Agency for Human Resources Development

State Integrated Workforce Plan

PY 2012 – PY 2016

Assurance 9:

GWIB Policy (un-numbered)

Conflict of Interest

GUAM WORKFORCE INVESTMENT BOARD
GUAM DEPARTMENT OF LABOR
AGENCY FOR HUMAN RESOURCES DEVELOPMENT

APPROVED	RESPONSIBILITY	ORIGINATION DATE	NUMBER	PAGES
for Peter E. Gill GWIB Chairman	GWIB Members GDOL/AHRD Employees	11/29/07		2
TITLE: CONFLICT OF INTEREST POLICY				

SECTION I: PURPOSE

The Guam Workforce Investment Board (GWIB) and the Guam Department of Labor/Agency for Human Resources Development (GDOL/AHRD) are responsible for ensuring that its employees and board members conduct themselves in an unbiased manner and carry out the goals established for Guam's workforce system. Pursuant to Title 4 Guam Code Annotated (Chapter 15 Standard of Conduct for Elected Officers, Appointed Officers, and Public Employees of the Government of Guam), Title 5 Guam Code Annotated (Chapter 5 Guam Procurement Law), and the Workforce Investment Act of 1998, Title IB (Chapter 2, Section 117) the GWIB/GDOL/AHRD are responsible for guarding against conflicts of interest that may compromise their integrity and objectivity.

SECTION II: POLICY

The GWIB/GDOL/AHRD must ensure the integrity of their pursuits by taking steps to avoid a conflict of interest, or even the appearance of a conflict of interest. In doing so, board members should disclose potential conflicts before taking official board action, and so should employees of the department before participating in official proposal review processes or other procurement related activities. This policy provides a means to avoid a conflict or the appearance of conflict between financial or other personal interests and the goals and policies of the Guam Workforce Investment Board.

A conflict of interest exists if 1) a board member's vote leads to any form of immediate direct financial or personal gain for that member or for his or her family or the entity he or she represents; or 2) a board member or employee's judgment and discretion is or may be influenced or compromised by considerations of either personal gain or financial benefit.

The following are examples of activities or actions that create conflicts of interest:

- Consulting activities on behalf of the Guam Workforce Investment Board.
- The purchase of goods or services from businesses in which a board member or employee, or their family, has a financial interest, or as a result of such purchase, may directly benefit.
- Receipt of gifts, gratuities, loans, travel, fees, services, or special favors from those involved in the Guam workforce system.
- Holding of an ownership interest by a board member or employee's family in any real or personal property leased or purchased by the Board.
- Use of information received as a board member or employee for personal purposes.

Reviewed:
Revised:
Approved:

If a member of the board or an employee of the department has a conflict of interest, he or she may not vote or act on any matter relating to that interest or otherwise use their influence to benefit themselves or any family member. Furthermore, activities that are in violation of federal or local law, including the offering or acceptance of a bribe or kickback, are strictly prohibited.

SECTION III: PROCEDURE

Upon appointment and prior to taking any action on official workforce issues, GWIB members and GDOL/AHRD employees must sign conflict of interest statements acknowledging their responsibility to conduct themselves within the intent, spirit, and letter of Titles 4 and 5, Guam Code Annotated.

Disclosure of a board member or employee's conflict of interest must be presented in writing to the GWIB Chairperson or GDOL/AHRD Director(s).

If the GWIB or GDOL/AHRD Director(s) believes that this policy has been violated by a board member, a recommendation may be made to the Governor that the individual be removed as a member. Notwithstanding a recommendation, the Governor may remove a member of the board for violation of this policy.

Titles 4 and 5 of the GCA provide further governance for addressing identified conflicts of interest.

Agency for Human Resources Development

State Integrated Workforce Plan

PY 2012 – PY 2016

Assurances 17, 27 & 29

GWIB Resolution 12-06 approved 8/3/2012

And

GWIB Statement of Work:
Adult, Dislocated Workers & Youth Program

GUAM WORKFORCE INVESTMENT BOARD

RESOLUTION 12-06

A RESOLUTION ADOPTING THE IMPLEMENTATION OF THE STATEMENT OF WORK (SOW) AND ELIGIBLE TRAINING PROVIDER LIST (ETPL) APPLICATION

WHEREAS, the Guam Workforce Investment Board (GWIB) is tasked with the oversight and guidance of the Workforce Investment Act (WIA) on Guam and monitors the fiscal and programmatic activities of the Agency for Human Resource Development (AHRD), which is the primary recipient of WIA funding on Guam.

WHEREAS, the Board tasked an action team to look at the RFP process as it pertains to training providers currently affiliated with AHRD.

WHEREAS, upon review, the action team noted that the training provider contracts had over-reached the boundaries of training provider, and had begun taking responsibilities which should, by WIA regulations, fall under the purview of case management.

WHEREAS, the action team proposed a shift to a case manager focused program, with clear guidelines and directions which can be monitored by the Board through the SOW model.

WHEREAS, the SOW spells out the program outlines, case management responsibilities, and proposed outcomes, allowing the Board an opportunity to monitor monthly expenditures and program activities, while being more flexible and proactive to the changing workforce development needs of the island.

