



Local Plan 2018-2020

UPPER CUMBERLAND LOCAL WORKFORCE
DEVELOPMENT BOARD

Serving the following Tennessee Counties: Cannon, Clay, Cumberland, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, Van Buren, Warren, and White

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Section 1: Operating Systems and Policies

1.1 WIOA Background

The Workforce Innovation and Opportunity Act (WIOA) is a federally funded program through the U.S. Department of Labor and the State of Tennessee Department of Labor and Workforce Development. WIOA is the primary source of federal funds for workforce development activities throughout the nation, with legislation requiring an infrastructure of multiple partners to contribute to operations and services. WIOA funds are awarded to the Consortium of Chief Elected Officials (CEOs) of a Local Workforce Development Area (LWDA) to serve two primary customers- job seekers and businesses through a One-Stop Operations system branded as the American Job Center (AJC) system. The intent of WIOA is to strengthen the workforce system through innovation and alignment of services to promote individual and economic growth while meeting the needs of businesses and industries within the area. WIOA puts a primary focus on assisting individuals with barriers to employment by increasing their access to employment, education, training and support so that they may be successful in the labor market. The WIOA infrastructure of core programs in Tennessee are as follows:

Title I- Adult, Dislocated Worker and Youth
Title II-Adult Education and Literacy Activities

Title III- Wagner-Peyser Act
Title I of the Rehabilitation Act of 1973

In addition to core programs, the following are required programs available in the local area:

- Title V Older Americans Act/Senior Community Service Employment (SCSEP)
- Career & Technical Education Programs (Carl D. Perkins Act)
- Trade Adjustment Assistance (TAA)
- Veterans Employment Services/Jobs for Veterans Grant
- Unemployment Insurance
- Supplemental Nutrition Assistance Program (SNAP)
- Second Chance (Reentry)
- Reemployment Services and Eligibility Assessment (RESEA)

For a list of participants contributing to the Upper Cumberland Local Workforce Development Board (UCLWDB) Local Plan, see Attachment 1.

1.2 Local Board

The Workforce Innovation and Opportunity Act (WIOA) provides for the establishment of local workforce development boards in each local area to carry out the provisions of the act. Each local workforce development board is certified by the Governor of the State, who in partnership with the State Board, establishes criteria for the Locally Elected Officials (LEOs) to use in the appointment of members to the area's local board. The Consortium of LEOs of the Upper Cumberland local workforce area have appointed members and established the Upper Cumberland Local Workforce Development Board (UCLWDB) to oversee workforce services in Cannon, Clay, Cumberland, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, Van Buren, Warren and White counties.

The UCLWDB is a volunteer Board consisting of representatives of private employers, higher education, organized labor, non-profit organizations and public entities. The UCLWDB, in consultation with the Consortium of LEOs, is responsible for the oversight and selection of the One-Stop Operator and Career Services Provider (CSP) for adults, dislocated workers and youth programs. The UCLWDB has appointed staff to the board to assist in carrying out the functions of the board as prescribed by WIOA, including Business Services.

1.3 Overview of UCLWDB Sites

The products and services provided by the UCLWDB are delivered through the American Job Center (AJC) Network. The Upper Cumberland is comprised of a fourteen-county area, with two comprehensive American Job Centers, seven affiliate workforce centers and three access points which are listed as follows:

Cannon County Access Point
301 W Main St #302
Woodbury, TN 37190

Macon County American Job Center (Affiliate)
607 Hwy. 52 Bypass East
Lafayette, TN 37083

Clay County Access Point
500 Dow Ave
Celina, TN 38551

Overton County American Job Center (Affiliate)
106 West Henson St.
Livingston, TN 38570

Cumberland County American Job Center
(Comprehensive)
60 Ridley St, Suite 101
Crossville, TN 38555

Putnam County American Job Center
(Comprehensive)
580 S Jefferson Ave, Suite A.
Cookeville, TN 38501

DeKalb County American Job Center (Affiliate)
726 S. Congress Blvd.
Smithville, TN 37166

Smith County American Job Center (Affiliate)
120 Pauline Gore Way, Suite A.
Carthage, TN 37030

Fentress County American Job Center (Affiliate)
308 Main St. South, Suite 101
Jamestown, TN 38556

Warren County American Job Center (Affiliate)
110 S. Court Square
McMinnville, TN 37110

Jackson County Access Point
744 School Dr. Gainesboro, TN 38562

White County American Job Center (Affiliate)
826 Valley View Dr.
Sparta, TN 38583

The UCLWDB AJC facilities are designed to accommodate serving the public, including meeting all safety and accessibility requirements mandated by law. The technologies and equipment utilized within each location focus on a balance between warm human interaction and convenient computer technology. The use of the Jobs4TN website allows job seekers to register for services on-line at the site or from their personal computer. It also allows for accessing job market information, resume assistance and lets participants mount a self-service job search. The Jobs4TN website is a particularly useful tool for the many rural areas located within the Upper Cumberland local area. Along with the Mobile Job Coach, the UCLWDB is able to extend its vision and mission into previously underserved locations and provide services to individuals who may not have access to these opportunities otherwise.

1.4 Leadership

The Upper Cumberland Local Workforce Development Board establishes the mission and vision for the utilization of WIOA funds allocated to the Upper Cumberland Local Workforce Area (UCLWDA). The Chairman of the Upper Cumberland Local Workforce Development Board and the Chief Local Elected Official (CLEO) provide the leadership for the UCLWDA. The Executive Committee of the UCLWDB also provides leadership and makes recommendations to the Board concerning actions as delegated within the UCLWDB By-laws. *For UCLWDB Organizational Chart, See Attachment 2.*

1.5 Organizational Relationships

The Executive Director of the UCLWDB reports directly to the Board Chairman and CLEO and is responsible for the overall operation of the local WIOA system, including communicating with and carrying out the vision of the Board to all workforce stakeholders. Leadership for the One-Stop Operator is responsible for promoting these goals throughout the local AJCs, which is critical to overall success. To be effective in the delivery of services, each provider needs to be aware of the services they can expect to receive from each other. This information is regularly communicated through monthly partner meetings, which give all partners the opportunity to discuss their services, targeted populations, as well as outcomes.

Partner supervision is made up of the following:

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- Site Leads- Each partner has established a Site Lead at each location. The leads will work together on the following duties: create staffing plans that provide adequate office coverage at all times in a manner that allows fair and equitable opportunity for time off; ensure all staff are adequately trained; ensure all staff adhere to policies and procedures; ensure all staff present a professional and positive image; ensure consistent communication procedures are followed; ensure internal policy and procedures are followed; ensure the environment is professional; design a room scheduling system for workshops and meetings; and, approve posted informational signs.
 - Partner Staff Supervisors- Each partner has established a staff supervisor who shall be vested with the sole authority to hire, terminate, discipline, promote, assign and transfer partner employees. The partner retains authority over all actions that may affect the salary, status or tenure of classified employees.

1.6 Organizational Expectations

The UCLWDB's target market consists of job seekers and employers located within the fourteen (14) Tennessee counties within the UCLWDB service area. Requirements and expectations for job seekers are that the local WIOA system provides information and referrals, skills and career development along with training resources to allow the customer to re-enter or advance in the workforce. Requirements and expectations for the employers are to provide business outreach and development, recruitment and referral, and the development of a skilled workforce. Youth customers require services that allow the customer to remain in school, progress to post-secondary education, or enter the workforce.

To determine the success of our service performance, benchmarks are established by the State and Federal governments. Customer satisfaction surveys will also be performed to ensure quality of services at the point of delivery. For consistency of service, the Site Leads have constructed and will maintain a customer flowchart demonstrating the provision of services and the interrelated activities. The flowchart is amended as necessary as determined by the Leads. Adjustments to services are made based on the analysis of these measures and customer feedback.

1.7 State and Regional Partnerships

The Upper Cumberland Local Workforce Development Board is part of the Middle Tennessee Workforce Planning Region. As such, the UCLWDB's Local Plan seeks to support both the Regional Plan as well as the State Combined Plan. All local goals and implementation strategies feed into the larger goals and strategies of our Regional and State workforce partners.

An example of such support would be through special populations that have been recognized as existing within the Middle Tennessee region. Regional employment statistics for individuals with barriers show a need for improvement. Therefore, our local efforts also recognize these special populations and work towards policy and service implications that help address these issues on a regional level. Individuals with barriers could include those with disabilities, veterans, long-term unemployed, participants with English as their second language, disadvantaged youth, older workers, and ex-offenders. One particular instance of focus within this group is programs to remove barriers for ex-offenders. Programs for ex-offenders are in the process of being developed across the Middle Tennessee Region, and best practices are being reviewed in order to assess an effective approach for future employment. The goal is for regional partnerships to serve the formally incarcerated to interface with existing regional sector pathway efforts. In support of this, the Upper Cumberland local workforce team is also meeting with area law enforcement to assess our local need and design a re-employment plan for these individuals that will enhance regional efforts to do the same. This is just one of the many areas where local workforce efforts are designed to support Regional and State plans.

1.8 Local Operations Focus

The One-Stop delivery system in the Upper Cumberland is a quality focused, employer-driven and customer-centered system that is tailored to meet the specific needs of individuals in both rural and suburban communities. Under the one-stop umbrella are the core partner programs, Title 1- Adult, Dislocated Worker, and Youth, Title II- Adult Education, Title III- Wagner-Peyser, Title IV- Vocational Rehabilitation and Temporary Assistance for Needy Families.

Effective and efficient operations require strong relationships between these core partner programs. These relationships enable us to provide clients with meaningful assistance in seeking high-quality career services, education, training, and supportive services. This meaningful assistance should end in removing barriers- allowing individuals to not only find self-sustaining employment, but to also stay employed.

The UCLWDB not only focuses on bringing aid to adults and youth with significant barriers to employment but also focuses on helping employers hire and retain skilled workers. Our One-Stop delivery system enables partners to work directly with employers to identify specific manpower needs. We educate and encourage employers on the utilization of training funds in order to facilitate skills upgrades for their existing employees, and incentives to hire and train new employees. In addition, we connect employers with educational partners to develop needed training programs that may not yet exist.

Services are coordinated between partner programs through the process of initial assessment and utilization of the common intake form. The utilization of this form allows for access to on-demand services for clients when they enter the doors of the American Job Centers of our region and will be immediately assessed for referrals to programs and services in the center. Not only is referral for core programs assessed, but initial eligibility for external providers such as TN Reconnect, DHS and other entities will also be assessed upon entry into the AJC. The One Stop Operator serves as the convener of services in the American Job Center network of the Upper Cumberland. As such, the OSO will ensure that services are being provided in a fair and equitable manner to all businesses and individuals that enter the facility.

The One Stop Operator and Career Services Provider were procured through a blind competitive procurement process, where all information regarding the authors of the submission were removed. The Request for Proposals (RFP) was publicly advertised and posted along with being distributed to area businesses and providers in order to ensure that any interested party had an equal opportunity to apply to provide One Stop Operator and/or Career Services in the region. The procurement period was open for over thirty days and all submissions had identifying information redacted prior to scoring being completed. Each bid submission received individual blind scoring. Scores were then presented to the UCLWDB Executive Committee where identifying information was added and then discussed. The Executive Committee voted to recommend, and the Board later unanimously voted to approve, Mid Cumberland Human Resource Agency as the selected provider for both One-Stop Operator and Career Services. See *Upper Cumberland Local Workforce Development Board's Procurement Policy, Attachment 3*. As the selected entity for both One-Stop Operator and Career Services, Mid Cumberland Human Resource Agency was contracted to provide the following scope of work in each role:

As the One-Stop Operator, Mid Cumberland Human Resource Agency's primary role is to coordinate multiple American Job Center (AJC) partners and service providers throughout the Upper Cumberland LWDA to assure functional alignment of services and management of operational resources; conduct quality review of partner and service provider activities; and facilitate the Welcome Function at the AJC.

(A) Oversee management of One-Stop Centers and service delivery. The One-Stop Operator (OSO), under contract with Upper Cumberland Local Workforce Development Board (UCLWB), will oversee the daily management and delivery of service in the AJCs within the Upper Cumberland LWDA. Responsibilities include:

- i. Oversee One-Stop property, including buildings and equipment. OSO will report any maintenance or building issues to the UCLWDB Executive Director.

- ii. Facilitating appropriate changes and/or maintenance to assure the One-Stop property presents a professional atmosphere for job seekers, employer and partner customers, and is conducive to AJC activities.
- iii. Observing and addressing any concerns to assure the staff present as professional, (i.e., appearance, conduct and service to customers).
- iv. Providing functional direction and supervision of the AJC partner staff located at the centers in coordination with Supervisors/Team Leads, including:
 - a. Scheduling appropriate coverage of customer needs during regular, holiday and/or extended hours, as needed;
 - b. Implementing work schedules for shared responsibilities (customer flow, workshops, assessments, etc.) that are fair and equitable to all AJC partner staff and meet the needs of customers;
 - c. Providing leadership and guidance to encourage AJC partner staff to function as a team;
 - d. Addressing deviations from functional supervision with ACJ partner staff, seeking to resolve with their respective supervisor; and
 - e. Evaluate services being provided at the AJCs to ensure that all required services (as mandated by State and Federal laws) are being provided at or through the Centers.
- v. Coordinating the continuing good standing of AJC Certification status as directed by the UCLWDB Executive Director.
- vi. Coordinating services with the UCLWDB's affiliate and/or identified access points to assure that required partners are apprised of AJC and community services for referral of customers.
- vii. Ensure that all services are being provided in a manner consistent with any local, regional, or state plans created or certified by the UCLWDB.
- viii. Ensure meaningful access to all customers by incorporating the principles of a customer-centered design. This includes, but is not limited to, flexible space usage, the use of pictorial, written, verbal, and tactile modes to present information for customers with disabilities and English language learners; and providing recommendations to the UCLWDB for necessary accommodations and adequate space for the use of assistive devices and adaptive technologies.

(B) Evaluate Performance (as identified in the Performance Measures Section) and implement required actions to meet performance measures. Note: This does NOT include performance negotiations, as this is specifically a local board function. The One-Stop Operator will evaluate performance of comprehensive and affiliate sites by:

- i. Developing a working knowledge of WIOA Performance Measures for all AJC partners, including how they correlate for overall performance of local and regional goals;
- ii. Developing a working knowledge of the State data information system, Virtual One Stop (VOS), used to record data and extract reports as needed;
- iii. Prepare and analyze reports related to One-Stop services for the UCLWDB, including but not limited to:
 - a. Overall Traffic counts via VOS Greeter
 - b. Customer sign-in to specific partners via VOS Greeter
 - c. Participant registrations via VIS Greeter
 - d. Case Notes for participants via VOS
- iv. Coordinate with the UCLWDB Executive Director for expected performance standards and compliance with data validation.

