations. For example, there are several good adult educational efforts in the local area which produce not only GED results, but increased basic skills results for successful testing by area industries, Kentucky Employability Certificates, and Work Keys assessments. Literacy efforts for older youth as a whole are addressed by Literacy Councils through adult education or separate efforts of the P-16 Councils. The Earl C. Clement Job Corp site is located in the local WIA and receives youth referrals locally and across the region. School-to-Work efforts have completed federal funded activities in all but one site. Youth internship, work experience, and apprenticeship are available and utilized in the area as well as On the Job Training for older youth.

B. Describe the type of activities to be offered to the youth population.

The West Kentucky Workforce Investment Board shall have a local Youth Council to provide coordination with program recommendations in seeking services for youth among local educational providers and in the avoidance of duplication of youth services. As described under the Act, the local Board shall ensure that membership on the local Youth Council includes individuals from groups or agencies familiar with youth needs and activities. Membership shall also draw from parents, or participants, or other community members who may be knowledgeable or involved in the design of youth activities.

Youth served shall meet the economically disadvantaged criteria as specified in the Act. As required under the Act, a minimum of 30% of the funds shall be allocated to program activities serving out-of-school youth. The LWIA attempts to target at least 50% out of school youth. Out-of-school youth shall be defined as an eligible youth that is a school dropout; or an eligible youth that has received a secondary school diploma, or its' equivalent, but is basic skills deficient, unemployed, or underemployed.

The purpose of the youth activities and policies shall be toward one, or more, of the following goals:

- 1) To provide effective and comprehensive activities this shall include options for improving educational and skill competencies plus providing effective connections to employers.
- 2) To ensure on-going mentoring activities with adults.
- 3) To provide opportunities for training.
- 4) To provide continued supportive services for youth.
- 5) To provide incentives for recognition and achievement.
- 6) To provide opportunities for youth in activities related to leadership, development, decision making, citizenship, and community service.

Program elements to be required of acceptable youth programs shall be drawn from the following as described in Section 129 of the Act:

- Tutoring, study skills training, and instruction leading to completing of secondary school;
- Alternative secondary school services, as appropriate;
- Summer employment opportunities that are directly linked to academic and occupational learning;
- Paid and unpaid work experience, including internships and job shadowing, as appropriate;
- Occupational skills training, as appropriate;
- Leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social behaviors during non-school hours as found to be appropriate;
- Supportive services
- Adult mentoring for the period of participation and a subsequent period, for a total of not less than 12 months.
- Follow-up services for not less than 12 months after the completion of participation, as appropriate; and
- Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, as appropriate.

Youth activities shall be made available in the One-Stop Career Centers whenever possible and appropriate. Outreach, eligibility and in-take shall be performed through a joint effort among WIA staff, contractors and the One-Stop Centers to best serve the youth population. Youth program activities as described above shall be awarded via a competitive procurement/negotiation process. Competitive processes are described in the "Procurement" section.

No activity may be funded for eligible youth that are not school dropouts if the participation in such an activity might conceivably interfere with or replace the regular academic requirements of the youth. No activity shall be funded to support School-to-Work activities as funded under the School to Work Act of 1994, unless the program activities serve only those individuals who would meet the eligibility criteria under the WIA of 1998.

Opportunities shall be offered to successful youth program alumni as volunteers under the program to provide mentoring, tutoring, and other appropriate activities.

- C. List the successful providers of each of the above activities.

The action of the Youth Council, Review Committee and the local Workforce Investment Board shall be used in the competitive selection of successful providers of youth services. The providers who are chosen will operate for one year with the option of a second year based upon successful performance and funding levels.

Under the development of a detailed policy by the local WIB, "Individual Training Accounts" (ITA's) may be utilized for youth, ages 18 and above, who are eligible for training services under the adult and dislocated worker program. The youth may receive the ITA through the adult/dislocated worker program as noted at §664.510. Through DOL approval of a waiver submitted by the state of Kentucky, older and/or out of school youth may also be served under ITA as noted in local policy. Historically, successful local providers have been existing educational institutions in most of the local WIA due to the rural nature of the area. These include boards of education, adult education/literacy providers, post-secondary institutions, and the KCTCS system. Community based organizations often apply to be providers of programs. Occasionally, for-profit and non-profit entities other than community based organizations apply.