WHEREAS, the emphasis on program outcomes also produces a paradigm shift in AHRD; from an agency which has become part of the entitlement system, to as agency devoted to training and career progression.

WHEREAS, the SOW contains clear definitions of the WIA elements, from case managers to program performance measures; Summary: service levels and goals; Funds requested for services; Scope of Work: a detailed breakdown of how service will be provided; Program and Financial management: responsible personnel and guidance parameters; WIA Staff Job Descriptions: detailed descriptions as well as educational level and work experience requirements.

WHEREAS, in order to quickly engage the training providers needed to help shift towards demand-driven occupational training, an application has been created which asks providers to list their qualifications to provide training as well as any diplomas or certifications they provide.

WHEREAS, once approved by the Board, they become eligible to receive WIA clients through the AHRD case managers, giving the Board the flexibility to add or delete training providers based on the needs of the island's demand-driven occupations.

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Resolution

NOW THEREFORE BE IT RESOLVED, that the Guam Workforce Investment Board hereby adopts the implementation of the Scope of Work for WIA Adult, Dislocated Worker and Youth Programs and the Eligible Training Provider List Application.

Adopted this 3rd day of August 2012

ATTESTED:

For the GUAM WORKFORCE INVESTMENT BOARD

James Martinez, Chairman

Maria S. Connelley, Vice-Chair

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ATTESTED:

For the GUAM WORKFORCE INVESTMENT BOARD

James Martinez, Chairman

Maria S. Connelley, Vice-Chair

GUAM WORKFORCE INVESTMENT BOARD

STATEMENT OF WORK
WIA ADULT, DISLOCATED WORKERS & YOUTH PROGRAM

Release Date
May 1, 2012

For Performance Period
July 1, 2012 – June 30, 2013

BACKGROUND

The Workforce Investment Act (WIA) is the nation's principal workforce development legislation. In 1998, the enactment of the WIA was the first major reform of the nation's job training system in more than 15 years. Title I of the Act is designed to provide workforce investment activities through statewide and local one-stop systems that increases employment retention and earnings of participants, and increases occupational skills attainment by adults, dislocated workers and youth participants. The one-stop system through the delivery of core, intensive, and training services provide the information, advice, job search assistance, and training that are necessary to get and keep good jobs to the unemployed and/or underemployed individuals thereby providing employers with skilled workers.

The cornerstone of the workforce investment system is One-Stop service delivery that unifies numerous training, education and employment programs into a single, customer -friendly system in each community. The underlying notion of One-Stop is the coordination of programs, services and governance structures so that the customer has access to a seamless system of workforce investment services. Through the One-Stop system, the workforce investment system is a gateway to a wide variety of employment, training, educational and other human resource programs

SUBMISSION OF PROPOSED SCOPE OF WORK

The following must be included in the Proposed Scope of Work:

A. **2012 WIA ADULT, DISLOCATED WORKERS & YOUTH PROPOSAL SUMMARY**

B. **(PROJECT DESCRIPTION)** – This portion should give a clear picture of the design of the program, the anticipated outcomes, and the capability of the provider to deliver the proposed services. Provider is to answer **each question** under Sections A – H. Sections A-H should follow the alphabetical and numerical sequence. **Answers to the Questions should be typed under each question.**

C. BUDGET – Complete the Budget Summary and supporting worksheets for all costs required to implement the program design.

D. MEMORANDUM OF UNDERSTANDING BETWEEN MANDATED ONE-STOP PARTNERS

E. **JOB DESCRIPTIONS AND RESUMES** – A Job Description – Workforce Investment Act form must be completed for each position funded by WIA Adult/DW/Youth funds.

F. CURRENT ORGANIZATION CHART

G. AGENCY GRIEVANCE PROCEDURES

I. ASSURANCES & CERTIFICATION FORMS SUBMITTED TO U.S. DEPARTMENT OF LABOR EMPLOYMENT AND TRAINING ADMINISTRATION

- **GENERAL ASSURANCES & CERTIFICATION FORM** - Requires signature of authorized representative & date.
- **CERTIFICATE REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS** Requires signature of authorized representative & date.
- **DRUG FREE CERTIFICATION** - Requires signature of authorized representative & date.
- **EQUAL OPPORTUNITY NON-DISCRIMINATION** (Complete form)
- **ASSURANCES NON-CONSTRUCTION PROGRAMS** - Requires signature of authorized representative & date.
- **COPELAND ACT CERTIFICATION** - Requires signature of authorized representative & date.

SERVICE DELIVERY REQUIREMENTS

This portion of the plan should give the Board a detailed and clear picture of the design of the program, anticipated outcomes, and the capability to deliver the proposed services.

PARTICIPANT SERVICES

Case Management: Case Management is a client-centered approach in the delivery of services, designed to prepare and coordinate comprehensive individual service strategies for participants to ensure access to necessary workforce investment activities and supportive services, and to provide job and career counseling during program participant and after placement.

Case management involves the following services, as well as maintaining, case files on each client who is enrolled and compiling all data regarding participants, activities and follow-up for entry into the State Workforce System. Case files must include the application, eligibility determination and verification, budget/income worksheets, assessment results, the Career Strategy Plan, and status changes for enrollment, activity changes, termination, and follow-up.

