

**Workforce Innovation and Opportunity Act  
Local/Regional Plan for July 1, 2016 – June 30, 2020**

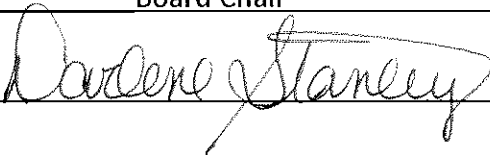
WDB/Region #	3
WDB Chair	Darlene Stanley
WDB Executive Director	Kathleen Randolph
One Stop Operator	Northeast Indiana Works
Adult Service Provider(s) Name and Contact Information	Northeast Indiana Works Kathleen Randolph
Youth Program Manager/Lead Staff	Karen Green
Youth Service Provider(s) Name and Contact Information	Brightpoint – Steve Hoffman SCAN, Inc – Rachel Tobin-Smith

I certify that the information contained herein is true and accurate to the best of my knowledge and that I submit this plan on behalf of the WDB listed above.

**Approved for the Workforce Development Board  
Workforce Development Board Chair**

Name (type or print): Darlene Stanley

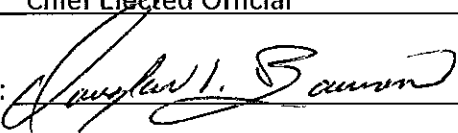
Title: Board Chair

Signature:  Date: 10/19/16

**Approved for the Counties of the Workforce Development Area  
Chief Local Elected Official**

Name (type or print): Doug Bauman

Title: Chief Elected Official

Signature:  Date: Oct. 25, 2016

## Executive Summary

ES. Each local area may submit an executive summary of their plan, if desired; not to exceed 3 pages in length.

This workforce plan describes in detail Northeast Indiana Works' strategy for developing and delivering high-quality workforce services to job seekers and employers in northeast Indiana. As the regional Workforce Development Board (WDB) for northeast Indiana, Northeast Indiana Works intends to accomplish this by implementing a highly integrated workforce development system in northeast Indiana where multiple programs and services are managed through a single and highly accountable structure. Gone are the days of inefficiency when multiple programs are managed and delivered by multiple organizations and staff, each with its own structure to support. Rather, the WDB is fully invested in creating a system of workforce services for both employers and job seekers that is easily accessible, highly functional, and aligned with the specific needs of targeted sectors in the region.

Beyond this vision of a highly integrated and effective workforce system, the WDB has detailed a wide range of critical workforce issues and strategies in its workforce plan for northeast Indiana. The plan will reveal the following key visions and strategies:

- **Support the “Big Goal”:** In northeast Indiana, community leaders from across the region have come together in support of the Big Goal. In simple terms, the Big Goal is to increase the percentage of northeast Indiana residents with high-quality degrees or credentials to 60% by 2025. Currently, 37.5% of residents have acquired postsecondary degrees or credentials. Because 60% of jobs will require a degree or credential by 2018, reaching this goal is critical to developing, attracting and retaining talent necessary for the success of businesses and the growth of per capita income in the region. Because Northeast Indiana Works is committed to supporting the Big Goal, the workforce plan details a wide range of skill development strategies (everything from basic computer classes to advanced skills training) that are aimed at increasing the number of northeast Indiana residents with high-quality degrees and credentials.
- **Targeted Investments:** The workforce plan provides an oversight of the regional labor market, which has undergone a significant and positive transformation in the past few years. Because labor market data will be used to guide the investment of training resources in the coming years, this is a critical element of the regional workforce plan. The manufacturing sector remains strong in northeast Indiana and this sector continues to pay some of the highest average wages in the region. Based on projected growth and hiring trends, other sectors that are to be regionally targeted include health care, construction and logistics. To support these sectors, Northeast Indiana Works will invest training resources in building a talent pipeline by working collaboratively with sector partnerships formed of both employers and educators involved in the sector.
- **Align With and Support Economic Development Activities:** The plan details Northeast Indiana Works' commitment to aligning workforce and economic development resources in the region by working in

close partnership with economic development organizations at both the regional and county levels. This includes continued co-location with the Indiana Economic Development Corporation (IEDC) and the Northeast Indiana Regional Partnership, active participation in the regional Local Economic Development Organization (LEDO) Council and strong support of economic development projects with available workforce resources when appropriate.