## 7. Fiscal Agent

Identify the fiscal agent, or the entity responsible for the disbursement of grant funds.

The Consortium Agreement developed by the local governments of the seventeen (17) counties of the Purchase/Pennyrile Workforce Investment Area identifies the Pennyrile Area Development District (Pennyrile ADD) as the grant subrecipient. The Pennyrile ADD has the largest segment of population between the Purchase and Pennyrile Area Development Districts.

## 8. Procurement

Describe the competitive process to be used to award grants and contracts for activities carried out under Title I of WIA. Include the process for the procurement of training services provided outside the ITA process (section 134(d) (4) (G)).

The request for proposal, with any special restrictive policy instructions, shall be forwarded to all local educational agencies, local governments, state agencies, and non-profit agencies, within the WIA and any other entities requesting the Solicitation for Proposal. The West Kentucky Workforce Investment Board (WKWIB) and its review committee through its normal proposal selection process under the procurement regulations and the WKWIB procurement process outline shall accomplish the selection of service providers. This process includes the application of the WKWIB's established restrictions and review for programs as outlined in the request for proposals.

Guidance within the Office of Budget and Management Circulars (OMB) and the Kentucky Revised Statute, KRS-45A, is being utilized in the contracting and procurement processes along with the fiscal agent's procurement policy. The local workforce investment area will develop a request for proposals procurement outline utilizing the above references as cited. The request for proposals letters and application packets and proposals guidebooks shall be forwarded to service providers. A list of potential providers receiving proposals shall be logged and maintained on file for future use. The administrative entity shall maintain a list of service providers for the local workforce area composed of currently contracted service providers, area coordination agencies, community based organizations, local educational agencies, and others providing written request for such inclusion. The potential service provider file includes current WKWIB service providers, mandated coordination/linkage agencies, public agencies, and requests from private vendors.

The request for proposals informs the service provider that the application narrative must adhere to the identified target groups, occupational needs, performance criteria and program policy as shall be identified and noted in the request for proposals. The program selection criteria shall be issued to the service provider as an adherence guideline in the request for proposals. The WKWIB, through its subgroups or committees may impose specific policies or priorities providing the proposal applicants have been provided the opportunity to conform to any newly applied law, policy or procedure after proposal receipt.

Selection of service providers shall be based on the demonstrated effectiveness of the agency or organization in delivering comparable services on the basis of meeting performance goals, cost, and quality of service and identified need. Programs with past results as 1) relating to performance criteria, and 2) years of program experience, shall be required to provide information to the WKWIB review committee and any subgroup(s) for funding consideration as to demonstrated effectiveness of past program efforts. The subgroup and staff shall prepare a recommendation for consideration. The WKWIB, or any of its subgroups, may also review and evaluate, and/ or terminate any existing program regarding the conditions of selection for continued funding under criteria outlined in the request for proposals.

Criteria that may be considered by the West Kentucky WIB to be utilized in the selection of service providers and referenced in the request for proposals are as follows:

- (a) No occupational skills training program proposal shall be entered into by any participant unless the levels of skills in the program are approved by the WIB.
- (b) Acceptable proposals must demonstrate a reasonable and justified expectation of reaching DOL performance criteria as may be negotiated by the Governor with the local WIB.
- (c) The primary consideration in selecting service providers shall be the demonstrated ability of the agency to delivery comparable or related services at a reasonable cost while meeting performance goals and providing quality training.
- (d) Targeted or special populations served by a proposed program must be consistent with the targeted groups identified by the local WIB.
- (e) Priority consideration will be given to proposals demonstrating services at a competitive training cost per participant.
- (f) Assurance must be given by the applicant of adequate fiscal and program management capabilities.
- (g) Funds cannot be used to duplicate facilities or services already provided by coordinating agencies available in the local area from Federal, state, or local sources unless it is demonstrated that an alternate would be more effective or more likely to achieve the performance criteria and or requirements of the Act.
- (h) If applicable, a review of the past performance of an applicant's programs under previous federal/state employment and training programs will be considered but will not cause these programs to have preference over one without prior experience.
- (i) Consideration shall be given to the unemployment rate of the proposed proposal area to be served as compared to the local or state unemployment figures.
- (j) Coordination and linkage plans must be addressed by the program applicant with special consideration given to referral to support services.