Participant Case Notes Documentation: WIA service providers are expected to provide case notes documentation through the Workforce System. Case notes are written detail of all services provided or referred. Case notes must detail from the beginning of services to the end of services provided to the participant. Dates on all activities must match dates in the case notes and the outcomes. Case notes are to be updated periodically in Workforce System and printed monthly and put in client's file folder.

Outreach and Recruitment: Efforts to broaden the composition of the pool of those considered for participation to include members of both sexes; the various race/ethnicity and age groups and individuals with disabilities. All recruitment brochures and information must contain the state Relay numbers for use by the hearing impaired, and must contain the "equal opportunity employer/program" statement. All material must also include the statement that "auxiliary aids and services are available upon request to individuals with disabilities." The Provider must comply with all related sections of 29 CFR Part 37.

Recruitment, eligibility and certification must be conducted in such a way to ensure that target populations are served, and that planned enrollment levels are met. Outreach and recruitment will be performed through coordination with other human service delivery agencies within Guam, especially those that are partners in the One-Stop Career Center. The Provider will coordinate with human service agencies to include but not limited to the following: the Public Schools, the Housing Authorities, Department of Social Services, Veterans' Services, Employment Security Commission, Health Department, Community Colleges, Community Based Organizations, Vocational Rehabilitation, Services for the Blind, Title V programs, and Department of Correction. Coordination will be achieved among service providers through WIA orientation/training sessions and written coordination agreements, if needed. Other agencies will be advised of the WIA services available through newspapers, fact sheets, and/or media public service announcements and through electronic linkages and the One-Stop Career Center.

Intake and Eligibility Determination/Verification: All participants in the workforce development program must meet all criteria as specified in the Act and Regulations. Provider must carefully examine and comply with the Law and WIA Regulations regarding eligibility requirements.

The Provider will verify participant eligibility consistent with the Guam's eligibility determination system and federal/state directives. A list of items for which the Board requires verification in addition to the state requirements will be provided. Therefore, the following system shall be established for verification of participant eligibility:

1. The Provider will be required to obtain necessary eligibility items to be verified as specified in Board and state eligibility guidelines. Documentation sources must be in accordance with the Board's guidelines.

2. The Provider will maintain any and all documentation gathered at the time of eligibility determination.

3. The Provider will take swift and immediate action to exit participants determined ineligible for WIA activities via self or state monitoring.

All intake will be performed by the Provider and will be directed toward the eligible population. The Provider will be responsible for entering all participant data accurately and in a timely manner into the Workforce System (WIA computerized database).

1. The Provider staff member(s) assigned to eligibility determination will ascertain the correct family status, barriers, calculate family income, determine public assistance status, etc. in order to determine WIA eligibility. This information will serve as the basis for initiating a WIA enrollment for each participant. An assigned Provider staff member will interview the participant to ascertain adequate information to complete the required data. Participants shall be required to submit eligibility documentation as applicable. Such documentation shall be copied and retained on file by the Provider. Once the required data is complete, the Provider staff member(s) shall review with the eligible applicant all data directly related to eligibility and fraud/misleading information clauses. The Provider will be responsible for all completed participant documents so that the state office can monitor this information as required.

Prior to enrollment, all applicants must be certified as eligible to receive WIA services by authorized personnel in accordance with the One-Stop Career Center (OSCC) "Client Intake Forms". The service provider is responsible for reviewing each client's WIA application to ensure that services are provided only to applicants who have been determined eligible for the appropriate title. These verification documents must be secured in the participant's permanent file and will be subject for review by the state.

Participants who are not eligible, or eligible applicants who for other reasons are not selected for enrollment, will be referred to the Employment Services of the One-Stop Career Center for additional assessment and to appropriate agencies, where they may be provided with services suited to their needs. If there is a continuing relationship with an individual, referral to another program for specific services will be part of the participant's program participation and will be documented in the CSP. WIA service providers are responsible for providing information regarding appropriate services and making necessary arrangements for individuals to be referred for those services. The service provider will document the referral in the participant's CSP. The service provider will track all referrals to non-WIA services for eligible applicants, participants and enrollees.

Objective Assessment: WIA service providers will be required to conduct an objective assessment for each eligible participant. The assessment provides the necessary foundation for the WIA service provider in partnership with the participant, to establish a service strategy that addresses their academic and vocational participant' academic levels, skills, levels, and services needs to include:

*family situation
*education
*basic skills
*occupational skills
*motivation
*interest and aptitudes (including interests and aptitudes for non-traditional occupations)
*attitudes toward work
*supportive services needs, and developmental needs
*prior work experience
*employability/work maturity skills
*financial resources and needs

The Provider may accomplish assessment through interviewing, testing, counseling, etc., as set forth by the state. The provider must make appropriate provisions per the use of test assessment instruments for individuals with disabilities.

Career Strategy Plan: WIA service providers will be required to develop a Career Strategy Plan (CSP) for each eligible participant that meets the WIA requirements. The CSP will include identifying realistic educational, employment career goals taking into consideration the participant's assessment results.