(C) Evaluate various customer experiences (including but not limited to employer, job seekers, and partner staff) The One-Stop Operator will develop and initiate UCLWDB approved evaluation processes to determine customer experiences in the AJC sites. Evaluation methods may be either on-site or on-line, be timely in the customer experience and maintain confidentiality. The UCLWDB

Executive Director will utilize results of on-going evaluations to assess services of the One-Stop Operator and report results to the Board. The OSO will share results with the AJC partners to celebrate successes and address opportunities for improvement.

(D) Ensure coordination of partner programs. The One-Stop Operator will be responsible for the coordination of core and required partners, both on-site and off-site, for the comprehensive centers, including, but not limited to the following activities:

- i. Maintaining and updating a digital and hard copy listing of all partner programs, including a brief description of service and contract information to assure that all staff in the AJC have up-to-date information for referral of customers;
- ii. Reporting changes in Memorandums of Understanding and Resource Sharing Agreements to the UCLWDB Executive Director, or designee, to assure agreements remain up-to-date; and
- iii. Scheduling staff meetings with on-site partners in the comprehensive centers and regular coordination meetings with local off-site partners for all centers. The One-Stop Operator will also participate in annual MOU meetings of all required partners.

(E) Act as liaison between the One-Stop Center and the Upper Cumberland Local Workforce Development Board. The One-Stop Operator will serve as liaison between the UCLWDB Executive Director, or designee, and AJC partners of the comprehensive and affiliate sites, including resolving customer complaints or partner issues, proposing promising practices, and disseminating general communication of UCLWDB policies and procedures. The OSO will be required to provide any performance reports deemed necessary by the UCLWDB including but not limited to, performance data for all on-site partners, pace of spending reports, cost per outcome, etc.

(F) Define and provide means to meet common operational needs (such as training, technical assistance, additional resources, etc.) The OSO will meet common operational needs of the comprehensive and affiliate centers by:

- i. Developing and implementing training manuals and instructional activities to promote excellence in customer service and other AJC related topics;
- ii. Providing technical assistance to staff and partner agencies to understand the vision, mission, goals and objectives of the UCLWDB and the AJC;
- iii. Under the guidance of the UCLWDB Executive Director, or designee, develop partnerships with community organizations, education, industry, etc. to provide access to additional resources such as loan of equipment, access to scholarships or services, donations, etc.; and
- iv. Cross training of AJC staff, as appropriate, to increase staff capacity, expertise, and efficiency.

(G) Oversee full implementation and usage of all State systems by the local area. The OSO will provide oversight of full implementation and usage of State systems in the AJC sites by:

- i. Working with all AJC partner staff to determine system access and skill levels;
- ii. Expediting requests for access and/or training with the State to assure a seamless system of reporting for the AJC;
- iii. Coordinating with the UCLWDB Executive Director, or designee, to determine performance and data validation concerns for staff using State systems; and
- iv. Providing technical assistance to AJC partner staff in usage of State systems.

(H) Design the integration of systems and coordination of services for the site and partners. The OSO will provide leadership of partners in the comprehensive and affiliate centers to design an integrated system that provides seamless coordination of services by:

- i. Reviewing local, regional, and State Plans to understand the vision of leadership;
- ii. Reviewing AJC Certification Application and Partners MOU to have a general knowledge of partner program services;
- iii. Meeting with all partner programs to assess similarities and differences;

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- iv. Establishing a local workgroup to gather front-line experience and partner “buy-in” to enhance an integrated customer flow and coordination of services;
 - v. Develop a plan to be submitted to the UCLWDB Executive Director, or designee, to assure all AJC partners are contributing to the centers, both financially as well as through resources and staff time; and
 - vi. Service integration shall focus on serving all customers seamlessly, including any targeted populations as deemed by the UCLWDB, by providing a full range of services staffed by relevant functional teams, consistent with the purpose, scope and requirements of each partner program.
- (I) Manage fiscal responsibility for the system or site.** The OSO will maintain fiscal responsibility and accountability for applicable UCLWDB approved contracts/budgets for management of the AJCs. In coordination with the fiscal agent, the OSO will be responsible to oversee the Infrastructure Funding Agreement (IFA) between partners for the AJCs. Responsibilities will include gathering and updating data (square footage, full-time equivalents, traffic counts, etc.) to allocate expenses on a fair and equitable basis to all partners and preparing/submitted invoices to partners to remit payment to the fiscal agent. The OSO may also recommend purchases to the UCLWDB Executive Director, or designee, and AJC Partners for necessary increases in the IFA. These could include items such as replacement equipment, furniture for additional staff, and other shared expenses such as advertising or supplies that will impact the IFA.
- (J) Plan and report responsibilities.** The OSO will develop adequate staffing plans for the AJCs and report responsibilities to the UCLWDB Executive Director and AJC partner staff leadership for approval. Staffing plans will assure that customer service needs are met and include the flexibility to shift staff when necessary to meet demand. Staffing plans may include shared responsibilities including workshops, welcome function, assessments, etc. and should be equitable based upon program benefit. Staffing plans should include contingency plans for when staff must be out due to sickness, vacation, scheduled training, etc.
- (K) Write and maintain business plan.** The OSO will write and maintain a Business Plan for management of the AJCs that supports the UCLWDB’s Local and Regional Plans. The submitted bid to this RFP shall serve as a Business Plan and will include an Executive Summary, Relevant Experience, Approach to Work, Staffing/Project Management, and Fiscal Accountability and Budget and will become a component of the contractual agreement.
- (L) Market One-Stop Career Center Service.** The OSO will market the AJC center services by:
- i. Coordinating with the UCLWDB Executive Director to distribute marketing materials to AJCs and appropriate venues;
 - ii. Coordinating with the UCLWDB Executive Director and all partners to promote any special events such as open houses, job fairs, etc., and provide support for facility needs;
 - iii. Reaching out to community organizations in coordination with UCLWDB Executive Director to present services of the AJC for target populations and job seekers; and
 - iv. Evaluating branding compliance throughout the AJCs to ensure consistency and adherence to all federal, state and local mandates.
- (M) Facilitate the sharing and maintenance of site data, with emphasis on the state system.** The OSO will facilitate the sharing and maintenance of data in the comprehensive centers, including but not limited to State systems by:
- i. Coordinating with the UCLWDB Executive Director, or designee, to determine compliance with applicable policies/procedures for data sharing and maintenance of Personally Identifiable Information (PII);
 - ii. Coordinating UCLWDB approved data sharing agreements between AJC internal and external partners to streamline customer service;
 - iii. Training staff on sharing and maintenance of data protocols, including PII and confidentiality; and
 - iv. Monitoring compliance with UCLWDB data sharing policies and procedures to determine compliance and reporting any discrepancies to the UCLWDB Executive Director.

(N) Integration of available services and coordination of programs for the site with all partners.

The OSO will be the lead for integration of available services and coordination of programs for all partners, internal and external, of the comprehensive sites, including but not limited to the following:

- i. Designing and implementing a multi-partner orientation for customers;
- ii. Coordinating multi-partner materials to provide a comprehensive overview of all available services;
- iii. Developing, coordinating and scheduling workshops and other informational offerings to be delivered by all AJC partner staff or other entities;
- iv. Developing seamless customer flow to functional units; and
- v. Providing cross training for AJC partner staff to assure customers receive a seamless, positive experience when accessing service.

As the provider of Title I Career Services, Mid Cumberland Human Resource Agency will hire and supervise staff to engage the AJC customer through recruitment, interviews, certifications, career counseling, job placement, education and training, case management and customer support resulting in the necessary assessments, activities and resources to obtain skill sets for employment, career development and self-sufficiency. The Title I Career Services Provider (CSP) will determine eligibility and provide Career Services under the following scope of work:

(A) Career Services. Basic career services must be made available and, at a minimum, must include the following services, as consistent with allowable program activities and Federal cost principles:

- i. Determinations of whether the individual is eligible to receive assistance from the adult, dislocated worker, or youth programs;
- ii. Outreach, intake (including worker profiling), and orientation to information and other services available through the one-stop delivery system;
- iii. Initial assessment of skills including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities (including skills gaps), and supportive service needs;
- iv. Labor exchange services, including job search and placement assistance and, when needed, career counseling including provision of information on in-demand industry sectors and occupations (WIOA sec. 3(23)) and provision of information on nontraditional employment;
- v. Provision of referrals to and coordination of activities with other programs and services, including programs and services within the one-stop delivery system and, when appropriate, other workforce development programs;
- vi. Provision of workforce and labor market employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, including:
 - a. Job vacancy listings in labor market areas;
 - b. Information on job skills necessary to obtain the vacant jobs listed;
 - c. Information relating to local opportunities in demand and the earnings, skill requirements, and opportunities for advancement for those jobs.
- vii. Provision of performance information and program cost information on eligible providers of training services by program and type of providers;
- viii. Provision of information, in usable and understandable formats and languages, about how the local area is performing on local performance accountability measures, as well as any additional performance information relating to the area's one-stop delivery system;
- ix. Provision of information, in usable and understandable formats and languages, relating to the availability of supportive services or assistance, and appropriate referrals to those services and assistance, including child care, medical or health care assistance available, SNAP benefits, Temporary Assistance for Needy Families, and other supportive services;
- x. Provision of information and assistance regarding filing claims for unemployment compensation, by which the one-stop must provide meaningful assistance to individuals seeking assistance in filing a claim for unemployment compensation. "Meaningful

assistance" means providing assistance on-site using staff who are well-trained in unemployment compensation claims filing and the rights and responsibilities of claimants, or providing assistance by phone or via other technology, as long as the assistance is provided by trained and available staff and within a reasonable time. The costs associated in providing this assistance may be paid for by the State's unemployment insurance program, or the WIOA adult or dislocated workers programs, or a combination of the preceding; and

- xi. Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not provided under WIOA.

(B) Individualized Career Services. Individualized Career Services must be made available if determined to be appropriate in order for an individual to obtain or retain employment. These services include the following services, as consistent with program requirements and Federal cost principles:

- i. Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include diagnostic testing and use of other assessments tools, and in-depth interviewing and evaluation to identify employment barriers and appropriate goals;
- ii. Development of an individual employment plan, to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve his or her employment goals, including the list of eligible training providers;
- iii. Group counseling;
- iv. Individual counseling;
- v. Career planning;
- vi. Short-term pre-vocational services including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct services to prepare individuals for unsubsidized employment or training;
- vii. Internships and work experiences that are linked to in-demand occupations;
- viii. Workforce preparation activities;
- ix. Financial literacy services;
- x. Out-of-area job search assistance and relocation assistance; and
- xi. English language acquisition and integrated education and training programs.

(C) Follow-Up Services. Follow-up services must be provided, as appropriate, including counseling regarding the workplace, for participants in adult or dislocated worker workforce investment activities who are placed in unsubsidized employment, for up to 12 months after the first day of employment.

(D) Funding Requests for Participants. The provider of Title I Career Services will prepare all documents to request funding for participants, including utilizing the VOS system to record participant eligibility, service strategy and related case management services to document requests for funding.

1.9 Referral Process

The One Stop Operator is the facilitator of referrals and co-enrollments in the region. Referral to appropriate programs is crucial for participant success throughout their career pathway. Once a Common Intake Form is completed the Welcome Function staff assess the individual's information and makes an immediate referral to all partner programs to which the customer may be eligible. The One Stop Operator continually tracks, monitors, and trains staff on the established processes for customer referrals.

The One-Stop Operator continuously monitors UCLWDB referral and enrollment processes to ensure improvement for our customers and partner staff. Continually gathering information allows adjustment to be made and new referral tools to be developed. One referral tool recently developed by our One-Stop Operator is the Common Intake. The Common Intake Form is used to address customer needs and is also

used as a referral tool for AJC Partners. This cost-effective procedure immediately alerts staff members to the individual customer needs. Whenever possible, a warm-hand off method is utilized where clients are physically introduced to other partners within the American Job Center. Unfortunately this method is not consistently available at affiliate site. In cases where referrals cannot be made in person, the common intake is scanned and emailed to the appropriate partner program for future coordination with the client.

Referral partners include but are not limited to, Title I programs, Adult, Dislocated and Youth, Title II Adult Education, Title III Wagner-Peyser to include SNAP E&T, RESEA and TRA/TAA, along with Title IV Vocational Rehabilitation and Temporary Assistance for Needy Families (TANF).

Each month, AJC Partners receive an estimated 135 referrals from community-based partners such as TN Reconnect, Human Resource Agencies, TCATS and Community Colleges. Each of those referrals are contacted by Career Specialists within 48 hours and an estimated 80% are enrolled in an AJC Partner Program.

As One-Stop Operator, Mid Cumberland Human Resource Agency (MCHRA) ensures functional alignment success within the AJC by conducting regular evaluations of practices and referral processes, as well as by having an open line of communication between partners and the One Stop Operator Staff. MCHRA's current program model relies heavily on open communication with regular assessment of staff performance and service delivery- all guided by the local board's goal of continuous improvement. Performance goals are tracked on a monthly basis to ensure the AJCs are successful while remaining cost effective.

After completing their established goals, a participant is exited and will receive follow-up services for 12 months. The follow-up process tracks progress of participants in their employment and educational placements through phone calls, emails, meetings, and social media. Services available during follow-up include career development, resolving workplace issues, mentoring, and referrals to community agencies.

The One-Stop Operator complies with WIOA Section 188 and applicable provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) by providing for the physical and programmatic accessibility of facilities, programs, services, technology, and materials for individuals with disabilities. Full access is ensured through extensive training for all staff on addressing and meeting needs of individuals with disabilities. (WIOA Section 108[b][6][C]). In addition to training, access is achieved through various tools utilized within the AJCs to assist customers with barriers. All comprehensive AJCs are equipped with assistive devices for the hearing and vision impaired, including CapTel phones. These phones allow customers with disabilities to reach independence in their job searches and other career services.

Every aspect of our American Job Centers, including the Welcome Function is ADA compliant and is developed in order to provide exceptional services to the elderly and individuals that have disabilities of any kind. In addition to this, AJC staff are trained on providing priority of services to veterans, and all signage is clear, legible and typed.

1.10 Employment and Training Activities

Adults and Dislocated Worker expenditures within the UCLWDA region hit an all-time high in program year 2017-2018. In addition, the level of services provided by the UCLWDA are at the highest they have ever been- including skill attainment, Measurable Skills Gains and placement in the 2nd and 4th quarter of follow-up. Employment and training activities for Adults and Dislocated Workers range from intensive one on one case management to financial supportive services to enter employment or a training program. Employment services for these clients include assistance with job search, assistance with resume creation, access to workshops, and financial assistance to enter into employment (i.e., purchase of uniforms or financial assistance with gas to get to and from work and job searches). In regards to training, adult and dislocated worker clients are given assessments to assess the potential career fields for which they may be best suited, as well as given information on Labor Market Information to make the best decision on a career field that they want to enter. In addition, Career Specialists can assist clients in utilizing the Eligible Training Provider List to find programs that are in their choice of career fields and are eligible for WIOA funding.