Several documented review activities shall be referenced in the request for proposals. The request for proposals shall target multi-staff rating sheets with aggregate scores provided to the WKWIB review committee for all first year procurement. Allowability of cost is reviewed per applicant on a per proposal basis by the application of reasonable, necessary, and allocable cost principles to projected proposal budgets. Price comparisons are given with cost analysis performed by the staff as well. Existing programs are reviewed by the WKWIB with specific comments in any problem areas of performance, slots, expenditures, or administration. All information on existing programs is passed along to the review committee. This procurement process promotes a full and open competition by publicly announcing all requests for proposals processes and encouraging competition with specified requirements for review as outlined in the request for proposals guide/WIA law. The procurement process as briefly outlined within the Guide accompanying the request for proposals application packet notes the following:

- (1) A clear and concise description of information to be provided in the response;
- (2) Required documents to be submitted and reviewed prior to proposal review.
- (3) Background information requirements on the agency as it may relate to administrative ability and expertise in the area.
- (4) Outline of the LWIA's review process plus examples of some of the review forms relating to competitive cost/price areas.
- (5) Conflict of interest and nepotism definitions and review policies within the LWIA.

The request for proposals shall be forwarded to all local and regional secondary and post-secondary educational agencies plus other training entities within the region. The request for proposals shall also be forwarded to local governmental entities, state agencies, and non-profit organizations as well as organizations requested to be maintained on a bidders' list. Any agency may request to be added to the bidders' list. The bidders' list is maintained by the local WIA and is reviewed annually. Proposals are also posted on various websites.

The WKWIB has a written conflict of interest policy regarding the actions of the WIB membership during the proposal review process. The local WKWIB staff also adheres to specific guidelines

during the request for proposals process as outlined in the WKWIB policies. For example, once the request for proposals is issued, staff shall no longer discuss possible funding scenarios except during a specified negotiation session in which a minimum of two staff participate with the potential provider. Staff must also maintain a set of procurement notes on each potential provider during the review process to track all contact with the potential provider. The administrative entity has a "Code of Ethical Conduct" which includes specific statements relating to the staff's actions during any procurement process.

The WKWIB shall adhere to the appropriate method of procurement as outlined in the Act and Regulations depending on the service or item being procured and its purchase price. Due to the WKWIB being a rural area with limited providers competing for services, proposals may be competitive but some may be non-competitive. Non-competition may exist due to the fact that only one local entity in a county or area to be served may be interested in providing services in the many rural areas. In such instances, established documentation of provider ability, past experience, and technical evaluations of the proposals are utilized. Historical procurement response numbers are available for reference. The procurement policies of the fiscal agent also allows contracts with state agencies without competitive procurement processes but the reasonableness of cost is established.

Small purchase procedures, as outlined in the policy or state price contract items, are most often used for items purchased by the local WIA or its subcontractors.

A cost/price analysis is done on each proposal received by the local WIA for funding, plus any revisions to the original proposal. A required budget is available from each potential provider for that analysis. Any profit arising from the program operation will be outlined and noted by line item in the budget for staff review and comparison. The local WIA may limit profit to a maximum of 10% with approved amounts normally below this limitation and based upon local reasonableness" tests. Units of local governments shall only be paid under a cost reimbursement basis for services as noted under the regulations and in the contract. The required line-item budget submitted with the proposal provides for a detailed review for staff to ensure that charges shall be made in accordance with the allowable cost category and limitations as outlined in the Regulations and Act. Only those contracted, reasonable and allowable costs may be charged under the subcontract.