The CSP contains education and employment goals (including, in appropriate circumstances, non-traditional employment), associated achievement objectives, including competency levels to be attained by participants as a result of program participation, time frames for achievement of objectives, appropriate services for participants, documentation that the participant was told of the requirements for self-sufficiency and the occupational demands within the labor market.

At a minimum, a quarterly review of the CSP will be made to evaluate the progress of each participant in meeting the objectives of the service strategy. The participant's progress in acquiring training and employment as appropriate, and the adequacy of the supportive services provided will also be included in the periodic evaluation. The CSP will be used as the basic instrument for the LA to document the appropriateness of the decisions made concerning the combination of services for the participant, including referrals to other programs for specified activities. Training provided by the service provider should be in accordance with the CSP. The CSP is an informal "contract" between the WIA service provider and the client. The proposed Provider must assist the client in attaining the goals set forth in the CSP.

Because WIA resources are generally insufficient to provide the full range of training or support services identified as needed in the CSP, every reasonable effort must be made to arrange job search and training as well as supportive services through other community resources for participants.

Selection of Participants: The Provider will select eligible applicants who have been assessed as meeting eligibility criteria and who have the minimum skills to successfully participate and complete the training as indicated on the CSP. Every effort is to be made to recruit a diverse population of participants as related to the provision for universal access to programs and activities in 29 CFR 37.42. Providers must broaden the composition of the pool of those considered for participation or employment in their activities and programs to include members of both sexes, of the various racial and ethnic groups and of various age groups, as well as individuals with disabilities. Reasonable accommodation must be provided for individuals with disabilities. Veterans and their eligible spouses/dependents are included in the priority group for service.

Orientation: The Provider will provide orientation to all participants. Orientation shall provide a participant with information about the WIA, offer guidance on personal and family problems and community resources, and prepare the participant for seeking and maintaining employment. The Provider will provide "Labor Market Information" orientation and "World of Work" orientation, to include information on job hunting, personal interviews, unions and employee rights. Provider staff person will be designated to conduct participant orientation, and participants will receive the following information:

- The name & phone number of the assigned case manager
- Training programs (purpose and service available)
- Objective Assessment process (time, length, results)
- Individualized Service Strategy
- Grievance Policies and Procedures
- Participant Rights, Benefits, Complaint procedures
- EEO Designee
- Hatch Act/Nepotism
- Labor Market Information
- Services Available from non-WIA sources
- Attendance Requirements, as applicable.

Additional information will be provided to all participants/enrollees which includes, but is not limited to, the following:

- Length of Participation (program specific and formal limitations as appropriate)
- Review/Analysis of assessment results
- Designation of counselor, services available and schedules
- Enrollee's responsibilities (presenting required paperwork, contact with case manager, participation in the outcome of services provided)
- Submission of attendance/travel sheets
- Individual Training Account responsibilities (if applicable)
- Available Supportive Services

Participants will sign for receipt of information on the Hatch Act, nepotism, program referral, EIC, labor market information and equal opportunity.

Supportive Services: The WIA service provider will provide supportive services to participants through arrangements with other human services agencies in order to avoid duplication and maximize resources. Where community resources are not available to provide the supportive services as identified in the participant's CSP, the WIA service provider may provide supportive services according to the Local Area Supportive Services Policies. Supportive services will be based on funding availability.

Supportive services should be tailored to the individual's needs and may include transportation, temporary shelter, child/dependent care, housing, legal assistance, linkages to community services, financial counseling, referrals to medical services and assistance with uniforms or other work-related costs such as protective eyeglasses.

Insurance and Working Conditions: The service provider shall provide adequate on-site medical and accident insurance for all enrollees not covered by Guam's Workers' Compensation law. This coverage shall not include income maintenance. Contributions to a self-insurance plan, to the extent that they are comparable in costs and extent of coverage had insurance been purchased, are allowable upon prior approval by the State Workforce Board. Requests for such approval are to be submitted in writing to the Board. OJT employers must provide proof of workers' compensation or comparable coverage prior to execution of the OJT contract.

No WIA client will be required or permitted to work, or receive services or training in a building or surroundings or under working conditions which are unsanitary, hazardous, or dangerous to the client's health of safety.

Reporting Requirements and Management Information System (MIS): The Provider will utilize the designated WIA Workforce System as approved by the Board. All data collected and entered will be stored in a central database.

1. All Case Managers shall be required to maintain intensive case notes, counseling notes and activity notes as provided on the Workforce system.

2. All Case Managers are required to maintain individual participant folders with signed and printed documents, Workforce screens application, employment plan activities, leave/exit forms, post program activities, case and activity notes, and follow -up documentation and each applicant's CSP).

3. All Case Managers will maintain and document in the Workforce system and on the CSP a record of referrals made to other service providers and other Human Resources Agencies for supportive services.

4. All Case Managers are responsible for entering data accurately and in a timely manner.

Counseling: The comprehensive guidance and counseling services provided to participants will assist each participant in realistically assessing his/her needs, abilities and potential by providing guidance in the development of vocational goals and the means to achieve them, and help with the solution of a variety of individual problems that may occur during participation. Counseling on personal indebtedness will occur as applicable.