By developing relationships with area training and educational institutions, we are able to connect participants with training opportunities that best fit each individual's goals and skill levels. All partners receive thorough training to ensure these services remove barriers and help customers succeed. These services must align with the UCLWDB's Supportive Service Policy to remove barriers while ensuring payments are responsible and allowable. Following placement in gainful employment, Career Specialists provide ongoing support and guidance to help each participant overcome specific employment-focused challenges and barriers, ultimately leading to greater job retention and growth. It is a practice of local service providers to maintain close relationships with local training providers, such as TCATs, and community partners, such as Adult Education, food banks, and TN Reconnect to maximize WIOA services and provide complete wraparound support for participants. Many enrollments for Title I come through these means, as well as common intakes that are processed on customers as they enter the AJC. Both of these practices are excellent methods of ensuring that participants are receiving needed services such as referral to training, supportive service assistance and placement and retention in employment. It is our best practice to partner with community organizations and leverage their resources to more fully serve AJC customers.

In addition to working with complementary service providers to leverage support provided to customers, One-Stop Operator staff also works directly with employers facing layoffs to connect dislocated workers with WIOA services and other outreach events. This process helps those individuals to return to the workforce as quickly and seamlessly as possible. Rapid Response events are a coordinated effort by multiple partner programs and generally include the following:

- Onsite Rapid Response presentation facilitated by at least one representative from each program, providing a summary of programs and services offered through the American Job Center.
- Informational packet which includes a full list of all AJC locations in the region, directory of AJC Services listing all partners, list of recent job postings on Jobs4TN for specific counties, directory of resources such as DHS and Health Dept. contact information, Adult Education, SNAP E&T and TN Reconnect materials.
- Access to local employers for specialized recruiting
- Mobile AJC services to include assistance with Jobs4TN, resume writing, cover letter, mock interviews, and job search
- Onsite scheduling of appointments with Title I Dislocated Worker Career Specialist if desired
- Referrals to partners and other agencies as appropriate

1.11 Youth Activities

As One-Stop Operator and Career Services Provider, Mid Cumberland Human Resource Agency provides access to all fourteen elements legislated through WIOA and the Youth CAN program. The end goal of gainful employment is reached by participation in a number of activities. The activities may include tutoring to ensure attainment of a diploma or equivalent, exploration of and linkages to postsecondary educational and occupational training opportunities, assistance with employment readiness and search, and linkage to employers and the job market. Youth participants are provided opportunities for Paid Work Experience (PWE), the One-Stop Operator's subsidized employment program which connects WIOA Title I Youth participants to valuable work experience. A PWE placement often aligns with a participant's educational and career goals and provides an opportunity for youth to gain valuable on-the-job experience. After the short-term employment comes to an end, participants are often hired permanently by the worksite employer. If not, they are able to move on to a new opportunity with the experience and references gained.

Clients with disabilities are often identified during the initial screening and common intake process. When it is determined that a youth participant has a disability, they are co-enrolled with vocational rehabilitation for additional services. This co-enrollment gives the youth access to support above and beyond what Title I can provide.

The Upper Cumberland Local Workforce Development Board voted to opt out of participating in the recent State offer of In School Youth (ISY) waiver, opting instead to focus on maintaining the strong level of

services currently being provided to the Out of School Youth (OSY) in our region. We are already consistently meeting the 75% or greater requirement of OSY enrollments under WIOA. We will work to increase access to services to ISY by coordinating enrollments with local high schools for dual enrollment programs with local TCATs and Community Colleges.

1.12 Priority Populations

Basic career services will be made available to all job seekers without priority. Priority for receipt of individualized career services and training services is determined during enrollment and will be given to adult customers in the following order, regardless of funding levels:

- First to veterans and eligible spouses who are also recipients of public assistance, low-income individuals including those who are underemployed, or basic skills deficient.
- Second to recipients of public assistance, other low-income individuals including those who are underemployed, or individuals who are basic skills deficient.
- Third to veterans and eligible spouses who are not recipients of public assistance, not low-income individuals including underemployed or who are not basic skills deficient.
- Fourth to individuals who do not fall within the above categories but do meet local discretionary priorities: *Currently there are NO local discretionary priorities established for the UCLWDB.*
- Fifth level of priority is to other individuals who do not fall within the above categories but do meet Title I Adult program eligibility.

The One Stop Operator coordinates priority of service training at a minimum quarterly basis, but generally more often on an as needed basis. The purpose of this training is to ensure that priority of service provisions are in place and in accordance with the TDWLD priority of service procedures. Additional situational training is provided whenever needed at the request of partner staff as well as in instances when training is deemed necessary.

1.13 Individual Training Accounts

Individual Training Accounts (ITAs) allow Adults, Dislocated Workers and Out-of-School Youth to access training from an entity on the State's approved Eligible Training Provider List (ETPL) that will assist them in obtaining self-sufficient employment. ITAs are developed following a comprehensive assessment of the customer's needs. See *Upper Cumberland Local Workforce Development Board's Individual Training Account Policy, Attachment 4*. To receive training services, the assessment should determine that the participant is:

- Unlikely or unable to obtain or retain employment that leads to economic self-sufficiency or wages comparable to, or higher than, wages from previous employment through career services.
- In need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to, or higher than, wages from previous employment through career services.
- To have the skills and qualifications to participate successfully in training services.

1.14 Customer Choice

In order to ensure customer choice is given to the clients of the Upper Cumberland region, all Career Specialists are trained by the Career Service Provider in providing a full view of programs that are eligible to them under the ETPL. All clients are referred to this list so that they can see the programs that are eligible to be paid for through WIOA funding. In addition, Career Specialists provide Case Management by discussing the options of training providers and giving input, when solicited, on the financial components of the programs that they chose.

1.15 Eligible Training Providers

The local workforce development board takes great pride in tailoring the approved programs and providers of the region to the needs of the local employers, workers, and jobseekers. In order to ensure that continuous improvement of eligible providers of services are being utilized, the local board maintains strong relationships with all providers in the region and invites each of them to attend local board meetings so they can contribute to the vision of our region. See *Upper Cumberland Local Workforce Development Board's ETPL Policy and Procedures, Attachment 5*.

1.16 Supportive Services

Program participants are able to receive financial support for certain types of assistance. This can include transportation (including car repairs,) medical necessities (including eye exams and glasses) and emergency supportive services to assist participants with rent and utilities. Additionally, transportation, childcare, tuition and materials/books assistance are available for participants who are beginning employment or engaged with a training opportunity. These services are provided to remove barriers and are approved by Mid Cumberland Human Resource Agency Administration before any payments are made to ensure compliance with the UCLWDB Supportive Service Policy. These payments are also periodically reviewed by the Board Staff Program Monitor to ensure payments are responsible and allowable according to the policy. See *Upper Cumberland Local Workforce Development Board's Supportive Service Policy, Attachment 6.*

1.17 UCLWDB Policies

Requested and relevant policies of the Upper Cumberland Local Workforce Development Board are attached to this Local Plan. In addition, many polices are available for public viewing any time on the UCLWDB website.

Section 2: Vision, Goals and Implementation Strategies

2.1 UCLWDB Vision and Mission

At the forefront of all UCLWDB activities will be a driving Vision and Mission:

Vision of the Upper Cumberland Local Workforce Development Board

The vision of the UCLWDB is to serve as a strategic leader and convener of local workforce development system stakeholders. The UCLWDB will partner with employers and the workforce development system to develop polices and investments that support public workforce system strategies, that support regional strategies and regional economies, the development of effective approaches- including local and regional sector partnerships and career pathways and high quality, customer centered service delivery and service delivery approaches.

Upper Cumberland Local Workforce Development Board Mission Statement

To engage employers, educators and community partners in creating a life-long learning environment in the Upper Cumberland that attracts and retains strong businesses as well as a diverse, talented workforce critical for sustaining a vibrant, growing and innovative economy. The UCLWDB will achieve this vision and mission by:

- Developing strategic partnerships with employers and training providers to align training services with the needs of area employers;
- Enhancing career development services for job seekers to increase job success and knowledge of high skill and in-demand careers;
- Securing state and/or federal funding to develop training programs that support career pathways that build upon the existing skills of the workforce and develop new skills to meet high skill and in-demand careers; and
- Coordinating WIOA activities with the region's economic development plan to coordinate current and future workforce goals and activities.

2.2 UCLWDB Goals

Local goals and objectives are developed through strategic planning by the Upper Cumberland Local Workforce Development Board and area partners. These goals and objectives are an important part of the monthly partner meetings within the AJC where they are used to gage the area's progress.

The UCLWDB conducts its strategic planning in a two-step process. First, the Executive Committee seeks input from local partners in conducting the strategic planning process. This begins with an evaluation of our

operational environment, including the strengths and weaknesses, opportunities and challenges facing our local workforce area. Each broad direction is then broken down into goals and task items. Once the strategic planning process is complete, the Executive Committee then presents its recommendations to the full Board for approval. Once approved, the plan is used as the overarching strategic direction to develop the UCLWDB operational direction.

For purposes of the 2018-2020 program years, the following are the overarching goals of the UCLWDB:

- Goal 1- Strengthen strategic partnerships with employers and training providers to align training services with the needs of area employers.
- Goal 2- Enhance career development services for job seekers to increase job success and knowledge of high skill and in-demand occupations.
- Goal 3- Secure state and/or federal funding to develop training programs that support career pathways that build upon the existing skills of the workforce and develop new skills to meet high skill and in-demand occupations.
- Goal 4- Coordinate UCLWDB activities with the regional plan to address current and projected workforce quality and quantity issues.
- Goal 5- Ensure targeted youth are provided employment related services.
- Goal 6- Provide programmatic, administrative and fiscal support to ensure the integrity of the UCLWDB.
- Goal 7- Maintain and enhance the progress of the UCLWDB.

2.3 Implementation Strategies

Service delivery strategies are constantly reviewed to ensure the above goals move from vision to implementation. Implementation strategies are important to the overall success of the LWDA and require coordination from local workforce, education and economic development partners. Input from all business, education and workforce stakeholders is evaluated and implemented into strategy. As evidence that effective strategies are in place, the UCLWDB responds to the following questions:

2.3 (A) Provide a description of how the local board, working with entities carrying out core programs, will expand access to employment, training and education and supportive services for eligible individuals, particularly individuals with barriers to employment. Include how the local board will facilitate career pathways and co-enrollment, as appropriate in core programs, and how it will improve access to activities leading to a recognized postsecondary credential, academic or industry recognized.

The UCLWDB, in partnership with entities that carry out core programs, will expand access to employment, training, education and supportive services through multiple avenues. First, the Board will be moving the American Job Center (AJC) from its current location at 580 S Jefferson Avenue to 1000 England Drive. The current location is difficult to locate and has limited parking. The new location at 1000 England Drive is visible from three separate access points and has plenty of parking available. The new site also co-locates the American Job Center with the Department of Human Services (DHS). Such close physical proximity will allow for collaboration between Workforce and DHS on a scale that currently does not exist for our participants. AJC staff can literally walk participants through a doorway located within the AJC to the DHS offices. The new location also has sufficient space to accommodate additional partners. Discussions are in progress with TANF about that possibility.

Since transportation continues to be a significant barrier to participants in our rural area, Board Staff will meet with the Upper Cumberland Human Resource Agency Transportation Division to establish a bus route that includes the 1000 England Drive location.

The Upper Cumberland Workforce Team, which consists of AJC staff and Staff to the Board (including the Consolidated Business Grants Coordinator), have begun scheduling town hall type meetings in all 14 of the counties that make up the Upper Cumberland LWDA. Representatives from the local AJC or affiliate site, Chambers of Commerce, Industrial Boards, Superintendents of Schools, County Mayors, other supportive services agencies, and the general public are invited to attend. The WIOA Executive Director moderates the discussion allowing ample opportunity for questions and answers. The Team has successfully

completed meetings in Fentress and Warren Counties. Feedback on these events has thus far been overwhelmingly positive. Comments such as “This is the first time I understand Workforce services” or “May I have your contact information, I would really like to discuss how Workforce can help my agency/company” have been received. Another benefit of these meeting has been the information we gained from attendees’ comments. For example, at the Fentress County event it was mentioned that approximately 30% of seniors at York Institute plan to attend a post-secondary institution. That prompted Board Staff to pose this question- what happens to the other 70%? The Workforce Team addressed this question by developing a pilot program for 2019 which will be implemented in Clay, Fentress, Pickett, and Van Buren Counties. From experience we know that TN Promise does pay for tuition; however, tuition is only one piece of the puzzle of higher education. Books, transportation, supplies, etc. are not covered by TN Promise and yet they are vital to student success. Our theory is that many students never even apply for a post-secondary opportunity because they are aware of these barriers that still exist in spite of tuition assistance. Through our pilot program, the team will present Workforce services information to juniors and seniors at a general assembly at each high school. Students who are interested in assistance in finding a job or supportive services assistance that will allow them to attain a post-secondary credential will self-identify via postcards that will be distributed.

The UCLWDA is actively engaged with the Highlands Economic Partnership (HEP), Jobs for the Future, and Pathways to Prosperity through Harvard University. The HEP is a collaborative, public/private sector program designed to boost economic and community development in several of the counties in the Upper Cumberland. More than 85 investor companies made up of federal, state, city and county governments and agencies, chambers of commerce, key officials and business leaders throughout the region, play key roles in the program’s development. While not all of the fourteen counties of the Upper Cumberland are represented on the Steering Committee of the HEP, all counties in the Upper Cumberland (UC) benefit from the work of the organization. For example, Career and Technical instructors at Putnam, White, and Warren Counties serve alongside local manufacturing and post-secondary representatives on the Pre-Engineering, Advanced Manufacturing Committee, an ad hoc committee of the HEP. Through the collaboration of this group areas of manufacturing needs such as Industrial Maintenance and Tool & Die training have been identified. The Livingston TCAT has agreed to offer the training to companies within the UC. On the job training or Incumbent Worker training dollars have been offered to companies who participate.

AJC staff participate in mock interviews through the Jobs for the Future program. Students from all over the Upper Cumberland are encouraged to participate. Many are offered jobs on the spot.

As part of the Harvard University Pathways to Prosperity, Career pathways have been established for the region in key areas of study such as Healthcare, IT, and Advanced Manufacturing to encourage participants to take that first step toward a higher paying job by establishing stackable credentials which seem more reachable. Career Pathways offer the option of getting on or off the path at any point. For example, a participant may choose to pursue the Healthcare pathway. This particular pathway offers the option of building their skills/ attainment as follows: Certified Nurse Assistant licensure (TCAT) → Registered Nurse (Community College) → Bachelors of Science Nursing (University). Healthcare articulation agreements between TCATs, Community Colleges, and four-year Universities exist throughout the region. These agreements decrease the time between certifications/degrees for participants and standardizes plans of study across the region so that all participants have the same opportunity for skill/degree attainment. Similar articulation agreements exist for IT and Advanced Manufacturing.