The local WKWIB shall maintain a reliable oversight system. Each contracted service provider receives a technical assistance visit within the first 45 to 90 days of operation with a full monitoring visit occurring later in the contract period. Desk-top reviews and on-site monitoring consider contracted training expectations including enrollment levels, training activity, and performance, among other requirements as noted in the contract or regulations. Specific contract provisions are included to meet the required contract elements as outlined in the Regulations. The basis of payment is also included in the contract and previously outlined in the proposal request. Contract administration issues are outlined not only in the contract language but also in the local WKWIB's "Forms and Procedures Manual" of which all subcontractors receive a copy.

The results of this oversight system allow the local WIB to modify contract amounts based on expenditure levels and participant service levels. Corrective action on serious contract issues can result in contract modifications or terminations. Results from the monitoring activity and oversight are provided on potential providers during the review process that had previously held contracts with other federal/state employment and training programs.

Procurement transactions between units of local governments shall be conducted on a cost reimbursable basis. Procurement transactions with schools or universities which are recognized as a part of State or local government have tuition, or costs charged at catalogued prices, or at established, published fees shall be treated in the same manner. These fees are not broken out by items comprising the cost, but established at public costs.

Contract provisions shall be included by the local WIA to ensure that the procured service, method of payment, duration of contract, and compliance with the specific WIA law and regulations. Assurances of nondiscrimination and equal opportunity are also required items. The grievance protest procedures regarding a procurement decision by the WIB are outlined in proposal guidelines. The policy states that any grievance or complaint relating to the procurement process shall be addressed in writing to the WKWIB Review Chairman who shall then address the issue with the full Review Committee. There is a two (2) week response time for the complaint to be acknowledged by the complaining party. No complaint shall be addressed to the full local WIB unless it is the choice of the Review Committee or the Executive Committee to do so.

Extensive records and documentation shall be maintained on each potential provider submitting a proposal for review. An original proposal and each successive proposal submitted after negotiations, or upon discussion with the review committee, are maintained. Notes are maintained by staff relating to requested revisions, negotiation discussions, and reviews of submitted materials. All of these items become a part of the procurement file. Extensive material is also printed as a part of the review committee packet to show the evolution of the proposals and any issues reviewed by staff.

The local WIA has the responsibility of ascertaining the legal contracting availability/status of potential providers. The local WIA obtains and maintains completed forms from all potential providers regarding their status pertaining to federal contracting requirements.

## 9. Priority System

When funds allocated to the area are not sufficient to serve all Title I adults applying for intensive and training services, priority is given to recipients of public assistance and low income individuals.

- A. If funding is insufficient to serve all public assistance and low income individuals, describe the process to be used to develop a priority system to select the specific individuals to be served.

The 17-county workforce investment area of the Purchase/Pennyrile, WKWIB is mainly rural with pockets of poverty amidst low unemployment with some concentrations of manufacturing in the larger and more populated counties. Many of the smaller counties depend on services and retail employment as their employment base. It is unlikely that funds allocated to the area will be sufficient to meet the need or fulfill the general demand for services from all the population. We do feel that additional training funds may be available from outside the Workforce Investment Act to assist with training resources for individuals receiving Temporary Assistance to Needy Families (TANF) and other types of public assistance. Therefore, those economically disadvantaged individuals seeking assistance and in need of services should be able to receive additional training resources outside just the WIA resources. Therefore, the WKWIB will also be able to identify additional priorities of other individuals on which WIA resources may be utilized.

Allowing individuals to receive intensive/training services that are beyond the basic economically disadvantaged criteria and may have incomes of up to 200% of the specified economically disadvantaged criteria may also target the unemployed and the underemployed. Special consideration may also be given to special populations including individuals without GEDs/High School diplomas as well as basic skills deficient individuals. The WKWIB and local officials feel very strongly the need to provide a priority to those individuals residing and working in the local WIA. Specific timeframes for priority review will be noted on the priority-rating sheet and may be adjusted if there are large fluctuations in applicant or if available resources should

dramatically increase or decrease. The application date may be applied as the deciding factor within equal priority rating groups.

These factors were developed by the West Kentucky WIB and approved by the local officials. Prioritization is subject to further analysis, systems review and modifications as necessary to provide the greatest balance of service delivery in assisting the needs of the seventeen-(17) counties of the WKWIB. All service priority is dependent upon available funds. More details are listed in the following section.