- **Focus on Accountability:** Northeast Indiana Works will hold itself, its staff and its service providers accountable to produce strong program results. This will ensure that resources are only invested in training and skill development activities that produce sustainable jobs for unemployed and underemployed workers at good pay. In addition, the workforce plan sets forth stringent fiscal accountabilities to ensure that workforce resources are used in a manner that complies with state and federal rules.
- **Aggressive Offering of Services:** In the current economic environment where so many employers are having challenges finding the skilled workers they need, Northeast Indiana Works is raising the bar and requiring WorkOne Northeast career centers to deliver even higher quality and more skill-focused services to job seekers. Expanded technology courses, more intensive support of adult education activities, continued expansion of the region's on-the-job training program (OJT), and expanded attention to business customers are just four examples of this vision. Throughout the year, Northeast Indiana Works will closely track progress on these and other initiatives to ensure success in these efforts.
- **Strong Support of Employer Customers:** Northeast Indiana Works is making a strong commitment to addressing the skill needs of employers in the region. Northeast Indiana Works views employers as the primary customer of the regional WorkOne system and believes that the development of a regional talent pool in support of employers is a primary responsibility of the workforce system. Northeast Indiana Works has aggressively worked to support and facilitate multiple employer-driven, sector-based partnerships in the region and deploys a team of Business Services Representatives (BSRs) that support employers across the region. Through this approach, services to employers in northeast Indiana will include assistance with the Indiana Career Connect online job matching system, customized recruitment events, customized applicant screening and assessment, OJTs, and pre-employment training programs that develop a pre-qualified pool of applicants for an employer.
- **Streamlined Customer Flow:** With such a great need for skill development support in the region, Northeast Indiana Works continues to refine and improve its customer flow to ensure that an even larger number of unemployed and underemployed workers can quickly gain access to critical skill development services. This includes both a highly efficient triage process at the front door to ensure that customers are immediately engaged with the services they need, as well as a systemic process for ensuring that customers are continuously engaged in WorkOne services until they secure gainful employment.

## Section 1: Workforce and Economic Analysis

Please answer the following questions in 10 pages or less. The Department of Workforce Development has Regional Labor Market Analysts assigned for each of the regions. These experts can assist in developing responses to the questions 1.1 through 1.3 below. **Questions that require collaborative answers for regions 5 & 12 are designated with an \*.**

**1.1\*** An analysis of the economic conditions, including existing and emerging in-demand industry sectors and occupations; and the employment needs of employers in those industry sectors and occupations. [WIOA Sec. 108(b)(1)(A)]

Over the past several years, northeast Indiana has experienced low unemployment rates, a high rate of employment growth in multiple employment sectors, and increasing wage rates for specific occupations within these sectors. Based on employment levels, the five largest sectors in the northeast Indiana economy are:

Sector	Employment Base	Average Earnings
Manufacturing	82,000 workers	\$62,429
Health Care	48,000 workers	\$50,787
Wholesale Trade	15,000 workers	\$57,917
Construction	13,000 workers	\$56,050
Transportation/Warehousing	13,000 workers	\$52,730

While the specifics vary by sector, within each of these established sectors there is a consistent and defining challenge that revolves around the need for increasingly hard-to-find skilled workers. Specific workforce challenges facing each of these sectors:

Within the manufacturing sector, northeast Indiana is projected to need an additional 8,000 new workers by 2025 (this is based on a 5% growth projection for the sector). Employment growth within the manufacturing sector is complicated, however, by the fact that 21.1% of all workers in the sector are 55 or older and eligible for retirement within the next decade. Conversely, only 7.8% of all workers in the manufacturing sector are 25 or younger, meaning there are nearly three times as many workers nearing retirement as there are new to the sector. This imbalance has considerable long-term implications for the manufacturing sector and represents one of the major workforce challenges faced in northeast Indiana.