2.3 (B) Provide a description of how the area will implement initiatives such as incumbent worker training programs, on-the-job training programs, customized training programs, industry sector strategies, apprenticeships, career pathways initiatives, utilization of effective business intermediaries, and other business services and strategies designed to meet the needs of employers in the corresponding region in support of the business service strategy.

The Upper Cumberland Local Workforce Development Board has maintained Business Outreach and Consolidated Business Grants (CBG) Coordinator responsibilities as a function of Staff to the Board. The rationale for this decision is the need for immediate support and oversight when providing services to businesses throughout the Upper Cumberland. Standard operating procedure for this position requires ongoing conversations with business representatives about their training needs which promotes incumbent worker or on-the job training opportunities. The CBG Coordinator also serves as the Business Team Lead for the AJC. The regular exchange of information expedites the process of supporting business training

and hiring needs by all AJC partners. Maintaining close contact with post-secondary training providers has presented several opportunities for customized training. For example, a local business has approached the Livingston TCAT to request a skills upgrade training for their employees. The TCAT President connected the HR representative with the CBG Coordinator. Through this connection, the Company is able to offer this important training without the worry of covering the cost of the entire course. See *Upper Cumberland Local Workforce Development Board WIOA Work Based Training Policy, Attachment 8*.

2.3 (C) Provide a description of how the local board will coordinate education and workforce development activities; including all core programs, carried out in the local area with relevant secondary and post-secondary education programs and activities to coordinate strategies, enhance services, and avoid duplication of services.

AJC Team visits to each county have been well attended by Superintendents of Schools and CTE supervisors. In partnership with these representatives the team is developing a pilot program for 2019 which will be implemented in Clay, Fentress, Pickett, and Van Buren Counties. From experience we know that TN Promise does pay for tuition; however, tuition is only one piece of the puzzle of higher education. Books, transportation, supplies, etc. are not covered by TN Promise and yet they are vital to student success. Our theory is that many students never even apply for a post-secondary opportunity because they are aware of these barriers that still exist in spite of tuition assistance. Through our pilot program, the team will present Workforce services information to juniors and seniors at a general assembly at each high school. Students who are interested in assistance in finding a job or supportive services assistance that will allow them to attain a post-secondary credential will self-identify via postcards that will be distributed.

Veterans will continue to receive preference in service in the Upper Cumberland. Specifically, services will include assessing skills obtained while serving in the military and translating those abilities into marketable skills in the civilian labor force. Each LWDA will be encouraged to participate in the use of Prior Learning Assessments (PLA) provided by the Universities located in the region. Each University offers varying levels of PLA for their students with some Universities offering as much as 60 credits for PLA while others may offer as few as 6. The disparity is currently being addressed by establishing a PLA database which can be used by Veterans and Career Specialist in establishing a career pathway for participants. PLA credit is extremely valuable to Veterans in that the time to degree can be shortened significantly, and avoids paying for courses for which the participant has already had extensive training through their military service.

2.3 (D) Describe how the Local Board will support the strategy identified in the State Plan and work with the entities carrying out core programs and other workforce development programs, including programs of study under the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq) to support service alignment.

As identified in the State Plan, Career Pathways is an integral part of the strategy towards these efforts. The Upper Cumberland area was actually one of the first areas within the country to participate in the foundational career pathways development through our work with the Highlands Economic partnership. We continue to partner with the Highlands Economic Partnership and have also developed relationships with Tennessee Re-Connect and Veterans' groups within local colleges. In addition, we have representation from vocational, two-year and four-year schools serving on our local Board. Their input helped to develop our recently updated Support Services Policy to effectively use supportive service payments to bridge the gap between tuition assistance and incidental education expenses that can often continue to present barriers for some students.

Section 3: Performance Goals and Evaluation

3.1 Performance Goals

On November 16, 2018 the UCLWDB negotiated performance metrics with TDLWD, and the performance metrics were approved on December 11, 2018 at the Upper Cumberland Local Workforce Development Board Meeting. *These performance metrics are outlined in the attached negotiated performance table, See Attachment 7.* We believe that we will exceed these negotiated measures for youth, adults and dislocated workers in each of the program years, due to the level of services that are currently being provided in the region.

The Title I staff is highly trained in accurately obtaining placement, credential attainment and median earning information from clients and utilizes additional sources to obtain this information when

communication with the client has been severed. Some of these resources include Vault Verify, The Work Number and the Clearing House. In addition to these resources, contact between clients and Career Specialists are required on a minimum monthly basis during active enrollment and in follow up to minimize the likelihood of losing contact with the client.

The local board will continuously conduct performance monitoring to remain a high functioning board as well as to determine the service provider's ability to implement the services as planned and produce measurable performance outcomes. Data collected from performance monitoring, State Workforce Services monthly "grade card" and detailed monthly reports provided by the service provider will be analyzed and used to make continuous quality improvements and to develop "best practices", corrective actions and corrective timeframe.

Policies, procedures and uniformed monitoring tools have been developed by the local board will be utilized along with state monitoring guides to conduct performance monitoring for WIOA funded programs and the delivery of integrated services. The local board will strive to maintain program integrity and ensure performance goals and accountability measures are being achieved while remaining compliant at the federal, state and local level.

The UCLWDB provides the following information regarding the projected local service levels:

The local board will utilize the following to determine performance measures and levels:

- State Workforce Services monthly "grade card" to measure performance in the areas of Minimum Participant Cost Rates (MCPR), meeting the 20% obligation of Youth work-based experience, fiscal agent timely reports, and timely invoice payments by the fiscal agent.
- Detailed monthly reports provided by the service provider to ensure the performance is on track to meet or exceed determined goals.

The local board will strive to remain a high functioning board maintaining program integrity and strive to ensure performance goals and accountability measures are being achieved while remaining compliant at the federal, state and local level.

- Objective 1: Analyze data and performance measures from the "grade card" and service provider reports to determine strengths and weaknesses.
- Objective 2: Conduct local monitoring through desktop review of the Virtual Data Collection System (VOS) and on-site visits utilizing a uniform checklist.
- Objective 3: Review monitoring results to determine and develop "best practices", corrective actions and corrective timeframe.
- Objective 4: Communicate monitoring results on a regular basis with follow up to implement "best practices", corrective actions and timeframes.

Section 4: Technical Requirements and Assurances

4.1 Integrated Technology

The UCLWDB believes the use of high-quality, integrated data is essential to inform decisions made by policymakers, employers, and job seekers. Additionally, it is vital to develop and maintain an integrated case management system, as appropriate, that informs customer service throughout customers' interaction with the integrated system and allows information collected from customers at intake to be captured once.

4.2 Access to Services through Technology

The UCLWDB seeks to assure that technology is accessible to all job-seekers and employers throughout the Upper Cumberland. Accessible technology is particularly important in our many rural areas, which are often areas of high poverty where transportation barriers are present. The UCLWDB addresses this need

by mobilizing partner efforts into these communities where brick and mortar AJC is not present. Our current One-Stop Operator Title I staffing structure provides adequate staffing to bring Title I staff into these rural communities for “pop-up” type mobile AJC events while still maintaining the mandatory Title I presence in Affiliate Sites and Comprehensive Centers. Mobile events are marketed in coordination with agencies that are physically present in these areas of low income and where individuals with barriers often utilize the services of those agencies- such as HRAs, DHS offices, Health Departments, UT Extension Offices and community libraries. When necessary, the One-Stop Operator also coordinates with local transportation agencies in an attempt to facilitate transporting individuals that are lacking access to transportation so they are more likely to attend mobile events. Basic career services and access to individualized career services and AJC partner programs are made available at mobile events, along with internet access so that job searches and unemployment claims can be completed. By going into our communities and meeting clients where they are, on their terms, we are better able to promote services and meet the needs of area individuals.

4.3 Physical Accessibility

The UCLWDB requires all area partners to agree they will not discriminate in their employment practices or services on the basis of gender, gender identity and/or expression, age, race, religion, national origin, disability, veteran's status, or on the basis of any other classification protected under state or federal law. Partners must assure that they have policies and procedures in place to address these issues, and that such policies and procedures have been disseminated to their employees and otherwise posted as required by law. Partners further assure that they are currently in compliance with applicable state and federal laws and regulations regarding these issues. All Partners will cooperate with compliance monitoring that is conducted at the local level to ensure that all American Job Center programs, services, technology, and materials are physically and programmatically accessible and available to all. Additionally, staff members are trained to provide services to all, regardless of range of abilities, mobility, age, language, learning style, or comprehension or educational level. An interpreter will be provided within a reasonable time frame to any customer with a language barrier. Assistive devices, such as screen-reading software programs and assistive listening devices must be available to ensure both physical and programmatic accessibility within the UCLWDB American Job Centers.

The comprehensive one-stop center serves as the hub for access to services for customers as well as local businesses. In order to ensure non-discriminatory practices, all customers are assessed using the same process and referred based on their individual circumstances to the appropriate program. When significant barriers are found, the provider partners strongly with Vocational Rehabilitation to ensure that processes are in line with the needs of the individual with disabilities.

Programmatic accessibility is facilitated within the UCLWDB through utilization of several key tools. The Mobile Career Coach has proved to be an effective outreach tool in areas of high need but limited accessibility. Also utilized are tools such as Direct Linkage, used when needed for affiliate site counties via phone calls and ZOOM meetings and email. This is especially necessary when partner programs are not co-located in affiliate sites. Title I staff coordinates the service delivery and access to partners in their welcome function as well as throughout a client's enrollment in Title I. Title I is the only staff located in all One Stops, therefore the remaining partners are available via direct linkage whenever needed.

All UCLWDB customers have access to accessible devices for hearing, reading, typing and computer use. Our AJC's are equipped with highly trained staff that are able to assist individuals with disabilities and the additional services available to them within the AJC and their communities. All AJC locations have passed ADA compliance through TN Department of Human Services. Outreach to this population is conducted through regional partners such as DHS, Department of Human Services programs, Vocational Rehabilitation, Community Coalitions, and other community action groups.

When UCLWDB partners are not physically located within the American Job Center, they are available for contact through direct linkage such as phone calls, video conferencing, email and text messaging

(preference for medium of direct linkage is utilized in that order.) Direct connection is made whenever possible, and all partners are accessible from each AJC location.

4.4 Fiscal Management

The entity currently responsible for the disbursement of grant funds described in WIOA as determined by the CLEO, is the Upper Cumberland Development District (UCDD). However, on December 11, 2018, the Upper Cumberland Local Workforce Development Board voted unanimously to begin the process of becoming a 501 (c)(3) tax-exempt corporation. Ensuring a smooth and timely transition into the 501 corporation is a major goal of the UCLWDB within the first quarter of 2019. As such, the UCLWDB and UCDD will work together to ensure sound fiscal management is maintained throughout the transition and a warm fiscal hand-off into the new corporation.

It is the intent of the UCLWDB to work within the parameters established by each of the funding streams created by Title I grants. The need for a possible transfer of funds will be reviewed on a quarterly basis or as the local economy dictates. Plant closures or economic down turns in the area may dictate the need for immediate review resulting in a request to transfer funds from Adult to Dislocated Worker. Technical assistance from State Staff would play an integral part in any decisions to transfer funds between funding streams.

4.5 Competitive Procurement

All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards provided in 2 CFR 200.319. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements.

The UCLWDB procurement transactions will contain no requirements that unduly restrict competition as specified in 2 CFR 200.319(a) and (b).

The UCLWDB procurement procedures will ensure that all solicitations:

- incorporate a clear and accurate description of the technical requirements for the material, product(s), or service(s) to be procured in a manner that does not unduly restrict competition, and
- identify all requirements that the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

The UCLWDB will ensure that all prequalified lists of persons, firms, or products, that are used in acquiring goods and service are current and include enough qualified sources to ensure maximum open and free competition. The UCLWDB will not preclude bidders from qualifying during the solicitation period.

Competitive proposals are normally conducted with more than one source submitting an offer, and either a fixed price or cost-reimbursement type contract is awarded. It is generally used for larger purchases and when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:

- Purchases over \$150,000 must be approved by the UCLWDB;
- Requests for proposals must be publicized on the UCLWDB website as well as applicable legal publications and identify all evaluation factors and their relative importance. Efforts will be made to make the RFP as widely available as possible. Any response to publicized requests for proposals must be considered to the maximum extent feasible;
- Proposals must be solicited from an adequate number of qualified sources;

- The UCLWDB will follow the TDLWD's methods for conducting technical evaluations of the proposals received and for selecting recipients;
- Contracts will be awarded to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered.

All Requests for Proposals (RFPs) that contain requests for One-Stop Operators and Career Service Providers must include the duties set forth in 20 CFR 678.620 which are adopted in the State of Tennessee's Regional and Local Planning policies, as well as the State's One-Stop Delivery and Design System policy. Both the selection of One-Stop Operator and Career Service Provider must be competitively procured, either as one combined or two separate RFPs. The UCLWDB will follow all federal, state, and local competitive procurement requirements in this selection process. Additionally, The UCLWDB will follow the *Tennessee State Guidelines for Local Workforce Development Boards One-Stop Operator and Career Services Provider Procurement* as well as the *Evaluator Training Guide* developed and provided by the Tennessee Central Procurement Office. See *Upper Cumberland Local Workforce Development Board Procurement Policy, Attachment 3*.

4.6 Performance (MPCR)

The UCLWDB is accountable to ensure that all program goals and performance standards are met, including the Minimum Participant Cost Rate (MPCR). The Upper Cumberland Local Workforce Development Board shall ensure the state required minimum of their WIOA Title I formula allocations **WIOA Section 128(b)(4) and 133(b)** is expended on allowable participant costs under WIOA funded services per **WIOA Section 129(c)(2), WIOA Section 134, TEGL 19-16 and TEGL 21-16**.

Currently, the UCLWDB MPCR is 63%. In order to continue to exceed the required 50 percent minimum participant cost rate, the UCLWDB will constantly seek improvement and best practices. Driving this focus will be regular data collection and evaluation, program staff training, and fiscal responsibility. The UCLWDB requires monthly reports and quarterly dashboard from the One-Stop Operator where the MPCR, Title I enrollments and customer visits are tracked. The One-Stop Operator will also report statics and trends to AJC Partner staff at weekly meetings. These meetings and constant data evaluation by the Board and Board staff enable a continuous level of accountability regarding enrollments, performance standards and program expectations. Additionally, asking our One-Stop Operator to stress staff performance, service delivery and continual improvement creates buy-in from the ground-up of the Board vision and performance standards. As part of the UCLWDB transition into a 501 (c)3 corporation, the Board will closely and even more regularly examine the MPCR to ensure service levels are maintained.