B. Describe the priority system developed for use by the one-stop operator.

Core services will be universally available to adults and dislocated workers, subject only to regulatory requirements regarding selective service registration, citizenship, and immigration.

Initially, priority for intensive and training services will be limited to individuals whose family income is equal to or less than 200 percent of the lower living standard income level "LLSIL." These individuals represent a substantial portion of the population in the Purchase/Pennyrite service area, categorized by some as the "working poor". Within this income tier, the priorities to receive services may be considered under the following with weighted points as outlined in a priority review sheet utilized by the WIA Title I staff.

1. Individuals who have been employed full/part time within the last 6 months.
2. Individuals who are currently unemployed.
3. Special population individuals.
4. Individuals whose wages were at minimum wage on their last job.
5. Individual who is only income earner, or the main income for a family.
6. Individual who resides/employed in the local WIA area.
7. Individual who receives TANF, food stamps, SSI.

A minimum point average must be attained for an individual to be served. Residency or employment status within the 17-county area is a factor that is heavily weighted in the criteria. Individuals receiving welfare/payments also receive a heavier weighted criteria point rating.

After determining eligibility for serving an adult or dislocated worker into intensive or training services, services shall continue to be provided as necessary at the discretion of the one-stop operator who represents WIA Title I in the one-stop operational consortium. The goal shall be achievement of self-sufficiency for the individual and their family, including career advancement and steps toward lifelong learning, as appropriate to the needs of the individual and his/her goals.

Priority criteria shall be applied for a specified selection period, i.e. one week; with selection for intensive and training services made from those individuals receiving the base minimum required point criteria and above, based on the funding availability. Those individuals will then be offered the opportunity to enroll in services. Criteria for priority ratings will be filed as documentation. The WKWIB may choose a higher or lower priority minimum for services based on any unexpected change in funding availability.

## 10. Monitoring

Each LWIA must conduct regular oversight and monitoring of the activities of contractors and subrecipients at a minimum of one (1) on-site visit per program year.

**NOTE: Have the local monitoring schedule available for review by State staff.**

- A. Describe the LWIA monitoring system of recipients and subrecipients and all grants awarded and funds expended under WIA Title I to determine compliance with the Act and regulations.

Any monitoring guidelines/policies addressed by the Governor shall be adhered to by the WIA in the formulation of additional policies within the WIA. Basic roles and responsibilities of the WIB are to be outlined in the CEO/WIB Agreement. The Executive committee may review each program in depth at a minimum of once a year and are invited to join staff on monitoring visits. Copies of the staff monitoring reports are available to the WKWIB membership or subgroups as requested.

- 1) Describe how the LWIA determines, through on-site monitoring, that expenditures have been made against cost categories and within cost limitations specified in the Act and the regulations and contract/agreement.

The WKWIB staff will do an in-depth review of each contracted program at least once per year. This review includes statistics, expenditures, performance standards outcomes, and any staff issued monitoring reports. Copies of staff originated monitoring reports are sent to the WIB Director and reviewed by the Executive Committee of the WIB as needed. ITA monitoring will be performed by written desk-top reviews to cover the same areas of concern.

- 2) Describe how the LWIA determines compliance with program and other provisions of the Act, regulations, or contract/agreement.

The WIA's Monitoring Plan will include various monitoring tools specialized to the oversight emphasis of the particular contractual or obligational arrangement. Each type of contract/agreement specifically addresses 1) scope of monitoring, 2) frequency of the monitoring, 3) system of reporting outcomes, 4) procedures for resolutions.

Program contracts are monitored for contract and WIA regulatory compliance, service levels, and fiscal issues. Performance standards are applied to all program contracts plus program quality and other positive related outcomes. Fiscal issues include expenditure rates, cost allowability/cost allocation. Participant service levels, targeted group services, and any participant eligibility packets are also reviewed. Specific areas within the monitoring tool will address these areas. If necessary, fiscal management staff will perform the fiscal management review section for a program contract.