Counseling will be provided on an individual or group basis. Additional counseling may be required by program design as set forth in the individual program descriptions. A case manager will be assigned to each participant during the enrollment process and will serve as the participant's primary contact person. The participant counseling sessions will be structured around the development of the Career Strategy Plan and the implementation of the service strategy. All counseling sessions will be documented and the case manager's signature will be on all records.

A Career Consultant will be expected to:

1. Assist the participant in the development of his/her CSP;
2. Ensure that services provided are consistent and complementary, and that they provide the participant with the experience needed to develop new skills and behaviors; and
3. Provide continuous counseling support to the participant in the on-going development and modification of the CSP at a minimum of quarterly.

The focus of counseling will be the enhancement of the individual's employability skills, which will help the participant to secure and hold suitable employment. Case managers may work with the participants in using computer software that is available in employment counseling. Counseling shall at a minimum be provided to:

1. Strengthen the self-image of the participant and formulate his/her Career Strategy Plan;
2. Inform the participant of available job openings and the local economic conditions; and
3. Determine the supportive services needs of the participant and the intervention needed to meet these needs.

To assure that the participant is progressing in his prescribed training area, the case manager is required to maintain regular contact with the participant. The case manager is required to refer the participant to other community resources as needed or requested.

Job Referral and Placement: Each training program with placement goals is responsible for placing its completers. Each Provider is responsible for job development and placement of participants, as applicable. Each Provider's program design should also include job search training which teaches the participant skills such as interviewing techniques, getting a job and keeping it, acceptable employee relations, how to complete an application, and resume preparation, etc.

Follow-Up: WIA service providers are required to provide follow-up services for adults, youth & dislocated workers, for a minimum of 12 months. Follow-up is to be done on all individuals that enter unsubsidized employment. Regular follow-up will establish relationships that can be important, not only when problems arise, but in preventing such problems and in establishing an on-going rapport with employers.

The Provider will distribute the Follow-up Letter to participants through the mail as specified by the Board. Each participant failing to respond will receive a telephone call to produce his/her responses. If he/she cannot be reached by telephone, the Provider will attempt to reach the participant at his/her home to obtain the questionnaire information. The questionnaire will then be reviewed for accuracy and placed in the participant's file. All follow-up efforts must be documented for monitoring purposes.

Coordination/ Linkages: The Guam Workforce Investment Board requires that all adult, youth & dislocated worker Providers operate from the applicable One-Stop Career Center. This coordination will ensure that eligible participant receive information on the full array of services available to them and referrals to appropriate training and programs. Other service options include providing effective connections to the job market and employers.

Program Performance Measures: The Workforce Investment Act establishes a comprehensive performance accountability system in order to optimize the return on investment of Federal Funds and to assess the effectiveness of achieving continuous improvement of workforce investment activities funded under Title I. The Guam Workforce Investment Board will be negotiating performance goals for PY2012 U.S. Department of Labor, in the interim and in the absence of an approved performance rate, the GWIB will be using the national average and will be measured by the following Common Measures:

ADULT AND DISLOCATED WORKER PERFORMANCE MEASURES	
Measure	Formula
Entered Employment	Of those adults who are not employed at registration: The number of adults who are employed in the first quarter after the exit quarter Divided by The number of adults who exit during the quarter
Retention Rate	Of those adults who are employed in the first quarter after the exit quarter: The number of adults who are employed in the second and third quarter after the exit quarter. Divided by The number of adults who exit during the quarter
Adult/Dislocated Workers Average Earnings	Of those adults who are employed in the first, second, and third quarter after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter Divided by Number of adults who exit during the quarter

The U.S. DEPARTMENT OF LABOR, ETA Government Performance and Results Act Goals for PY2012 are given as a guideline. GWIB has not received Performance Goals for PY 2012.

NATIONAL GRPA WIA Performance Goals

U.S. DEPARTMENT OF LABOR, EMPLOYMENT AND TRAINING ADMINISTRATION	LOCAL AREA 2012 GPRA GOAL
Adult Entered Employment	53.7 %
Adult Retention	73.7 %
Adult Average Earnings	$13,178
Dislocated Workers Entered Employment	50.6%
Dislocated workers Retention	78.3 %
Dislocated Workers Average Earnings	$15,840
WIA Youth Placement in Employment or Education	53.6%
Attainment of Degree or Certificate Rate	53.4%
% Students who Achieve Literacy or Numeracy Gains	39.7%

2012 WIA ADULT, DISLOCATED WORKERS & YOUTH PROPOSED ACTIVITIES SUMMARY

Section I: SUMMARY

(SERVICE PROJECTIONS ARE GOALS TO BE ATTAINED IN PROGRAM YEAR - JULY 1, 2012-JUNE 30, 2013)

PART I:

A. Adults/Dislocated Workers and Youth Brief Activities Narrative (attach pages as needed):

B. Cordination with Non –WIA Projects/Programs:

C. In-Kind Contributions: (list name of entity/fund source and specific in-kind contribution)

D. Describe specific plans to access other grant sources such as foundations, non-profit organizations, etc.:

SECTION II: The provider is legally accountable for WIA goals and related WIA performance.)