Section 5: New Planning Element

5.1 Self Sufficiency Partnership

The State Board has entered into a formal partnership with the Tennessee Department of Human Services to improve labor market outcomes for all recipients of SNAP and TANF, including but not limited to participants in SNAP Employment and Training services. The Upper Cumberland Local Workforce Development Board will partner with Community Based Organizations (CBOs), service providers, community colleges, TCATs and representatives from County Human Service agencies for individuals in our local area through co-enrollment. This is not only a local workforce area effort but also a Regional Planning effort as well. In order to analyze and plan for partnership improvements, the following information has been gathered regarding the Self Sufficiency Partnership.

5.2 Assessment of Need and Population Size

An overview of the size and characteristics of both the total social program recipient populations in the local/regional area and the current SNAP E&T participant population is as follows:

For the FY 17-18, Upper Cumberland Region AJC's enrolled 1,082 participants

- 595 participants were classified as adults
- 150 participants were classified as dislocated workers
- 337 participants were classified as youth
- 882 participants were low income
- 10 participants were TANF recipients
- 298 participants were SNAP recipients
- 32 participants were SSI recipients
- 9 participants were SSDI recipients
- 623 participants were female
- 459 participants were male
- 1,023 participants were White
- 32 participants were Hispanic or Latino
- 9 participants were American Indian/Alaskan Native
- 5 participants were Asian
- 33 participants were African American/Black
- 2 participants were Hawaiian Native/Other Pacific Islander
- 39 participants were veterans
- 98 participants were individuals with disabilities
- 35 participants were offenders
- 31 participants were homeless
- 425 participants were employed
- 3 participants were employed but received notice of layoff/termination
- 654 participants were unemployed
- 196 participants were age 14-18
- 345 participants were age 19-21
- 140 participants were age 22-24
- 162 participants were age 25-34
- 110 participants were age 35-44
- 90 participants were age 45-54
- 33 participants were 55-64
- 6 participants were 65 and older

Employment barriers experienced by people receiving social programs within the Upper Cumberland LWDA, including potential barriers faced by people with disabilities, and resources that can be utilized to assist with overcoming these barriers are as follows, along with a brief description of the ways in which program partners will facilitate information sharing to evaluate needs:

- **Transportation** – (Many individuals receiving social programs, particularly those with a disability, either don't have a driver's license, or if they do, they don't have access to a vehicle. This causes them to rely on other means of transportation, which often leads to difficulty getting to/from their place of employment.)
- **Benefits being affected by employment** – (Many individuals receiving social programs have absolutely no idea how a job would affect their benefits. In many cases, this will cause the individual to not explore the competitive, integrated employment options available in the community.)
- **Lack of work experience/transferable skills** – (Many individuals receiving social programs lack the work experience that employers are seeking to fill their positions. Many of the individuals also lack educational credentials and transferable skills to go beyond entry level jobs.)
- **Poverty/homelessness** – (Individuals who have grown up in poverty are exposed to repeated issues of poverty and feel like they cannot break the poverty cycle. Their circumstances constantly seem to work against them and they either give up looking for gainful employment or they quit a job when things get difficult.)
- **Lack of social and family support** – (Many individuals receiving social programs lack a support system that will encourage them to seek competitive, integrated employment.)
- **Inability to pass drug screenings** – (Many individuals have been in an environment where drug use is prevalent, and that cycle is difficult to break. They have the ability to do the job they apply for, but they cannot pass the drug test in order to get the job.)
- **Prior offenses**

Resources to overcome barriers:

- **Strength Based Approach Counseling** – Individuals receiving social programs need to be empowered to take the necessary action to improve their situations. The focus must expand to address multi-dimensional family problems, socioeconomic issues, and opportunities to generate long-term individual and community success.
- **No Wrong Door System of Access** – The AJC's offer a centralized referral process for individuals seeking help in overcoming barriers to gain employment. A centralized referral process leads to improved customer service, early intervention and prevention, greater satisfaction with services, greater cost effectiveness, and generational benefits.
- **Employee Development Services**
- **Work Based Learning**
- **Job Readiness Classes**
- **On the Job Training**
- **Partnership with Benefits to Work Specialists** – There are benefit to work specialists that can sit down with the individuals and explain to them how working will affect their benefits received from social programs
- **Driver's Training Program**
- **Collective Impact** – An innovative and structured approach to making collaboration work across government, business, philanthropy, non-profit organizations, and citizens to achieve significant and lasting local change.
- **Family Engagement**
- **Care Management**
- **Volunteerism**
- **Financial Literacy**
- **Peer Mentoring**
- **Post-Secondary Counseling and Tutoring**

For additional data on local employment barriers, see Attachment 9. Partners will need to evaluate the needs of each individual and refer to one another as deemed necessary. This is one of the advantages of having comprehensive centers where the partners are in the same building together. The partners work together to eliminate intake hoops, add services, and streamline access points.

5.3 Services

The UCLWDB partnership with local Department of Human Services (DHS) staff has resulted in over 238 individuals receiving TANF or SNAP being referred to the American Job Center for services in fiscal year 2018. Our goal is to continue to foster this relationship locally to better serve this population. In Putnam County alone, DHS staff received 1,020 new applications for public assistance in the first quarter of this program year, along with 209 requests for renewal. It is our belief that the co-location of the Putnam County American Job Center with our DHS partner in the early part of 2019 will provide more convenient access to available services for individuals, while providing an opportunity for a stronger relationship between programs that will spread throughout the rest of the Upper Cumberland. Facilitated by the American Job Center, partner programs, community service providers, educational providers and employers can meet with participants to ensure the best use of resources. Our local area has a Co-Enrollment policy and Supportive Services policy that is used to leverage funding and share responsibility for the success of the participant. Currently the exact number of TANF participants being served in the Region is unknown, however enrollment in TANF is often used to establish eligibility for enrollment in other services. Services are available to recipients through Title I, Title II, Title III, Title IV and, other entities through the local workforce development network. The local area will continue to assess and analyze the successes of the participants in order to achieve the highest level of success. Working to remove barriers and help participants become self-sufficient is of the utmost importance to the UCLWDB. As a TANF or SNAP recipient, the participant faces potentially multiple barriers including housing, employment, adequate

income, food and nutrition, childcare, education and healthcare, among many others. The local board recognizes that any one of these factors could be a barrier when seeking self-sufficiency but, multiple barriers make employment even more difficult. The Local Supportive Services policy in many cases can provide temporary assistance, allowing participants the opportunity to focus on long term solutions that will result in self-sufficiency.

Through continued participation in community meetings such as the Chamber of Commerce, industrial boards, and other economic development organizations, our network of outreach agencies is expected to grow. Connecting with existing and new partners to assist with leveraging resources and engaging services for participants is important to the success of each participant. A key service provided in the workforce development system is the initial assessment of a participant's knowledge, skills, and abilities to support that participant's employment goal. The initial assessment determines needs and strategies to achieve sustainable employment; furthermore, training and supportive services are based on an analysis of information gathered from the participant during the intake process. The assessment should indicate what services the participant needs and should include, if necessary, referrals to appropriate partner staff and other agencies that can best provide these services. Assessments must be conducted with each participant to determine their needs, goals, and services to be delivered to include co-enrollments whenever appropriate. American Job Center staff work closely with community partners in education to obtain the necessary course descriptions, certificates/diplomas, degrees and other educational documentation needed to assess and establish academic goals.

5.4 Regional Alignment, Coordination and Integration

5.4 (a) Describe how local / regional partners will braid resources and coordinate service delivery to people receiving public assistance, including by leveraging resources from SNAP E&T third party partners for workforce services, sector pathway programs, supportive services and retention efforts.

In order to braid resources and coordinate service delivery, then UCLWDB will focus on several avenues of strengthening existing partnerships. In early March, 2019, the Cookeville Comprehensive AJC will complete the process of moving to co-locate with the Department of Human Services (DHS). This co-location facilitates a better hand-off of services for co-enrollment of the same client base, as well as allowing for deeper partnership development. While there is currently a working relationship with DHS through State Merit Staff managing the SNAP E&T Program, the co-location will allow representatives from the UT Extension Program (as our 3rd party partner) to be included in monthly partner meetings at the AJC. This partner inclusion helps to facilitate coordination of services and co-enrollments and ensures the AJC offers the widest possible range of services. Additionally, this move locates the AJC within one mile of the Department of Children's Services (DCS) and Cookeville Higher Education Campus, which will further allow better coordination to serve their clients with our services. The UCLWDB also plans to coordinate with TANF to seek a possible relocation to the new AJC site to increase coordinated service delivery. Partner contracts will be established/renewed to merge and strengthen resources. In addition, new coordination with Pathways Coordinators will introduce services to previously untapped clients.

The UCLWDB will continue to strengthen service delivery through the use of common intake procedures. This expedites referrals and co-enrollment of programs. Affiliate Site staff will continue to be fully briefed on all available resources for continuity of effort/support/services. Distributed among all staff and partners will be a list of community resources such as organizational and faith-based groups that provide services to the community. This will be coordinated with the Headstart and DHS Programs for updated resource listings for each county within the Upper Cumberland LWDA.

5.4 (b) Explain how local/regional partners will identify and partner with local / regional organizations that serve specific types of public assistance populations (i.e. formerly incarcerated individuals, non-custodial parents, etc.) and strategies for leveraging existing resources in the community.

State and Veteran Merit Staff are involved in the District Drug and Veteran Recovery Courts. Veteran and Wagner-Peyser Staff are included in the process for Drug Court and Veteran Recovery Court. As such, the individuals subject to the Court must come see our staff and receive services to assist in removing barriers to employment and may be provided supportive services. Additionally, staff have provided workshops in Bledsoe and Morgan prisons and plan to include Hartsville Prison in the near future. Each is outside our area and coordination across Regional borders is still developing. The Veteran and State Merit Staff also provide services to all county jail and prison inmates within 30 days of discharge to being preparing them for outside employment. This includes workshops on resumes, applications, interview skills, and dress for success. Participants are then co-enrolled with WIOA and other partners to ensure the widest range of services are provided.

Additionally, the UCLWDB seeks continued and expanded coordination between DCS, DHS, and law enforcement (i.e. Parole and Probation Officers, Court, Jail, and Prison Administrators), housing authorities, and homeless shelters. An example of this coordination is currently happening in the Cookeville AJC as it hosts foster care classes in conjunction with DCS. The UCLWDB will also pursue continued and expanded coordination between local, Regional, and State agencies and organizations to better assist clients.

5.5 (c) Describe the role of local/regional partners in helping provide services to and integrating people who are social program recipients into sector pathway programs, including participation in program development, outreach, and provision of specialized supportive services.

Local partners will continue to be key to service integration as the Cookeville Comprehensive AJC re-locates in March 2019. This move will co-locate the center with DHS and have a goal of co-locating TANF as well. The UCLWDB believes co-location will strengthen partner services while allowing for better integration of social program recipients already receiving services other social programs. Also utilized will be the following:

- Outreach to other agencies (i.e. Housing Authority, Social Security, Health Departments, Homeless shelters, etc.)
- Client outreach through public relations methods, advertisements and agency partners.
- Monthly partner meeting to coordinate services of new and existing clients
- Fostering existing and expand to new partners and agencies.
- Business and Client outreach conducted by the business services team, veterans services staff, Wagner-Peyser & WIOA staff, as well as coordinated efforts with partners and agencies. The Business Services Team will conduct outreach to local businesses, higher education campuses, Schools (CTE Directors and Superintendents), chambers, ECD partners, and others.

5.4 (d) Describe the ways in which local/regional partners will work together to provide supportive services to this population and facilitate program completion.

Through co-enrollment with all AJC partners (i.e. Adult Ed, Vocational Rehab, State Merit Staff, SNAP, Title 1 Staff, etc.) the UCLWDB will work together to provide supportive services to the referenced population. Use of the Common Intake form and procedures will promote co-enrollment and staff coordination between programs to ensure complete services are provided and goal metrics are completed. A warm hand off will be coordinated between AJC Core partners and additional agencies or programs such as DHS, DCS, MASH (homeless veteran housing), PATH (civilian homeless housing), Law Enforcement & Courts, and other local / regional partners. Additionally, the future co-location of the AJC and DHS facilitates easier hand off of clients. Service providers will use integrated Individual Employment Plans (IEPs) between programs to ensure all areas are covered. Veterans Services staff, BST members, and Client Outreach staff are coordinated by teams who report to the One-Stop Operator and State Site Leads (Cookeville & Crossville) who also coordinate efforts ensuring continuity of support and operations.

5.4 (e) Describe the process Local Boards and their partners will use to retain this population in regional sector pathway programs as they progress into livable wage jobs and careers.

Title I eligible participants are contacted by the Career Service Provider staff on a monthly basis to encourage continuation of established goals, maintaining accountability and identifying additional barriers that arise during their case management period. After completing their established goals, a participant is exited from services and will receive follow-up for 12 months. The follow-up process tracks the progress of participants in their employment and educational placements through phone calls, emails, meetings, and social media. Services available during follow-up include career development, resolving workplace issues, mentoring, and referrals to community agencies.

5.4 (f) Describe the types of workforce services available to people receiving social program services that are and can be funded by local/regional partners, the baseline level of service (e.g. number of individuals and types of services), and how the local/regional plan will modify the types and quantity of workforce services provided to this population.

Workforce services are available from various sources throughout the LWDA, including the Cookeville Rescue Mission, Highlands Residential Services, the Department of Human Services, Next Steps for Life, Vocational Rehab, etc. The UCLWDB through their contracted OSO and CSP targets populations such as public housing recipients, SNAP beneficiaries, TANF recipients, rural and minority individuals and individuals who are already seeking training services through TN Reconnect. The one-on-one orientation process allows CSP specialists to spend an extended amount of time with each participant. The UCLWDB complies with WIOA Section 188 and applicable provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) regarding the physical and programmatic accessibility of facilities, programs and services, technology, and materials for individuals with disabilities by ensuring all AJCs are equipped with assistive devices for the hearing and vision impaired. Extensive training is provided for all contracted staff to address the needs of individuals with disabilities. (WIOA Section 108[b][6][C]. We will advocate for the populations we serve. For example, requesting appropriate technology, such as CapTel phones, which are an excellent tool for assisting our customers maintain their independence in their career choices.