Obligations and agreements for Individual Training Accounts are also to be monitored. A different tool will be developed for this activity. ITA monitoring will be primarily performed through a desk-top review instrument which includes written responses to questions on participant/training/financial information. Findings or issues will be so noted for resolution. Some resolution may involve on-site provider visits to gather information or additional documentation. Written reports will be issued for in-house use and may also be directed to the provider and/or the WIB. Specifics reviewed may include class registration verification, billings review, class requirements, student attendance/performance, placements/outcomes. Individual student interviews may be done, if an on-site monitoring visit is necessary.

Work activity, i.e. work experience, internship, etc. agreements will be monitored through a separate monitoring tool. Monitored areas may include, but are not limited to, training activities and outcomes, supervision, participant attendance and performance, timesheet submission and check distribution, participant eligibility, worksite appropriateness issues, etc.

On-the-Job training contracts are reviewed by a separate monitoring tool. Monitored areas may include, but are not limited to, training hours and activities, worksite supervision/guidance, time and attendance, payroll/reimbursement, participant training achievements/performance criteria, participant outcomes.

Resolutions to corrective action may take place through the Executive committee of the WKWIB depending upon the urgency of the resolution and taken to the full board as needed. Program performance and expenditure information will be regularly provided to all WIB membership as a part of WIB meetings. The WKWIB staff and the Review committee of the WKWIB will make funding recommendations for any existing programs to be reviewed for future funding.

- 3) Describe how the LWIA determines whether technical assistance is required and appropriate.

Written reports from on-site monitoring shall be completed and signed by WIA staff and issued within thirty (30) calendar days of the visit. Shorter contract / vendor periods than annual periods may necessitate that the report be issued in a shorter timeframe. Any necessary explanations or comments will be attached. Copies shall be distributed to the service provider, in-house staff, Central Records Unit (CRU), to the WIB Chair, and any other applicable membership subgroups. The service provider should respond to serious findings within a 10-day period. Follow up to the on-site monitoring will occur within 20 days. WKWIB members may accompany WIA staff during any such visits. The WKWIB and its fiscal agent will attempt to make every effort to recover funds from disallowed or ineligible costs including the pursuit of legal action against the second party if applicable.

Desk-top reviews are written reports that will normally be in a summary or comparison manner. They are most often distributed to in-house staff and WIB members. Performance standards and expenditure desk-top reviews may often be shared with providers. ITA reviews will be performed by desk-top monitoring.

At the Chairman's discretion, sub committee's can be created to more closely examine provider performance and monitoring of existing contracts requesting additional funding or continued funding from the WKWIB.

- B. Describe how the LWIA monitoring system will determine that acceptable progress is made in addressing deficiencies identified during the on-site monitoring visit and how prompt corrective action is taken.

The corrective action procedures that may be adopted are outlined below:

A contractor problem, as defined by the Workforce Investment Board, is any violation of the plan, the policies or the contract. Any discrepancy which may comply with the regulations listed above but is an outstanding concern may be considered a problem.

Process for resolving the concerns are as follows:

1. Inform the Service Provider of the problem either on-site during a monitoring visit or upon recognition of a problem; recommend a solution or ask the Service Provider to recommend a solution.
2. Send a written report of the problem to the WIB, and Service Provider.
3. Verify within 20 days that corrective action has been taken and revisit the site (if applicable).
4. If the Service Provider has put corrective actions in place by the previous date, the Service Provider will have 10 additional days to comply with the regulations or suggested corrections.
5. At the end of an additional 10 days, the WIA representative will make an on site visit (if applicable) for final determination of compliance.
6. If there is still non-compliance, a meeting of the WIB representative and Service Provider will take place to discuss the problem and make a recommendation for action to be taken.
7. Final decision rests with the local WIB.
8. Non-compliance with disregard of corrective action may result in the contract receiving a minimum of a 30-day written notification of contract cancellation as noted in the contract language.

- C. Explain how the LWIA will ensure that program quality and outcomes meet the objectives of the Act, regulations, and the local plan, including the provision of services by one-stop centers, eligible providers of training services, and eligible providers of youth activities.