While the sector will need workers across the full range of manufacturing occupations, specific employment needs projected to be most critical within the manufacturing sector include:

- CNC Machinists – 15% projected job growth with an average wage of \$15.57/hr
- Maintenance/Repair Technicians – 6% projected job growth with an average wage of \$18.06/hr
- Machinists – 9% projected job growth with an average wage of \$19.85/hr
- Team Assemblers – 8% projected job growth with an average wage of \$14.90/hr
- Welders – 9% projected job growth with an average wage of \$16.95/hr
- Supervisors – 5% projected job growth with an average wage of \$25.09/hr

Within the health care sector, there is a projected need in the region for an additional 11,500 workers by 2025 (based on a projected growth rate of 24%). Specific occupations where the projected need for workers is greatest include:

- Registered Nurses – 23% projected growth with an average wage of \$25.09/hr
- Licensed Practical Nurses – 25% projected growth with an average wage of \$18.16/hr
- Medical Secretaries – 23% projected growth with an average wage of \$14.12/hr
- Dental Assistants/Hygienists – 24% projected growth with an average wage of \$17.75-\$30.23/hr

Beyond these traditional health care occupations, Northeast Indiana Works is aware that there are new jobs emerging in the health care sector that are likely to create a demand for workers with new kinds of skills. Such jobs include health information technology (HIT) specialist and nurses with specific specializations, such as elder/Alzheimer care.

Wholesale trade is sometimes overlooked as a sector, but with an 8% projected growth rate for the sector by 2025 there is a projected need for an additional 1,200 workers in the next decade. The need for truck drivers dominates the landscape for this sector, with a projected need for 18% more CDL-certified truck drivers by 2025. Other occupations within the sector with significant projected employment needs include:

- Sales Representatives – 10% projected growth with an average wage of \$26.92/hr
- Shipping/Receiving Clerks – 6% projected growth with an average wage of \$13.29/hr
- Accounting Clerks – 8% projected growth with an average wage of \$15.69/hr
- Material Movers – 10% projected growth with an average wage of \$11.33/hr

The construction sector employs nearly 13,000 workers and this sector is projected to have some of the greatest percentage growth in northeast Indiana. Based on available data, employment in the construction sector is projected to grow by 19% by 2025, meaning the sector will need an additional 2,400 workers in the next decade. Within the sector, employment growth is projected across virtually every occupation; however, employment growth within specific skilled trades occupations represents some of the highest growth numbers projected for the region. Included in these occupations are:

- Carpenters – 23% projected growth with an average wage of \$18.14/hr
- Plumbers/Pipefitters – 31% projected growth with an average wage of \$28.29/hr
- HVAC Technicians – 40% projected growth with an average wage of \$19.78/hr
- Construction Laborers – 19% projected growth with an average wage of \$14.99/hr
- Supervisors – 21% projected growth with an average wage of \$26.04/hr

Like the manufacturing sector, the construction sector also faces a significant challenge with projected retirements. Currently, 18.2% of all workers in the construction sector are 55 or older and eligible for retirement within the next decade. Conversely, only 9% of all workers in the sector are 25 or younger. Within this sector, then, there are twice as many workers nearing retirement as there are new to the sector. This issue has significant implications for the construction sector and represents another major workforce challenge for northeast Indiana.

The transportation and warehousing sector also employs a large number of workers and is projected to need many of the same kinds of workers as the wholesale trade sector. In total, the transportation and warehousing sector is projected to need an additional 1,700 workers by 2025 (based on a projected growth rate of 14%). Again, CDL dominates the hiring landscape in this sector, which is projected to need 11% more CDL-certified truck drivers in the next decade. Other occupations in the sector with significant projected employment growth include:

- Mechanics/Diesel Engine Specialists – 9% projected growth with an average wage of \$18.98/hr
- Supervisors – 12% projected growth with an average wage of \$25.53/hr
- Industrial Truck Operators – 7% projected growth with an average wage of \$16.46/hr
- Material Movers – 21% projected growth with an average wage of \$11.33/hr

1.2 An analysis of the knowledge and skills required to meet the employment needs of the employers in the local area, including employment requirements for in-demand industry sectors and occupations. [WIOA Sec. 108(b)(1)(B)]

Operating as a demand-driven workforce system for years, Northeast Indiana Works has paid close attention to the knowledge and skill requirements of the sectors being targeted and supported. Key data about skill requirements comes from an analysis of online job ads being used by employers in northeast Indiana. From online job ads posted in the first quarter of 2016, the following insight can be gained about the skill requirements and needs of each sector:

- Manufacturing – employers in this sector are seeking workers with the following technical skills: (1) material handling, (2) lean manufacturing, (3) preventive maintenance, (4) quality assurance and control, (5) CNC machining and (6) AutoCAD.
- Health Care – a range of employers in this sector are seeking workers with the following technical skills: (1) working with children, (2) working with the elderly, (3) critical care, (4) working with emergencies, (5) labor and delivery and (6) electronic medical records.
- Wholesale Trade – this sector is communicating a clear need for workers with the following skills: (1) quality assurance and control, (2) marketing, (3) preventive maintenance, (4) customer relationship management and (5) lean manufacturing.
- Construction – workers in this sector are needed with the following technical skill sets: (1) driving an excavator, (2) reading blueprints, (3) marketing and sales, (4) bilingual skills, (5) equipment maintenance, (6) SolidWorks CAD systems and (7) preventive maintenance.
- Transportation/Warehousing – Employers in this sector are looking for workers with these specific technical skills: (1) quality assurance and control, (2) software management skills, (3) freight management, (4) preventive maintenance, (5) Hypertext markup language and (6) JavaScript.

There are some common themes from these sought-after skill sets that have been communicated by employers through their online job ads. Such common themes would indicate that employers across all sectors are seeking workers with critical quality control skills, basic maintenance skills, advanced technology skills, and customer relationship skills.

Employers have also communicated – again through their online job ads – that there are basic employability skills that workers must possess. While the specific list of these employability skills varies slightly by sector, it is clear that seven of these skills consistently rise to the top. These seven basic employability skills are: (1) oral/written communication, (2) basic technology skills, (3) problem solving, (4) attention to detail, (5) customer service, (6) self-starting/self-motivated and (7) teamwork. It is also noteworthy that Northeast Indiana Works has been tracking online job ads for the past two-plus years and this list of basic employability skills required by employers has changed little over that time.

All of this information has significant implications for northeast Indiana. Because employers have been relatively clear about the technical and employability skills they need in workers, regional education, workforce, youth development and community-based programming must be reviewed to ensure that these critical skill sets are fully embedded into new and existing talent development programming. For Northeast Indiana Works, WorkOne Northeast services (everything from workshops to counseling programs) must be focused on developing these skill sets.

1.3 An analysis of the local workforce, including current labor force employment (and unemployment) data, and information on labor market trends, and the educational and skill levels of the workforce in the region, including individuals with barriers to employment and youth. WIOA Sec. 108(b)(1)(C)]

Per recent Census information, the population of the 11-county northeast Indiana region is 765,050. Within this overall population count, there are several interesting observations:

- There is a clear trend toward the aging of the regional workforce. In fact, data regarding the age of the workforce indicates that the population of individuals between the ages of 1 and 44 is declining in the region while the population of individuals older than 45 is on the rise. This dynamic has clear implications for the region; there will be fewer workers available to replace baby boomers who retire in the years ahead.
- It is also observable in the data that the number of single-parent households is on the rise in the region (currently, nearly 1 in 10 households in the region is a single-parent household). This population dynamic will also create challenges for workforce, education and human services systems that need to serve a growing number of single parents and their children.
- Population data also reveals that the diversity of the regional workforce is growing. Recent Census information indicates that slightly more than 1 in 10 residents in the region are African American, Asian, or a member of two or more race groups. Another 5.5% of the region's population considers itself to be Hispanic.

In addition to base population information, it should be noted that the number of individuals and families participating in Temporary Assistance for Needy Families (TANF) and food stamp programs continues to be high. In calendar year 2015, an average of 801 families participated in the TANF program monthly. Even more telling, is the fact that there were 85,064 Food Stamp recipients in calendar year 2015. As employers struggle to locate workers to fill open positions across the region, this large number of public assistance recipients clearly represents a talent-development opportunity for the region, even though it does come with a specific set of challenges for the workforce system.

Another critical regional demographic speaks to educational attainment levels; on this, northeast Indiana continues to struggle. American Community Survey 2010-2014 five-year estimates that were released by the U.S. Census Bureau in December 2015 indicates the following levels of higher education attainment in northeast Indiana:

- 46,034 individuals possess an Associate's Degree
- 72,456 individuals possess a Bachelor's Degree
- 36,803 individuals possess a Master's Degree or better

To address these lower-than-desired numbers, northeast Indiana community leaders from across the region have come together in support of the Big Goal. In simple terms, the Big Goal in northeast Indiana is to increase the percentage of residents with high-quality degrees or credentials to 60% by 2025. Currently, 37.5% of residents have acquired postsecondary degrees or credentials. Because 60% of jobs will require a degree or credential by 2018, reaching this goal is critical to developing, attracting and retaining the talent necessary for the success of businesses and the growth of per capita income in the region. Northeast Indiana Works is committed to supporting the Big Goal and is investing workforce resources into skill development strategies (everything from basic computer classes to advanced skills training) that are aimed at increasing the number of northeast Indiana residents with high-quality degrees and credentials.