Section 6: Attachments

Attachment 1

List of Contributors to Local and Regional Plans

Upper Cumberland Local Workforce Area

List of Contributors to the Local and Regional Plans:

Board Staff

Becky Hull, Executive Director

Amy Maberry

Jill Cloyd

Kayla Ketner

State Staff

Sean Patrick Monday

UCLWDB Members

Ryan Barnhardt

Stephen Crook, Chairman

Harrell Tolbert

Pete Story

Bob Young

CLEO

Randy Porter

Area Partners

Tony Scionti- Wagner Peyser

Linda Huddleston- Adult Education

Ryan Barnhardt- Voc Rehab

Joel Blackford- Voc Rehab

Sean Patrick Monday

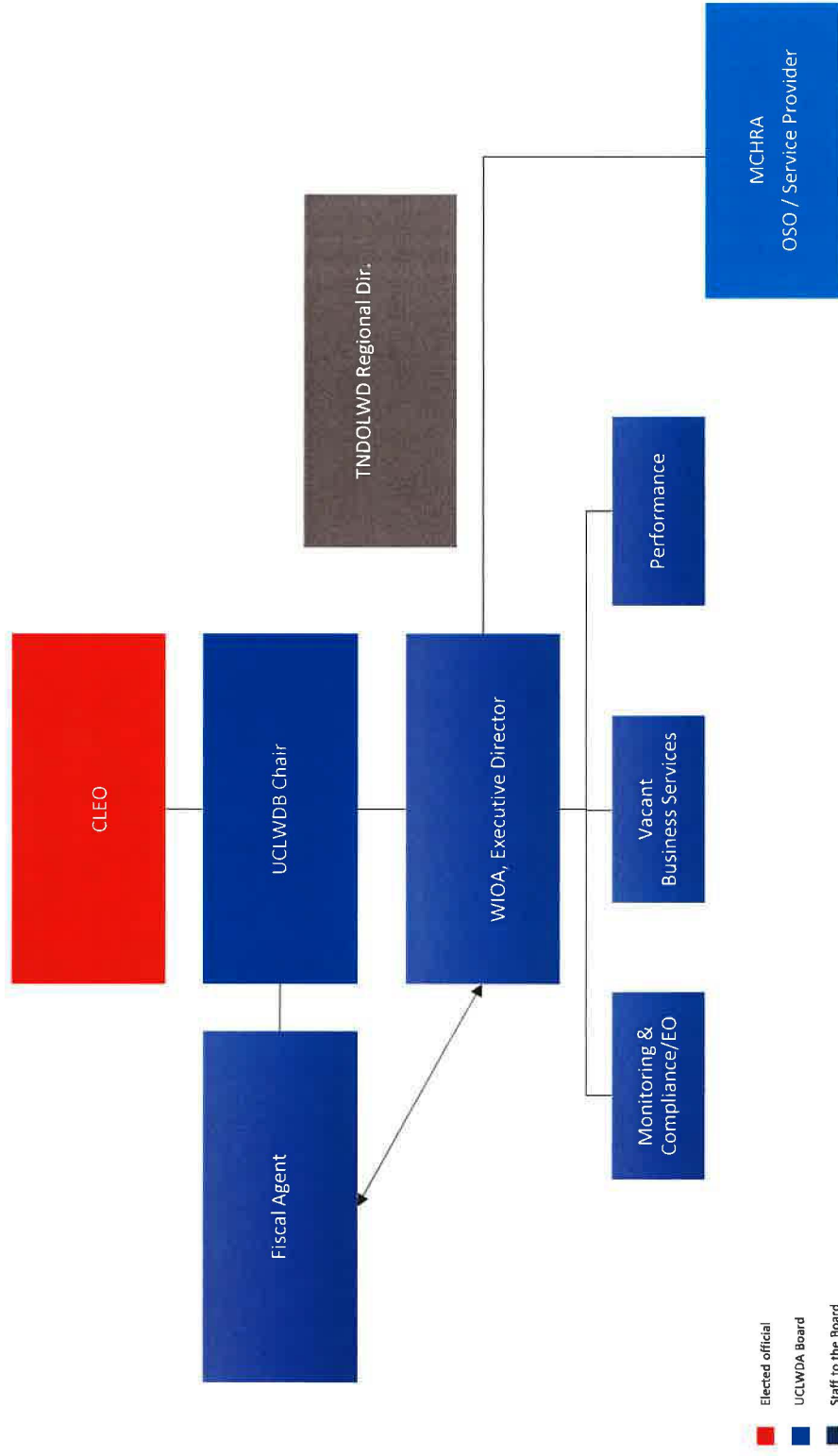
Information on UCLWDB After-Hours Public Planning Meeting:

On Tuesday, December 18, the UCLWDB held an after-hours public planning meeting regarding the regional and local plans. This meeting was held at the Putnam County Comprehensive AJC from 5-6:30pm and was previously advertised on our website. All partners, as well as the public, were invited to attend and provide comment on the plans. There were no public comments given but constructive feedback from partners was received.

Attachment 2

UCLWDB Organizational Chart

Upper Cumberland Workforce



Attachment 3

UCLWDB Procurement Policy



580 S. Jefferson
Cookeville, TN 38501
913.520.6020 (ph)

**Upper Cumberland
Local Workforce Development Board
POLICIES AND PROCEDURES**

Title: PROCUREMENT POLICY
Date of Adoption: 9-25-18

PURPOSE: This policy communicates methods of the Upper Cumberland Local Workforce Development Board (UCLWDB) in the procurement of goods and services obtained with Workforce Investment Opportunity Act (WIOA) funds and sets forth the requirements provided by the Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Final Rule Title 2 of the Code of Federal Regulations, 2 CFR 200.

BACKGROUND: WIOA Section 184(a)(3)(A) requires that each State (including the Governor of each State), local area (including the chief local elected official), and provider receiving funds under this title comply with the appropriate uniform administrative requirements for grants and agreements applicable for the type of entity receiving the funds, as promulgated in circulars or rules of the Office of Management and Budget (OMB).

OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Final Rule Title 2 of the Code of Federal Regulations, 2 CFR 200 supersedes and streamlines requirements from OMB Circulars A-21, A-87, A-110, A-122, A-89, A-102, A-133 and the guidance in Circular A-50 on Single Audit Act follow-up. 2 CFR 200, also referred to as the "Super Circular," consolidates the guidance previously contained in the aforementioned citations into a streamlined format that aims to improve both the clarity and accessibility of the guidance.

POLICY:

A. Cost-Reimbursement Only (WIOA Sec. 184(a)(3)(B))

Procurement transactions under this title between local boards and units of state and local government shall be conducted on cost-reimbursement basis only.

B. General Procurement Standards (2 CFR 200.318)

The UCLWDB will use documented procurement procedures that reflect State and local laws and regulations, provided that the procurements conform to applicable Federal law and standards identified in 2 CFR Parts 200.317 through 200.326.

UCLWDB will maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

The UCLWDB's Conflict of Interest Policy provides standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award, and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he/she has a real, perceived, or potential conflict of interest. Conflicts of Interest must be disclosed in writing when known in advance or announced to the voting body. The party must recuse himself/herself from any further discussion and/or vote on the matter in question. Violations of such standards are subject to disciplinary actions provided in the UCLWDB's Conflict of Interest Policy. *(See UCLWDB Conflict of Interest Policy)*

The UCLWDB's procurement procedures will avoid acquisition of unnecessary or duplicative items and promote cost-effective use of shared services by entering into state and local intergovernmental agreements for procurement or use of common or shared goods and services where appropriate. The UCLWDB will use Federal excess and surplus property in lieu of purchasing new equipment and property whenever such use is feasible and reduces project costs.

The UCLWB will award contracts only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement. Consideration will be given to such matters as:

- 1) contractor integrity;
- 2) compliance with public policy;
- 3) record of past performance; and
- 4) financial and technical resources.

The UCLWDB will maintain records sufficient to detail the history of procurement. These records will include but are not limited to:

- 1) rationale for the method of procurement;
- 2) selection of contract type;
- 3) basis for contractor selection or rejection, and
- 4) the basis for the contract price.

C. Competitive Procurement

All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards provided in 2 CFR 200.319. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements.

The UCLWDB procurement transactions will contain no requirements that unduly restrict competition as specified in 2 CFR 200.319(a) and (b).

The UCLWDB procurement procedures will ensure that all solicitations:

- 1) incorporate a clear and accurate description of the technical requirements for the material, product(s), or service(s) to be procured in a manner that does not duly restrict competition, and
- 2) identify all requirements that the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

The UCLWDB will ensure that all prequalified lists of persons, firms, or products, that are used in acquiring goods and service are current and include enough qualified sources to ensure maximum open and free competition. The UCLWDB will not preclude bidders from qualifying during the solicitation period.

Competitive proposals are normally conducted with more than one source submitting an offer, and either a fixed price or cost-reimbursement type contract is awarded. It is generally used for larger purchases and when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:

- 1) Purchases over \$150,000 must be approved by the UCLWDB;
- 2) Requests for proposals must be publicized on the UCLWDB website as well as applicable legal publications and identify all evaluation factors and their relative importance. Efforts will be made to make the RFP as widely available as possible. Any response to publicized requests for proposals must be considered to the maximum extent feasible;
- 3) Proposals must be solicited from an adequate number of qualified sources;
- 4) The UCLWDB will follow the TDLWD's methods for conducting technical evaluations of the proposals received and for selecting recipients;
- 5) Contracts will be awarded to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered.

All Requests for Proposals (RFPs) that contain requests for One-Stop Operators and Career Service Providers must include the duties set forth in 20 CFR 678.620 which are adopted in the State of Tennessee's Regional and Local Planning policies, as well as the State's One-Stop Delivery and Design System policy. Both the selection of One-Stop Operator and Career Service Provider must be competitively procured, either as one combined or two separate RFPs. The UCLWDB will follow all federal, state, and local competitive procurement requirements in this selection process. Additionally, The UCLWDB will follow the Tennessee State Guidelines for Local Workforce Development Boards One-Stop Operator and

Career Services Provider Procurement as well as the Evaluator Training Guide developed and provided by the Tennessee Central Procurement Office.

ATTACHMENTS: None

EFFECTIVE DATE: October 1, 2018

DURATION: Indefinite

CONTACT: For questions regarding this policy, contact Becky Hull, Executive Director, Upper Cumberland Local Workforce Development Board at bhull@ucworkforce.org



Board Chairperson, UCLWDB

Attachment 4

UCLWDB Individual Training Accounts Policy



580 S. Jefferson
Cookeville, TN 38501
913.520.6020 (ph)

**Upper Cumberland
Local Workforce Development Board
POLICIES AND PROCEDURES**

Title: INDIVIDUAL TRAINING ACCOUNTS
Adopted: 9-25-18

PURPOSE: To ensure that Individual Training Accounts (ITAS) are awarded and managed according to WIOA regulations.

POLICY: Individual training accounts allow Adults, Dislocated Workers and Out-of-School Youth to access training from an entity on the State's approved Eligible Training Provider List (ETPL) that will assist them in obtaining self-sufficient employment. ITAs are developed following a comprehensive assessment of the customer's needs. To receive training services, the assessment should determine that the participant is:

- Unlikely or unable to obtain or retain employment that leads to economic self-sufficiency or wages comparable to, or higher than, wages from previous employment through career services.
- In need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to, or higher than, wages from previous employment through career services.
- To have the skills and qualifications to participate successfully in training services.

In order to expend WIOA dollars on training the following criteria must be met:

1. ITAs are restricted to training for a demand occupation. Demand occupations are those occupations that are in a demand in the local area or in another area in which a customer is willing to commute or relocate. The Upper Cumberland Local Workforce Development Board may also approve training services for occupations determined by the UCLWDB to be in sectors of the economy that have a high potential for sustained demand or growth in the local area.
2. Training should be short-term and not exceed 18-24 months in duration. Ideally, training of 12 months or less is preferred.
3. Training must result in a recognized credential such as a degree, certificate, license, etc.

4. WIOA priority of service requirements will apply to the issuance of ITAs. *See UCLWDB Priority of Service Policy.*
5. Post-secondary education providers must release a participant's financial aid information and all other available financial resources such as Pell grants, TN Reconnect, TN Promise, Wilder/Naifeh, Lottery, TSAC, other scholarships, etc., must be used first towards payment of tuition, fees and books prior to WIOA dollars being expended. A participant may enroll in WIOA-funded training while his/her application for a Pell Grant is pending, provided the OSO has made arrangements with the training provider and the WIOA participant regarding allocation of the Pell Grant if it is subsequently awarded. Reimbursement procedures provided for under WIOA Section 134(c)(3)(B)(ii) will apply.
6. Participants must have access to the Eligible Training Providers List (ETPL) and the participant's choice for a training provider must be observed.
7. The UCLWDB staff member authorizing ITAs must be identified.
8. Full ITA payment for entire programs beyond each training period are not allowed unless the institutions have a refund policy requiring that this will be paid in full.
9. ITAs are to pay for the full cost of training (including books, license fees, training materials, registration fees, supplies, uniforms, etc.) that the institution does not cover.
10. Training ITAs cannot be issued for more than \$5,000 lifetime maximum without the approval of the UCLWDB Executive Director and Executive Officer of the Sub-Recipient.
11. Customer should provide grades/progress reports at the end of each quarter/semester/trimester.
12. ITAs are to be awarded per semester or trimester.
13. Out of state and on-line training provider programs must be on their states eligible training provider list before an ITA can be issued.

Exceptions to the use of ITAs: Contracts for services may be used instead of an ITA only when one or more of the following exceptions apply:

1. The services provided are OJT, customized training, incumbent worker training, or transitional jobs;
2. The UCLWDB determines that there are an insufficient number of Eligible Training Providers in the local area to accomplish the purpose of a system of ITAs;
3. The UCLWDB determines that in the area there is a training-services program of demonstrated effectiveness offered by a community-based organization or other private organization to serve

individuals with barriers to employment and criteria to determine the organizations effectiveness has been established and proven;

4. The UCLWDB determines that the most appropriate training could be provided by an institution of higher education to train multiple individuals for jobs in sector-demanded occupations, provided this does not limit customer choice; or
5. The UCLWDB is considering entering into a pay-for-performance contract and ensures that the contract is consistent with 20 CFR 683.510.

Community-based or other private organizations receiving ITAs should be found to be exceptional and effective, particularly as it applies to the special participant population to be served. When determining if the organization is exceptional and effective, the UCWDB will evaluate the following criteria:

1. Financial stability of the organization.
2. Demonstrated performance in measures appropriate to the program.
3. Relevance of the specific program to UCLWDB needs identified within the area.

For questions regarding this policy, contact Becky Hull, Executive Director, Upper Cumberland Local Workforce Development Board at bhull@ucworkforce.org

Attachments: None

Effective Date: October 1, 2018

Policy Duration: Indefinite



Board Chairperson, UCLWDB

Attachment 5

UCLWDB ETPL Policy

Upper Cumberland
Local Workforce Development Board
POLICIES AND PROCEDURES

Title: Eligible Training Provider Process and Procedures
Date of Adoption:

PURPOSE: This policy provides information and direction for the Eligible Training Provider process, eligibility, application procedures, the appeal process, dissemination of the list, and reporting requirements.