The local WIA shall adhere to the procedures for the provision of policy and program guidance for all activities of the local WIB in accordance with the Act and Regulations.

The local WIB shall maintain procedures through its subgroups, functioning under the approval and guidance of the local WIB, to provide required oversight roles and reviews. This action of the WIB is shared with local officials for their in-put and involvement. Roles and responsibilities of policy oversight were originally outlined in the CEO/WIB agreement regarding the WIB members, the elected official, and the WKWIB staff under the Area Development Districts.

Current regulations emphasize the role of the WIB and the Chief Elected Officials in an independent review and oversight of the WIA programs and activities. The proposed CEO-WIB Agreement outlines basic responsibilities relating to the oversight of WIA programs and activities.

Staff roles are to supply regulatory information and guidance from existing policies. The local WIB then applies information and policies to their review and decision making. Locally established WIB policies are always subject to review and modification by the local WIB as the needs and performance outcomes of WIA change.

The local WKWIB shall devise a "Monitoring and Evaluation Guidebook" and include references to monitoring frequency and type of monitoring.

Administrative program contracts shall receive a technical assistance visit in the first 45-60 days of operation. A formal monitoring visit shall take place after this initial technical assistance visit. Each contract shall be monitored on-site at least once during an annual contract period. Participant interviews, if applicable, shall be included in the process.

ITA vendor agreements shall be monitored by desktop review annually. The local WIA will strive to reach 100% of all vendors by on-site monitoring. Any agreement expending

over \$25,000 shall be monitored as a priority site. The WIA will not utilize "sampling" of these contracts.

Youth work agreements shall be monitored on-site at least once during the period of the agreement by the contractor.

On-the-job training contracts are all monitored at least once during the period of the agreement. Additional monitoring visits may be necessary if large numbers of participants are enrolled over a lengthy period.

Additional monitoring may be performed if an area of concern is identified. Additional monitoring will be done if performance concerns or administrative concerns are found during an on-site visit or desktop review. Desktop reviews should normally be performed once each quarter, at a minimum.

## 11. Grievance Procedure

Describe the procedure for handling any WIA grievance from a customer/participant. (Sections 667.600 - 667.650)

The local Workforce Investment area has a process for dealing with grievances and complaints from participants, partners or other customers affected by the Workforce Investment Act. Any providers of WIA programs/activities shall also have available a grievance and complaint process to deal with issues from participants and complaints from other customers affected by the Workforce Investment Act. Under WIA Section 188(a), complaints of discrimination from participants and other interested parties must be handled in accordance with WIA Section 188(b) and the U.S. Department of Labor nondiscrimination regulations implementing that section. Any grievant or complainant may pursue a remedy authorized under another Federal, State, or local law. Registrants of WIA's core/intensive services shall be supplied written information regarding the complaint/grievance procedure, and provide their signature for acknowledgement of the receipt of the information. The general procedure with the Office of the Inspector General "hotline" number shall be posted at all one-stop career centers within the area.

The local WIB will address additional issues of grievance and appeal policies under the procurement and the monitoring sections regarding program activity. Complaints involving criminal fraud shall be referred to directly or reported to the Office of the Inspector General, Office of Investigations or to the Corresponding Regional Inspector General for Investigations. Non-Criminal complaints shall be referred through the Department of Labor Incident Report System as per WIA's requirements. The local one-stop system shall also develop a system for informally resolving Partner complaints in the operation of the one-stop sites.

## **APPENDICES to Plan**

### **Appendix A:**

Copy of consortium agreement between Workforce Investment Area and all partners in the one-stop system.

### **Appendix B:**

As verification of notification to required individuals listed below, include a copy of the mailing list of the individuals usually notified of the availability of the plan to review:

- a. members of the public,
- b. representatives from business;
- c. representatives from labor organizations; and
- d. members of the local board.

### **Appendix C**

A copy of the form letter which was sent to all required parties shown on the mailing list.

### **Appendix D**

Copy of public comments received from required individuals, expressing disagreement with any part of the plan.

### **APPENDIX E**

A copy of the MOU between the local board and each one-stop partner specified in the WIA, section 121.