There is one other important educational attainment number that must be addressed. Not lost in the most recent five-year projection data is the fact that about 60,000 adults in the region do not currently possess even the most basic academic credential of all – a high school diploma or equivalent. The absence of this basic academic credential virtually eliminates these 60,000 individuals from accessing careers and career pathways that lead to high wages. As the region continues to work on addressing employer hiring and skill needs (especially in light of worker shortages), these 60,000 individuals cannot be left behind. As such, this number clearly underscores the critical importance that regional adult education programs need to play in developing the regional talent pool.

One final demographic that is also important to developing a full and complete understanding of the region is labor force participation and unemployment data. Using published data from the Indiana Department of Workforce Development (DWD), the 2015 northeast Indiana labor force is 378,112 workers strong. Unfortunately for northeast Indiana, this represents an increase of only 6,233 workers in the past three years. This slow growth in the size of the regional labor force is the primary driver of the Regional Cities Initiative approach taken in northeast Indiana (called "The Road to One Million") to increase the region's population to one million by 2031. Clearly, growing the size of the regional labor force is yet another workforce challenge that is being addressed in northeast Indiana.

April 2016 data from DWD also documents that 361,428 individuals in the labor force are currently working. As such, the unemployment rate in northeast Indiana stands at 4.5%, which is below what many economists define as full employment. As of April 2016, there were 16,684 individuals in the northeast Indiana labor force that were unemployed. Finding a meaningful way to engage these workers in training activities is an important element of the regional worker training strategy.



## Section 2: Strategic Vision and Goals

Please answer the following questions of Section 2 in eight pages or less. Section 2 responses should reflect input from members of the local workforce development board and other community stakeholders. **Questions that require collaborative answers for regions 5 & 12 are designated with an \*.**

2.1 Provide the board's vision and goals for its local workforce system in preparing an educated and skilled workforce in the local area, including goals for youth and individuals with barriers to employment. As to youth, describe unique goals for in-school youth and out-of-school youth. [WIOA Sec. 108(b)(1)(E)]

Northeast Indiana Works' vision is to develop, attract and retain talent. This vision, which has been in place for several years, is an outgrowth of extensive dialogue and work with key regional partners. Included in these conversations were the Northeast Indiana Regional Partnership (regional economic development organization), the Regional Chamber of Northeast Indiana (regional advocacy group), the LEDO Council (regional collaboration of county-based economic development groups), the regional Mayor's and Commissioner's Caucus, and other similar groups. What has occurred in northeast Indiana is truly transformational – the region has coalesced around the vision of talent development with a full understanding that workforce challenges must be addressed if the region is to succeed economically. While each partner in these discussions has a specific role to play in support of talent development activities, Northeast Indiana Works' specific contribution to this vision is to develop, attract and retain talent.

To ensure success in achieving this vision, Northeast Indiana Works has established a number of goals that drive and define the local workforce system. These goals include:

1. Operate a demand-driven system;
2. Develop collaborative relationships with key partners;
3. Use data to inform every decision or investment of talent development resources;
4. Identify and share resources to support talent development programming; and;
5. Think out of the box and consider innovative solutions to traditional workforce challenges.

**Goal 1:** Operate a Demand-Driven System – Northeast Indiana Works operates under the premise that the employer is the ultimate customer of the workforce system and that a skilled worker is the product that must be delivered. To ensure that employer hiring and skill needs always drive talent development efforts in the region, specific strategies have been developed to convene and facilitate sector partnerships. Sector partnerships – employer-led collaboratives that engage educators, workforce and economic development organizations and other critical community-based stakeholders – have been formed in multiple counties across the region. Northeast Indiana Works plays a significant role in supporting each of these sector partnerships and is committed to developing new programming and talent development strategies in collaboration with these partnerships. Currently, sector partnerships exist in support of the manufacturing sector, the skilled trades/construction sector and the insurance sector.