A. Proposed WIA Adult, Youth and Dislocated Worker funded activities:

ADULT:

Classroom Based Training □
On the Job Training □
Customized Training □
Other Specify _____

DISLOCATED WORKER:

Classroom Based Training □
On the Job Training □
Customized Training □
Other Specify _____

YOUTH:

Classroom Based Training □
On the Job Training □
Customized Training □
Other Specify _____

B. TOTAL ADULT FUNDS REQURED: $

ADULT ADMIN.	$	%____
ADULT PROGRAM	$_____	%____
ADULT STAFF COSTS	$_____	%____
COST PER ADULT PARTICIPANT:	$_____	

C. TOTAL DW FUNDS REQUIRED: $

DISLOCATED WORKER ADMIN.	$_____	%____
DISLOCATED WORKER PROGRAM	$_____	%____
DISLOCATED WORKER STAFF COSTS	$_____	%____
COST PER DW PARTICIPANT:	$_____	

D. TOTAL YOUTH FUNDS REQUIRED: $

YOUTH ADMIN.	$_____	%____
YOUTH PROGRAM	$_____	%____
YOUTH STAFF COSTS	$_____	%____
COST PER YOUTH PARTICIPANT:	$_____	

E.	TOTAL # WIA INTENSIVE SERVICES (Planned # of Participants Enrolled)	ADULT:	_____
		DW:	_____
		YOUTH:	_____
F.	TOTAL # IN WIA TRAINING: (Planned # of Participants Enrolled)	ADULT:	_____
		DW:	_____
		YOUTH:	_____
G.	TOTAL WIA PARTICIPANTS SERVED (Planned # of Individuals)	ADULT:	_____
		DW:	_____
		YOUTH:	_____
H.	TOTAL WIA IN OJT CONTRACTS: (Planned # of Participants)	ADULT:	_____
		DW:	_____
		YOUTH:	_____
I.	TOTAL Planned # Placed in Unsubsidized Jobs	ADULT:	_____
		DW:	_____
		YOUTH:	_____
J.	TOTAL Planned # EXITED	ADULT:	_____
		DW:	_____
		YOUTH:	_____

K. ANY SPECIAL TARGET GROUPS:
(e.g. Hispanic/Latino; working poor; displaced homemakers)

L. CUSTOMIZED OR SHORT TERM TRAINING FOR SPECIFIC EMPLOYERS
(list employer name; type of training; length of training; outcomes.)

_____
_____
_____
_____

M. SUPPORTIVE SERVICES:

N. DESCRIBE MARKETING ACTIVITIES:

SECTION III: WIA PERFORMANCE OUTCOMES:

Adult:
Adult Entered Employment Rate: _____
Adult Employment Retention Rate: _____
Adult Average Earnings: _____

Dislocated Worker:
Dislocated Worker Entered Employment Rate: _____
Dislocated Worker Employment Retention Rate: _____
Dislocated Worker Average Earnings: _____

Youth:
Placement in Education or Employment: _____
Attainment of Degree or Certificate Rate: _____
% of Students who Achieve Literacy or Numeracy Gains: _____

SCOPE OF WORK

RESPONSE SECTION

Provide a summary of the proposed program to include the specific program goals and projected outcomes. Discuss any innovative, creative, and/or non-traditional aspects of this program design. Answers to the Request For Proposal Questions should be typed under each question

A. PROGRAM MANAGEMENT

1. Describe the mission of your organization. Include a program organizational chart that outlines the administration of the organization for the proposed project.

2. Identify lines of authority and supervision for program operation.

3. Identify all staff positions necessary for the operation of this program. Complete job description form for each of the WIA-funded positions.

4. Specify the location of the One-Stop Center and satellites through which you will provide services.

5. Describe how internal program monitoring activities will occur, include internal monitoring of progression of clients for services, tracking participants progress & attendance, case notes and participants file folders, etc.

6. Describe any in-kind contributions to the program that will be contributed to the program.

7. Describe how you will coordinate services with Rapid Response services to ensure that eligible Dislocated Workers are fully aware of the services available through the WIA program and have access to these services.

8. Discuss linkages to community agencies and organizations that will be utilized to provide clients with services, training and employment.

9. As the ultimate goal of WIA is to assist customers in obtaining and retaining employment, does your agency have a strong relationship with employers in the proposed service area that will enhance the ability of clients to gain employment leading to self-sufficiency? Explain.

10. Discuss in detail case notes documentation to ensure compliance with regulations to include frequency of entering case notes in Workforce System and placed in file folders.

11. Describe in detail methods of providing "services" to clients that do not maintain regular contact with case managers.

12. Provide a detailed statement of the organization's policy for prohibiting discrimination on any prohibited ground, to: registrants, applicants, eligible applicants/recipients, participants, applicants for employment, employees, and members of the public; including those with disabilities and steps to ensure compliance.

13. Explain how all participants will be informed of EO policies and procedures.

14. Discuss services/activities that are provided to clients to assist them in their efforts to find unsubsidized employment.

B. CORE SERVICES

1. Describe the activities and methods that will be used for outreach and recruitment for potential adult participants.

2. Describe the activities and methods that will be used for outreach and recruitment for potential dislocated workers.

3. Describe the process for referring individuals to the appropriate agency for those services not available at the One-Stop Career Center.