POLICY: In order to maximize customer choice and assure that all significant population groups are served, an Eligible Training Provider process must assure that significant numbers of competent Eligible Training Providers (ETPs), offering a wide variety of training programs and occupational choices, are available to customers. Eligible participants who need training use the Eligible Training Provider List (ETPL) to make an informed choice. In this way, the ETPL helps to provide consumer choice, while also supporting increased performance accountability. Only those programs that are approved/listed on the State's ETPL are eligible for referral and enrollment of a Workforce Innovation and Opportunity Act (WIOA) customer.

I. Eligible Training Provider Access:

A. How to Apply to Become an Eligible Training Provider:

- i. Prospective ETPs must submit initial eligibility criteria through the online application within the State data system, which is currently Virtual One-Stop Data Management Tracking System (VOS). This should include: training services to be offered, information addressing alignment of the training services with in-demand industry sectors and occupations to the extent possible, performance and cost information, and annually meet performance levels on specified performance measures as required and established by the State.
- ii. Staff to the Upper Cumberland Local Workforce Development Board (UCLWDB) will review the initial eligibility online application for verification

and completeness and to verify the training provider is in compliance with all Tennessee regulations pertaining to training authorization.

- a. If the ETP is not compliant or the application is incomplete, the UCLWDB must notify the training provider within fifteen (15) days of receiving the application and prepare the application to be reviewed at the next LWDB meeting.
 - b. If the ETP is compliant and its application is complete, the UCLWDB must review the application within five (5) days of receiving the necessary information
 - c. The UCLWDB cannot send WIOA participants to new training providers until they are approved by a LWDB and the State office has been notified of the approval of the new provider.
- iii. Each provider and/or program must make a formal board presentation seeking approval and full board approval must be awarded through a voting process to be placed on the ETPL. Each provider will have the opportunity to make a board presentation or the staff will be allowed to make the presentation on behalf of the provider based upon the information entered into VOS seeking full board approval.
 - iv. Providers must supply any supplemental information as requested by the board to assist in the initial eligibility decision.
 - v. The provider will be notified of the board decision within ten (10) business days and the VOS system will be updated to reflect the WIOA approval status.

B. Training Provider Eligibility (TEGL 41-14):

To be eligible to receive funds, the training provider must meet at least one of the following requirements:

- i. A postsecondary educational institution that is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965 (20 U.S.C. 1070 et. seq.) and provides a program that leads to an associate degree, baccalaureate degree, or certificate.
- ii. An entity that carries out programs under the National Apprenticeship Act of August 16, 1937; 50 Stat. 664, Chapter 663; 29 U.S.C. 50 et. seq.
- iii. Another public or private provider of a program of training services for the general public or specialized training for participant populations that face multiple barriers to employment such as providers directly associated with the Division of Rehabilitation Services, TN Department of Human Services. These populations include the following categories: low income individuals with barriers to employment and people with disabilities.
- iv. LWDBs if they meet the conditions of WIOA Section 107(g)(1)

- v. Another public or private provider with demonstrated effectiveness providing training to a population that faces multiple barriers to employment. These populations include:
 - a. Displaced homemakers
 - b. Low-income individuals
 - c. Indians, Alaskan natives, and native Hawaiians, as such terms are defined in WIOA Section 166(b)
 - d. Individuals with disabilities, including youth who are individuals with disabilities
 - e. Older individuals
 - f. Ex-offenders
 - g. Homeless individuals (as defined in Section 41403(6) of the Violence Against Women Act of 1994 [42 U.S.C. 1404e-2(6) as amended in 2013]); or homeless children and youths (as H.R. 803-10 defined in Section 725[2] of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a [2] and Section 721).
 - h. Youth who are in or have aged out of the foster care system
 - i. Individuals who are English language learners, including individuals who have low levels of literacy and individuals facing substantial cultural barriers
 - j. Eligible migrant farmworkers, as defined in WIOA Section 167(i), and services to other low-income individuals
 - k. Individuals within two (2) years of exhausting lifetime eligibility under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et. seq.)
 - l. Single parents (including single pregnant women)
 - m. Long-term unemployed individuals
 - n. Other groups the Governor determines to have barriers to employment (WIOA Section 134[c][3][E])

C. Program of Training:

A program of training services should consist of one (1) of the following:

- i. One (1) or more courses or classes that, upon successful completion, leads to a certificate, an associate degree, or baccalaureate degree, or a competency or skill recognized by employers;
- ii. A training regimen that leads to competitive integrated employment for individuals with disabilities that provides individuals with additional occupational skills or competencies generally recognized by employers; or
- iii. Identical programs offered in different locations by the same training provider must be considered as one program, and will not require separate applications unless the regulatory agency uses location as a factor in defining a unique program.

D. ETPL Exceptions:

The following training activities are exempt from utilizing the ETPL process.

- i. On-the-Job training and Customized Training (as defined by WIOA)
 - a. Skill enhancement and workplace literacy are considered to be short-term prevocational and, therefore, are not defined as training services for the purposes of this policy.
 - b. Short-term prevocational services are not tied to a specific occupation and include course-like services such as Literacy and Adult Basic Education, Workplace Literacy, introductory computer classes, as well as development of learning skills, communication skills, interviewing skills, punctuality training, personal maintenance skills, and professional conduct to prepare individuals for unsubsidized employment or training.
 - c. Community-based organizations and other private organizations providing training.

E. Registered Apprenticeship Programs (TEGL 41-14):

- i. Registered Apprenticeship programs are not subject to the same application, performance information requirements, or period of initial 4 eligibility procedures as other providers because such programs have gone through a detailed application and vetting procedure to become Registered Apprenticeship programs, sponsored by the United States Department of Labor.
- ii. In collaboration with the State Director of Apprenticeship, the State will contact all current program sponsors at the time of this writing to elicit their interest in being part of the ETPL. The goal is to place as many Registered Apprenticeship programs on the ETPL as possible.
- iii. In collaboration with the State Director of Apprenticeship, the State will ascertain at least every two (2) years those ETPs that have lost their registration status. iv. The State will work in collaboration with the State Director of Apprenticeship to develop a simplified process for new Registered Apprenticeship programs to become part of the ETPL.
- iv. Minimal information is required for Registered Apprenticeship programs for ETPL placement. The information required is outlined below:
 - a. Occupation(s) included within the registered apprenticeship program,
 - b. Name and address of the Registered Apprenticeship program sponsor,
 - c. Name and address of the provider of related instruction, including location of instruction if different from program sponsor's address,
 - d. Method and length of instruction, and
 - e. Number of active apprentices
- v. Program sponsors that do not provide the related instruction component of a Registered Apprenticeship program may be required to provide additional information about their education provider, including the cost of instruction. This is the only time that cost information will be required for Registered Apprenticeship programs.

- vi. Registered Apprenticeship programs are exempt from performance and reporting-related requirements in order to enable these evidence-based programs to be placed on the ETPL with minimum burden.
- vii. Registered Apprenticeship programs with openings for new apprentices will automatically be considered a statewide demand occupation to facilitate WIOA funding support as appropriate.
- viii. A Registered Apprenticeship program on the ETPL will be available to every Local Workforce Development Area (LWDA) in the State.
- ix. The only criterion that applies to apprenticeships is that they be registered as apprenticeship programs with the U.S. Department of Labor.

F. Out-of-State Providers, Except Registered Apprenticeship Programs:

- i. ETPs that are headquartered outside of Tennessee who do not have in-state training facilities may apply to any LWDB where they wish to provide services. Applications must include all information required by these policies.
- ii. Reciprocal Agreements (WIDA Section 122[g]). Local Workforce Development Boards can send a Tennessee WIDA participant to a provider located in a different State given that the training provider appears on the other State's ETPL.
- iii. Reciprocal Agreements are subject to the following guidelines:
 - a. Use of an out-of-state provider as part of a reciprocal agreement does not assure the ETP placement on the Tennessee ETPL.
 - b. If the ETP wants to appear on the Tennessee TEPL, it must complete the process for becoming an approved Tennessee ETP.
 - c. If the LWDB utilizes a training provider that does not appear on the Tennessee ETPL, it is the responsibility of the LWDB to track and report the necessary performance information needed for subsequent eligibility determinations. To fulfill this obligation, the LWDB must ensure that verification of enrollment, completion, and subsequent placement for ETPs are recorded in the State performance tracking system (currently Virtual One-Stop Data Management Tracking System [VOS]).

G. Out-of-Area Providers, Except Registered Apprenticeship Programs:

- i. If an ETP has a physical presence in the State, its ETPL application must be submitted to the LWDB covering the area where that training provider is headquartered or has its main campus.
- ii. Any LWDB can approve a satellite site for a training program so long as that training provider and program have been first approved by the LWDB in which the provider is headquartered.
- iii. Local Workforce Development Boards can approve training providers for the State ETPL when the training provider does not have a permanent

training structure anywhere in Tennessee; in such a case, such providers are treated as out-of-state training providers.

II. Appeal of Local Workforce Development Board Denial:

A. Provider Application Denial:

- i. If the local board denies a ETPs initial application for listing on the ETPL, the board must, within thirty (30) days from the date of determination, inform the ETP in writing, including the detailed reason(s) for the denial and complete information on the appeal process.

B. Reasons for Denial of Application for Initial Eligibility:

- i. The UCLWDB board or the State may deny eligibility if the application from an ETP is not complete or not submitted within required time frame.
- ii. The LWDB or the State may deny eligibility if an applicant fails to meet the minimum criteria for initial listing specified in this policy (WIOA Section 122[c][1]).
- iii. The UCLWDB may deny eligibility if the training programs offered by the ETP do not lead to gainful employment in in-demand occupations as determined by a labor market analysis.
- iv. The UCLWDB may deny eligibility if the training program demographics (i.e. cost and length) are substantially higher (beyond fifty percent [50%]) than previously approved programs offering the same credential (within the past two [2] program years).
- v. The UCLWDB or the State may deny eligibility if it is determined that the applicant intentionally supplied inaccurate information (WIOA Section 122[f][1][B]).
- vi. The UCLWDB or the State may deny eligibility to a training provider who has been found to have substantially violated any WIOA requirements (WIOA Section 122[f][1][B]).

C. Appeals to the Local Workforce Development Board:

- i. This procedure applies to appeals by the provider to the LWDB based on the denial of a ETPs application for the initial listing on the ETPL.
 - a. A training provider wishing to appeal a decision by the UCLWDB must submit an appeal to the UCLWDB within thirty (30) days of the issuance of the denial notice. The appeal must be in writing and include a statement of the desire to appeal, specification of the program(s) in question, the reason(s) for the appeal (i.e. grounds), and the signature of the appropriate provider official.
 - b. The UCLWDB will have one to three (1-3) impartial appeal officers who are responsible for re-evaluating the supplemental materials supplied by the ETP in addressing the initial reasons for denial. An impartial appeal officer may be any staff member uninvolved in the initial designation.

- c. The UCLWDB will notify the ETP of the final decision of the appeal within thirty (30) days of receipt of the appeal.
- d. The appeal notification will reference the process for filing a State appeal in the event that the ETP is not satisfied with the outcome of the local appeal.

D. Appeals to the State:

This procedure applies only to ETPs who have exhausted the local appeal process and are dissatisfied with the UCLWDB's final decision.

- i. A training provider wanting to appeal to the State must submit an appeal request to the State within thirty (30) days from the LWDBs notification to the training provider of its final decision on an appeal. The request for an appeal to the State must be in writing and include a statement of the desire to appeal, specifications of the program(s) in question, the reason(s) for the appeal (i.e. grounds), and the signature of the appropriate provider official.
- ii. The State will promptly notify the appropriate LWDB when it receives a request for appeal. The State will also notify the appropriate LWDB when it makes the final decision on an appeal.
- iii. The State appeal process includes the opportunity for the appealing ETP to have a hearing. The hearing officer must be impartial. The hearing officer must provide written notice to the concerned parties of the date, time, and place of the hearing at least ten (10) calendar days before the scheduled hearing. Both parties must have the opportunity to: present oral and written testimony under oath, to call and question witnesses, to present oral and written arguments, to request documents relevant to the issue(s), and to be represented.
- iv. The five-member State appeals committee, chaired by the hearing officer, will administratively review the appeal, make a preliminary decision, and notify the ETP and the LWDB. The committee may either uphold or reverse the LWDB decision.
- v. The State appeals committee must render a decision within sixty (60) days from receiving the training provider's initial state-appeal request.

III. Dissemination of the ETPL:

A. Statewide Dissemination and Customer Access:

- i. The State will ensure that the ETPL is accurate and current. The State must ensure that the updated list is available to all LWDBs (WIOA Section 122[d][1]) and to the general public through the State website wherever internet service is available.
- ii. The UCLWDB is responsible for ensuring that all American Job Center (AJC) staff members within the Upper Cumberland area have access to the ETPL, and are knowledgeable about utilizing the ETPL; the UCLWDB is also to

ensure local access to the ETPL for customers within the AJCs (WIOA Section 122[d][1]).

- iii. The UCLWDB is responsible for ensuring that all American Job Center staff within the Upper Cumberland do not allow WIOA participants to enroll in programs that do not appear on the ETPL.

IV. Program Changes:

A. Adding New Programs (Previously Approved Providers):

- i. The ETP must submit the program using the online web application within VOS for addition to the ETPL.
- ii. The application materials are received electronically by the UCLWDB staff and reviewed for completeness.
- iii. After verification of completeness, the application materials are presented to the UCLWDB for its vote on whether to add the program to the ETPL.

B. Adding New Registered Apprenticeship Programs:

Registered Apprenticeship sponsors that want to add new programs to the ETPL must indicate their interest in being included on the list and must use the online web application to submit their programs.

C. Making Changes to Program Information:

- i. Revision(s) to already approved and existing program curriculums must first be approved by the appropriate State authorizing agency (Tennessee Higher Education Commission, Tennessee Board of Regents, etc.).
- ii. The ETPL must submit the proper forms using the online web application to make changes on the ETPL.
- iii. Changes submitted by the ETP are subject to review by the Operator and the State.
 - a. a. Changes in program cost or length that are beyond twenty-five percent (25%) must be resubmitted to the LWDB for approval as a new program.
- iv. It is the responsibility of the ETP to ensure that information displayed on the ETPL is accurate.
 - a. a. ETPs with inaccurate information on the ETPL as discovered in conjunction with a Data Validation review or a Data Accuracy Report are subject to removal from the ETPL for a set suspension period or until all information is corrected (whichever occurs later).

D. Removing Programs from the ETPL:

- i. Any time after initial program approval by the UCLWDB, the ETP - including Registered Apprenticeship programs - can request to have a program removed from the ETPL.