**Goal 2:** Collaboration – If the region is to successfully address its workforce and talent development challenges, collaboration is viewed as the only road to success. Northeast Indiana Works has established significant partnerships with virtually every component of the talent development system in the region. As noted earlier, northeast Indiana – as a region – has adopted the Big Goal of increasing the percentage of northeast Indiana

residents with high-quality degrees or credentials to 60% by 2025. Northeast Indiana Works is fully invested in the Big Goal and has aligned its resources to supporting its attainment. This alignment has been achieved as a result of significant collaborations with employers and employer groups, economic development organizations, high schools, Career and Technical Education (CTE) programs, adult education programs, postsecondary institutions, elected officials, and a range of human services and youth development organizations across the region.

**Goal 3:** Be Data Driven – The best decisions are always supported with data. Northeast Indiana Works is 100% committed to reviewing all available data when developing solutions to workforce challenges. The best example of data that can help shape decisions is labor market data. Labor market data is regularly provided by the DWD Labor Market Analyst; however, such data can also be provided directly by employers through hiring/wage surveys, other sector partnership activities, and even through local business service organizations such as economic development corporations and chambers of commerce. Another good example of data that shape decisions is program performance data. This kind of data focuses on individuals being served and the outcomes that are achieved through the delivery of workforce services. Such data can be evaluated to better understand whether or not job seeker and employer services are effective. Northeast Indiana Works understands and is committed to reviewing program performance data as a means of achieving continuous improvement with all workforce activities in the region.

**Goal 4:** Share Resources for Maximum Impact – While Northeast Indiana Works is fortunate to have resources that support worker training activities in the region, it has become clear that internal resources are simply insufficient to meet the workforce needs of the region. As such, developing funding collaboratives with communities, employers, and other organizations that collectively support worker training initiatives is a must. Examples of partnerships that are in development include partnerships with cities/counties for CREDIT resources, partnerships with community foundations for worker training resources, and collaborative grant-writing efforts designed to capture resources supporting everything from CTE programming to incumbent worker training.

**Goal 5:** Be Innovative – Employer skills needs are rapidly evolving as technology and worker shortages create pressures on the labor market. To be effective, talent development activities and workforce programming must evolve equally as fast. Northeast Indiana Works fully understands that it cannot simply offer traditional workforce programming in light of today's employer skills needs. Northeast Indiana Works is committed to upping its game and is working with partners across the system to develop new programming that supports today's need for skilled workers. Many times, this will involve serving a specific target group – such as individuals with disabilities, English-language learners, and offenders – that can be skilled-up to help address worker shortages. Other times, this will involve the development of new programming designed to address specific skill shortages in a targeted sector, such as the shortage of maintenance talent in the region. To implement this approach, Northeast Indiana Works will collaborate with secondary and postsecondary institutions to ensure that top-quality skill training programs (all of which will result in industry-recognized credentials) are available at times and locations that afford the greatest level of access to individuals, workers and students.

**Goal 5:** Provide opportunities for youth to be educated on and attain skills applicable to in-demand careers within the region - In-school goals include comprehensive and integrated services that promote enhanced academic achievement, successful graduation, awareness of post-secondary and technical education, work

readiness, and connections to the world of work through the Jobs for America's Graduates (JAG) program. The focus is on drop-out prevention; preparation for post-secondary college or technical schools; and assistance with work related goals. These priority services are delivered in partnership with the school system in which the youth is enrolled.

Out-of-school goals for younger youth (age 16-18) include returning the youth to school for secondary education completion; awareness of post-secondary and technical education; work readiness; and connections to the world of work. For those who are 19-24 years old, primary emphasis is on completing their secondary-education and on building connections to advanced training and/or post-secondary education tied to the completion of a WIOA approved credential. For older out-of-school youth, a plan for financial self-sufficiency is the backbone of the service strategy.

For both in-school and out-of-school youth, Northeast Indiana has focused on skills that:

- Result in the achievement of basic education skill levels necessary for entry into the labor market,
- Work readiness skills that are broken down into two categories - career development and work ethic skills. Career development skills that help participants choose a career, search for and obtain employment. Work ethic skills create an understanding of and the ability to respond to the basic requirements of the work environment, and
- Occupational skills training will prepare participants to meet the entry level of specific skills relative to their possible occupation goals. The program also provides opportunities for classroom training, on-the-job training, worksite training and support services in order to enhance the youth's employability and opportunities for post-program participation.