4. Describe the step-by-step process of progressing clients, in a timely manner, from Core Services to Intensive Services beginning with the initial contact that is made with WIA Staff (include all meetings, orientation, assessment, etc.).

C. INTENSIVE SERVICES

1. Describe how a Career Strategy Plan will be developed that identifies employment goals, appropriate achievement objectives, and the appropriate combination of services for the participant to achieve the employment goals. Describe how the plan will be reviewed and updated.

2. Describe planned case management services, including how and when counseling will be provided for clients in Intensive Services.

3. Describe in detail your orientation process for clients enrolled in Intensive Services.

4. Describe the step-by-step process of progressing clients, in a timely manner, from Intensive Services to Training Services beginning with the initial contact that is made with WIA Staff (include all meetings, orientation, assessment, etc.

D. TRAINING SERVICES

1. Describe types of training services available through the WIA program.

2. Discuss the process for accessing quality consumer information so that eligible individuals can make informed decisions on where to receive training. Describe the process for ensuring that customer choice in the selection of an eligible training provider is maximized.

3. Discuss how labor market information is provided to clients to assist them in making decisions regarding curriculums to pursue.

4. Describe how Participant vouchers will be issued, to eligible individuals to finance training services (tuition, fees, books, and supplies).

5. Describe how the Participant Voucher system will be administered.

6. Describe planned case management services, including how and when counseling will be provided for clients in Training Services.

7. Describe in detail your orientation process for clients enrolled into training services.

E. SUPPORTIVE SERVICES

1. Describe the process for verifying that participants are unable to obtain supportive services through other programs providing such services.

2. Describe supportive service policies to include amounts, duration, and determining factors in providing supportive services (i.e., childcare, transportation, etc.).

F. PLANNED EMPLOYMENT OUTCOMES

1. Describe your job development/placement strategies (including methods to assist clients with finding unsubsidized employment and efforts to assist clients with securing unsubsidized employment in a timely manner.

2. Describe your plans for implementing the Work Experience component within your WIA Program, including strategies to make participants and employers more aware of the program and benefits of participating in the Work Experience component.

3. Describe your plans for implementing the OJT component within your WIA Program, including strategies to make participants and employers more aware of the program and benefits of participating in the OJT component.

G. FOLLOW-UP SERVICES

1. Describe how retention of participants by the employer will be encouraged and monitored.

2. Described planned follow-up activities for individuals who do not enter employment.

3. Describe how you will track employed individuals, including the tools and mechanisms to be used.

4. Describe continuous improvement procedures that will be used to obtain feedback from participants, employers, and other appropriate parties on the responsiveness and effectiveness of the training and services provided.

H. ONE-STOP SYSTEM LINKAGES AND BENEFITS

1. Describe your proposed role as a One-Stop Operator.

2. Describe how your plan adds value and benefits to the One-Stop system and its customers.

3. Describe how you will meet the system's expectations of partnership.

4. Describe your plan for linking and referring customers, including youth (14 to 21).

5. Describe how faith-based and community based organizations currently or may play an enhanced role in offering services to participants. Outline action steps to strengthen collaboration efforts with faith-based and community based organizations to better meet the supportive services needs of WIA customers.

6. Describe innovative service delivery strategies to maximize resources, increase service levels, improve service quality, achieve better integration or meet other

key State goals. Include partners involved, funds leveraged, and anticipated outcomes.

PROGRAM AND FINANCIAL MANAGEMENT

Instructions: Please complete the following section. Areas that address compliance issues must identify the appropriate member of the agency's staff responsible for compliance. Add any comments you find necessary for clarification.

A. Internal Program Management

The Workforce Investment Act requires the State Board to establish internal program management procedures to assure compliance and to review program progress. The following major areas of operation shall be monitored and reviewed:

i. Compliance with the provisions of the Workforce Investment Act (P. L. 105-220) and regulations or any applicable federal or state regulations;

ii. Compliance with all applicable State and GWIB policies; and

iii. Compliance with WIA regulations regarding records maintenance and Guam Workforce System data entry. The internal program management procedures must be sufficient to prevent fraud and abuse. All reports of information creating suspicion of, or instances of criminal misconduct, fraud or willful and gross misconduct, in connection with any WIA program shall be reported immediately to the GWIB. Internal program management procedures must also ensure that auditable and otherwise adequate records are maintained to support the eligibility of all WIA participants and confirm adherence to specific program requirements and limitations. The GWIB will require that all WIA Providers adhere to the established monitoring procedures for ensuring program compliance with federal regulations.

Indicate how internal program management will be accomplished by your agency:

Identify the staff person(s) responsible for internal program management, compliance monitoring and performance reviews.