- ii. If a program is removed from the ETPL, with the exception of Registered Apprenticeship programs, the ETP is still required to submit quarterly performance reports until the last WIOA training participant completes or withdraws from the program.
- iii. Failure to submit the remaining quarterly performance reports will subject the ETP to the penalties detailed in Section Nine (9) of the state policy.
- iv. If at any point after initial approval training is temporarily not offered or is permanently deleted from the ETPs selection of the programs, it must be removed from the ETPL within thirty (30) days of the institutional decision.

V. Performance Data (Registered Apprenticeship Programs are Excluded):

A. Provider Quarterly Report Requirements:

- i. ETPs must provide the information necessary to determine program performance and to meet other requirements of the WIOA. The ETP must agree to make available verifiable data to validate any information submitted (WIOA Section 122[d][1]).
- ii. ETPs on the ETPL are required to submit quarterly performance reports to the State. The report must contain individual-level data for all participants in programs offered by the ETP that have serviced at least one (1) student with the assistance of WIOA funding.
- iii. The reports are due to the State on the specified due dates.
 - a. a. Quarterly report due dates: January 15th, April 15th, July 15th and October 15th of every year.
 - b. b. In the event that the due date falls on a State holiday or a weekend reports are due by the conclusion of the next business day.

VI. WIOA Eligible Training State Performance Measures:

The WIOA Participant Program Completion Rate measure, outlined below in Table 1, became available in 2018 and will be reviewed annually by the Governor and the State Workforce Development Board.

Table 1: WIOA Eligible Training Provider State Performance Measures

Performance Measure	Description
All Students Credential Attainment Rate	Total number of students who obtain a recognized post-secondary credential, or a secondary school diploma or its recognized equivalent during participation or 1 year after exit divided by the total number of students exiting the program (both completers and

	non-completers) within the 12 month reporting period
All Student* Employment Rate During 2 nd Quarter After Exit	Total number of students exiting (both completers and non-completers) from the applicable program that were working in unsubsidized employment during the 2nd quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date), divided by the total number of students exiting the program.
All Student* Employment during 4 th Quarter After Exit	Total number of students exiting (both completers and non-completers) from the applicable program that were working in unsubsidized employment during the 4th quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date), divided by the total number of students exiting the program.
All Student* Median Earnings in Employment During 2 nd Quarter After Exit	Median earnings expressed as an hourly rate for all students exiting the applicable program and working in unsubsidized employment during the 2nd quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date).
WIOA Participant Program Completion Rate	Total number of WIOA participants completing the applicable program divided by the total number of WIOA participants exiting the program (both completers and non-completers) within the 12 month reporting period.
WIOA Participant Credential Attainment Rate	Total number of WIOA participants who obtain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent during participation or 1 year after exit divided by the total number of WIOA participants exiting the program (both completers and non-completers) within the 12 month reporting period.
WIOA Participant Employment Rate During 2 nd Quarter After Exit	Total number of WIOA participants exiting (both completers and non-completers) from the applicable program that were working in unsubsidized employment during the 2nd quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date), divided by the total

	number of WIOA participants exiting the program.
WIOA Participant Employment Rate During 4 th Quarter After Exit	Total number of WIOA participants exiting (both completers and non-completers) from the applicable program that were working in unsubsidized employment during the 4th quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date), divided by the total number of WIOA participants exiting the
WIOA Participant Median Earnings in Employment During 2nd Quarter	Median earnings expressed as an hourly rate for WIOA participants exiting the applicable program and working in unsubsidized employment during the 2nd quarter subsequent to the exit quarter (the calendar quarter containing the exit or the completion date).

*Applies to All Students within a WIOA-eligible program.

VII. Performance Measure Calculation Methodology and Process:

A. Performance Measure Calculation Methodology:

The following performance measures will be calculated separately for two distinct Populations of students: Credential Attainment Rate, Employment Rate During 2nd Quarter After Exit, Employment Rate During 4th Quarter After Exit, and Median Earnings 2nd Quarter After Exit-

- i. The WIOA Participant population comprises only students who are participants in WIOA.
- ii. The All Student population includes every student enrolled in a WIOA approved training program.

The Program Completion Rate measure will be calculated for the WIOA Participant population only.

B. Program Completion Rate:

The program completion rate for WIOA Participant populations reflects the following fraction: Number = Total number completing program during the twelve (12) month reporting period.

$$\frac{\text{Total \# WIOA Participants Completing Program in 12-Month Period}}{\text{Total \# WIOA Participants Exiting Program in 12-Month Reporting Period (completers and non-completers)}}$$

The denominator (total number WIOA Participants exiting the program) is defined as the total number of new program enrollments and number of active (continuing) students during the twelve (12) month reporting period minus the total number still enrolled in the program at the conclusion of the reporting period.

$$\begin{array}{rcl} \text{Total \# Exiting Program} & & \text{Total \# Program} & & \text{Total \# Still Enrolled} \\ \text{In 12-Month} & = & \text{Enrollments in 12-} & - & \text{at End of 12-Month} \\ \text{Reporting Period} & & \text{Reporting Period} & & \text{Reporting Period} \end{array}$$

C. Credential Attainment Rate:

The credential attainment rate reflects the following fraction: Numerator= Total number who obtain a recognized post-secondary credential, or secondary school diploma or its recognized equivalent during participation or one (1) year after exit; Denominator = Total number exiting the program (both completers and non-completers) during the twelve (12) month reporting period.

Total # Obtaining Credential, Diploma, or Equivalent During Participation or
12-Months After Exit

Total # Exiting Program in 12-Month Reporting Period

D. Employment Rate During 2nd Quarter After Exit:

The employment rate is represented by the following fraction: Numerator = Total number exiting the program (both completers and non-completers) during the twelve (12) month reporting period with wages reported in the 2nd quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date); Denominator = Total number exiting the program (both completers and non-completers) during the twelve (12) month reporting period.

Total # Exiting Program in 12-Month Reporting Period **with** Wages in 2nd Quarter
After Exit

Total # Exiting Program in 12-Month Reporting Period

Reported employment is found through unemployment insurance records in Tennessee Department of Labor and Workforce Development (TDLWD) and, as available, through other states or through Federal payroll records.

* All student measures will be calculated using only All Student numerator and denominator; WIOA Participant measures will be calculated using only WIOA participant numerator and denominator.

E. Employment Rate During 4th Quarter After Exit:

The employment rate is represented by the following fraction: Numerator = Total

number exiting the program (both completers and non-completers) during the twelve (12) month reporting period with wages reported in the 4th quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date); Denominator = Total number exiting the program (both completers and non-completers) during the twelve (12) month reporting period.

Total # Exiting Program in 12-Month Reporting Period **with** Wages in 4th Quarter
After Exit

Total # Exiting Program in 12-Month Reporting Period

Reported employment is found through unemployment insurance records in TDLWD and, as available, through other states or through Federal payroll records.

* All student measures will be calculated using only All Student numerator and denominator; WIOA Participant measures will be calculated using only WIOA participant numerator and denominator.

F. Median Earnings During 2nd Quarter After Exit:

This measure calculates the median quarterly earnings in unsubsidized employment of individuals exiting the program (both completers and non-completers) during the reporting period with earnings in the 2nd quarter subsequent to the exit quarter (the calendar quarter containing the exit or completion date).

The calculated median quarterly earnings is then divided by five hundred twenty (520) hours (the standard number of hours considered full time employment in a calendar year) to arrive at an hourly rate for comparison to the Federal minimum wage.

Reported employment is found through unemployment insurance records in TDLWD and, as available, through other states or through Federal payroll records.

* All student measures will be calculated using only All Student numerator and denominator; WIOA Participant measures will be calculated using only WIOA participant numerator and denominator.

VII. Subsequent Eligibility Determination:

A. Subsequent Eligibility:

- i. All programs approved for initial eligibility by the UCLWDB must be reviewed annually by the UCLWDB. Subsequent eligibility requirements under WIOA apply to ETPs transitioning to WIOA Title 18 who were previously eligible under WIA Title I and new ETPs that were determined to be initially eligible under WIOA to determine their continued eligibility

to remain on the ETPL. This determination is called "Subsequent Eligibility) (WIOA Section 122[c][2] and 20 CFR 663.530) until changed to WIOA.

- ii. Subsequent eligibility determinations are made on an annual basis using the performance data supplied quarterly by the ETP.
- iii. Only those programs with a minimum of ten (10) WIOA students enrolled during the reporting year are considered for subsequent eligibility decisions.
- iv. Any program that fails to meet the minimum performance standards, as established by the State, will be removed from the ETPL for a minimum period of one (1) program year.
- v. The State compiles and disseminates an annual Subsequent Eligibility Report. The report is posted for public viewing online through the ETPL website.
- vi. ETPs receive the opportunity to review and correct their performance information prior to Subsequent Eligibility decisions and public dissemination of the report.
- vii. The State adheres to the following guidelines when displaying performance data for each provider:
 - a. All programs with a minimum of one (1) WIOA participant during the reporting year will appear in the report.
 - b. For confidentiality purposes, only those programs with a minimum of ten (10) WIOA students enrolled during the reporting year have all their performance data displayed for public viewing.

B. Failure to Meet Subsequent eligibility:

- i. The State must remove a program if, as a result of the subsequent eligibility determination process, the program is found not to have met the minimum levels of performance set by the State (WIOA Section 122[b][1][A]).
 - a. If the State removes a program from the ETPL for subsequent eligibility reasons, the State must, within ten (10) days of its decision, inform the LWDB in writing and include the reason(s) for the removal.
- ii. Prior to removal by the State, the UCLWDB must have the opportunity to submit supplemental performance data in efforts to keep the program on the ETPL. The types of supplemental data submitted may include information explained within WIOA Section 122(b)(2)-(b)(4)(D) and 20 CFR 680.490.
 - a. The specific economic, geographic, and demographic factors in the local areas in which training providers seeking eligibility are located; and
 - b. The characteristics of those served by the eligible training providers seeking eligibility, including the demonstrated difficulties in serving such populations, where applicable.

- iii. Any program removed from the ETPL for subsequent eligibility reasons must remain off of the ETPL for a minimum of one (1) complete program year.
- iv. In order for the program to be added back to the ETPL, the ETP must reapply through the LWDB. Performance data is required as part of the application process for the time period when the program was removed from the ETPL.
- v. While a program is removed from the ETPL for subsequent eligibility reasons, the ETP cannot receive new training participants utilizing ITA funds for the removed programs.

IX. Accuracy of Information:

A. Data Validation:

- i. To ensure that accuracy and validity of the information supplied by Eligible Training Providers, the State conducts data validation visits at least once every year for all ETPs or as warranted eligible by WIOA enrollment numbers.
 - a. During data validation visits, the State audits ETP files to verify previously submitted student, program, and provider information.
- ii. ETPs must meet the enrollment threshold before a data validation visit can occur. The enrollment threshold is as follows:
 - a. An ETP must have a minimum of fifteen (15) WIOA participants enrolled in its combined program offerings over a two (2) year period.
- iii. ETPs will receive at least a twenty-one (21) calendar-day advanced notice of the State's upcoming audit.
- iv. The ETPs must make available all files pertaining to WIOA participants covering the three (3) most recent program years.
- v. Each student file must contain documents to validate the following elements:

(a) Proof of Enrollment	(b) Program of Enrollment
(c) Program Completion	(d) Enrollment Date
(e) Completion Date	(f) Withdrawal Date (if applicable)
(g) Credential Received	(h) WIOA Participant Status

- vi. ETPs must also make available internal documents or sources to validate the following program elements:

(a) Program Name	(b) Program Length
(c) Program Cost	(d) Program Credential Offered

- vii. ETPs may be removed from the ETPL for a period of ten to ninety (10-90) days if the score they receive for data validation is not satisfactory.
- viii. If the State discovers evidence of intentionally misleading performance

information, the ETP will be removed from the ETPL for a period of no less than two (2) years.

- ix. The State will notify the certifying LWDB of the audit findings within ten (10) days of auditing.

X. ETPL Penalties:

A. Removal of a Provider or Program on the ETPL:

- i. The State may remove a program if the ETP fails to submit all the data required for subsequent eligibility determination within the required time frames (WIOA Section 122[b][2]).
- ii. The State may remove a program if an ETP fails to notify the State of any program changes including but not limited to costs, location of training, or change in State authorization status.
- iii. The State may remove a program at any point at which it is determined that the program does not meet the minimum criteria for initial listing specified in this procedure. For example, a program can be removed if its eligibility depended on accreditation, and the accreditation was lost (WIOA Section 122[b][1][E]).
- iv. The State may remove a program if it is determined that the applicant intentionally supplied inaccurate information.
- v. The State may remove a program if the ETP is found to have substantially violated any WIOA requirements.
- vi. The State may remove a program or ETP if it loses its accreditation after an appeal process.
- vii. The State may remove a program or ETP, at the request of the LWDB, for any of the following reasons:
 - a. Unethical/illegal billing practices
 - b. Violations of the Title VI Civil Rights Act of 1964; Title IX of the Education Amendments of 1972; Section 504 of the Rehabilitation Act of 1973; or the Act Discrimination Act 1975.
 - c. Lack of qualified training personnel or building infrastructure
- viii. The State must conduct an investigation prior to removing an ETP at the request of the UCLWDB.
- ix. The State may remove a program or ETP at the request of the institution.
 - a. If an eligible training provider requests removal from the ETPL for a particular program or the institution as a whole; It can be reactivated on the ETPL within one (1) year Assuming that it was in good standing when it was removed and no changes occurred in their program demographics during the removal period.
 - b. If an ETP whose self-requested removal is off the ETPL for

a period of time greater than one (1) year, that training provider must reapply for placement on the ETPL to the UCLWDB.

B. Suspension from the ETPL:

- i. ETPs may be suspended from the ETPL for any of the following actions:
 - a. Failure to submit quarterly performance reports or the exemption claim sheet by the deadlines
 - b. Failure to keep current the eligible training provider and program demographics information displayed on the ETPL
 - c. Failure to respond to a State request for a data validation visit
 - d. Poor performance during a data validation visit
 - e. Failure to submit corrections needed following quarterly report validation by the specified deadline
 - f. Failure to comply with State request for information
- ii. During any State or Federal criminal investigation launched against the institution or key personnel at the institution, the ETP may be removed from the ETPL until a final resolution is reached. Depending on the final resolution, the provider may be permanently removed from the ETPL.

C. Financial Reimbursement:

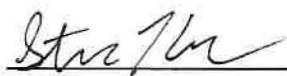
An ETP whose eligibility is terminated as a result of the reasons specified above in Section IX-Subsequent Eligibility Determination (A)(ii)-(vi) of the current policy for a program shall be liable for repayment of all funds received during any period of noncompliance (WIOA Section 122[f][1][C]).

For questions regarding this policy, contact Becky Hull, Executive Director, Upper Cumberland Local Workforce Development Board at bhull@ucworkforce.org

Attachments: None

Effective Date: January 15, 2018

Policy Duration: Indefinite



Board Chairperson, UCLWDB