_____

Staff Assigned Job Title Phone # / E-Mail

B. Monitoring Procedures

The GWIB developed a monitoring system procedure (GWIB-MO-001) for evaluating the quality and effectiveness of WIA funded programs. Monitoring is the quality control system whereby the GWIB gathers and analyzes information to detect problems, identify strengths and weaknesses, and propose improvements to the program. Monitoring activities are conducted periodically to determine whether programs are in compliance with contractual agreements, GWIB policies, WIA regulations, and GWIB requirements. The Monitoring and Oversight Sub-Committee of the Guam Workforce Investment Board is required to monitor performance, programmatic, and fiscal activities. In many instances, the different types of monitoring are interrelated, and conducted simultaneously. Oversight and monitoring is required by 20 CFR 667.410. These activities may be conducted by the Guam Workforce Investment Board, the Office of Public Accountability State Annual A-133, Single Audit, and the U.S. Department of Labor, or their designated representatives. Cooperation includes access to the premises for the purpose of interviewing employees or participants and permitting the examination of, and/or photocopying of books, records, files, or other documents related to the contractual agreement. A review will include a written monitoring report within thirty (30) working days following the monitoring visit. A management action plan, including corrective actions, explaining how the monitor's recommendations will be implemented must be submitted to the Board ten working days after receipt of the report.

C. Technical Assistance for Continuous Improvement

Technical Assistance will be provided to ensure compliance with the GWIB's program expectations. Results of schedule, on-site technical assistance visits will be documented and Service providers are expected to participate in technical assistance, training and monitoring sessions scheduled by the Board to ensure coordination and continuous improvement.

D. Records Retention

The records and documents must be maintained for WIA participants and employees. The Provider agrees to make these records available for monitoring and review by the GWIB and agrees to retain these records, subject to audit, for three years from completion of services.

E. Internal Financial Management

The Provider agrees to conduct internal financial reviews of the following major areas:

1) Compliance with the provisions of the Workforce Investment Act/American Recovery and Reinvestment Act and its regulations.

2) Compliance with the provisions of the WIA Contract;

3) Compliance with the applicable State and GWIB Policies;

4) Compliance with the WIA contract regarding record maintenance;

5) Compliance with accepted financial management and accounting practices as appropriate(20 CFR Part 652);

6) Compliance with applicable OMB Circulars and CFRs.

Internal financial management procedures shall be sufficient to prevent fraud and abuse. All suspicion of, or instances of criminal misconduct, fraud or willful and gross misconduct, in connection with any WIA program shall be reported immediately to the GWIB, and to the U.S. Department of Labor. Internal financial management procedures must also ensure that auditable and otherwise adequate records are maintained which support all expenditures of WIA funds and confirm adherence to policies regarding allowable costs and allocations of costs to proper cost categories. The Provider shall document all internal financial compliance reviews.

List the name and title of the person(s) responsible for maintaining financial records, monitoring fiscal activities for contractual compliance and assisting monitors/auditors during on-site visits.

_____

Staff Assigned Job Title Phone # / E-Mail

_____

Staff Assigned Job Title Phone # / E-Mail

I. Bonding Insurance Requirements

Agencies must meet bonding requirements as required through the Office of Management and Budget Circulars or other applicable regulations. Public agencies are required to be bonded. The Provider must assure the U.S. Treasury restrictions on excess cash will be observed and that interest will be properly tracked and used for WIA operations as program income.

K. Program Income Requirements

The Provider assures that it will comply with the addition method, described at 29 CFR 95.24 or 29 CFR 97.25 (g) (2), as appropriate, for all program income earned under the WIA.

Indicate how program income will be tracked by the Provider and recorded on financial reports to the GWIB:

L. Property Management Requirements

The Provider agrees to maintain careful accountability of all WIA purchased non-expendable property (property with a life expectancy of one year of more and a unit cost of $500.00 or more) and to maintain an inventory of all properties acquired with WIA funds. The GWIB will maintain a fixed-asset listing to be verified for physical location and serviceability at your agency at least annually.

The Provider will be responsible for maintaining an accurate inventory of all WIA property in their possession. A copy of the updated annual inventory shall be submitted by the Provider to the GWIB with the contract closeout document.

In the event property purchased with WIA funds is stolen or destroyed by criminal act, the Provider will notify appropriate law enforcement officials immediately. The GWIB Chairman must be notified within three (3) working days of discovering the loss or damage. A copy of the police report will be maintained as documentation of loss, and a copy forwarded to the GWIB.

Identify the staff specifically assigned to maintain property inventory records and serve as a liaison with the GWIB (or designee) regarding matters of non-expendable property, inventory and accountability.

_____

Staff Assigned Job Title Phone # / E-Mail

WIA Staff Job Descriptions

Employee: _____

Job Title: _____

Complete a separate Job Description for each Position/Job Classification that will provide WIA services under the terms of this agreement, whether funded in full, in part, or not at all, with WIA funds from this program. The Job Title used above should agree

with the Job Title used in the Budget Summary Worksheet. The time allotted to WIA services should agree with the percentage of time in the Budget Summary Worksheet.

1. Describe actual job duties or tasks to be performed in relation to the above named WIA program and job title:

2. Minimum education and experience qualifications required of the person to perform the above job duties:

3. This person will devote time to this WIA program as follows:
   a. _____ hours per day, (maximum of 8 hours);
   b. _____ hours per week (maximum of 40 hours).

4. This person will normally devote a total of _____ hours per week to all programs). Maximum of 40 hours.

5. This person will devote _____% of his/her time to this WIA program on a weekly basis. This % should agree with the % used on the Budget Summary Worksheet.

Attach WIA staff resumes that include the following: educational level, work experience, and special training.