2.2 Describe how the board's vision aligns with and/or supports the vision of the State Workforce Innovation Council (SWIC) as set out in the WIOA State Plan. A copy of the State Plan can be found at: <http://www.in.gov/dwd/2893.htm>

As communicated in the Indiana Workforce Innovation and Opportunity Act (WIOA) state plan, SWIC has identified two key elements to its strategic vision: (1) that every Indiana business will find the educated and skilled workforce necessary to compete successfully in the global economy and (2) that every Indiana citizen will have access to the information, education and skills required for career success. Northeast Indiana Works has clearly aligned its vision and goals with the strategic vision from the SWIC.

Alignment of visions can be seen in a number of critical ways. First, both Northeast Indiana Works' and the SWICs' vision statements focus on ensuring that employers have the talent required to compete economically. Northeast Indiana Works' vision details this commitment through the development, attraction and retention of talent in the region. The SWIC vision, similarly, commits to employers that they will be able to find the talent needed to globally compete. Second, both visions make a strong commitment to ensuring that individual workers have access to quality skill development information and programming. Northeast Indiana Works' vision makes the commitment through the provision of data-driven programming that is innovative and relevant to the regional labor market. The SWIC vision statement makes nearly the same commitment, but does so by ensuring worker access to the information, education and skills required for career success. In other words, both vision statements make strong commitments to meeting employer talent needs through the delivery of quality information and programming to individuals and job seekers.

2.3 Describe how the board's goals contribute to each of the SWIC's goals:

- GOAL 1: SYSTEM ALIGNMENT - Create a seamless, one-stop delivery system where partners provide worker-centric and student-centric integrated services.

Partners within the talent development system are working with limited resources and limited information about the services being provided by one another. Agencies have similar goals and complementary services, yet programs often operate in silos. The system should align around solutions, rather than funding streams and programs. Greater focus must be given to a true systems approach that aligns resources to maximize their impact and fundamentally transform the way workers and students engage with and are served by the system. Within such an approach, agencies and organizations work together, integrating resources and services, goals, strategies and successes, and ensuring that students and workers are provided with opportunities to improve their education, knowledge, and skill levels.

- GOAL 2: CLIENT-CENTRIC APPROACH - Create a *client-centered* approach, where system partners and programs coordinate in a way that each individual worker or student has a pathway to improving his or her education, knowledge, skills and, ultimately, his or her employment prospects, with a focus on in-demand careers.

The state's education, job skills development and career training system must ensure that talent development efforts focus on the individual student's or worker's aspirations and needs and provides all students and workers with access to pathways for improving employment prospects. In many cases throughout the existing system, activities and services provided are *program-focused*, with the specific program being placed at the center of service delivery. In such a model, greater focus is given to meeting program requirements and less attention is paid to truly serving the individual. This has left the workers or students navigating a complex web of program requirements, often having to visit multiple program locations, multiple times, and providing the same information at each stop in order to receive the services needed. This paradigm must shift dramatically towards ensuring that system partners and program requirements are aligned with the worker or student at the center of service delivery. In this *client-centered* approach, system partners and programs coordinate in a way that each individual worker or student has a pathway to improving his or her education, knowledge, and skills and entering into a fulfilling and rewarding career, with partner and program resources designed to complement the individual's pathway.

- GOAL 3: DEMAND DRIVEN PROGRAMS AND INVESTMENTS -- Adopt a data-driven, sector-based approach that directly aligns education and training with the needs of Indiana's business community.

The National Governors Association reports:

Sector strategies are among the few workforce interventions that statistical evidence shows to improve employment opportunities for workers and to increase their wages once on the job. Employers report increases in productivity, reductions in customer complaints, and declines in staff turnover, all of which reduce costs and improve the competitiveness of their companies.<sup>1</sup>

Due in part to the limited public resources available for education, training, and career development, it is important that the State ensure that the resources it makes available are closely aligned with the sectors that are key drivers of the state's existing and emerging economy. Further, partners within

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<sup>1</sup> National Governors Association, "State Sector Strategies Coming of Age: Implications for State Workforce Policy Makers." <http://www.nga.org/files/live/sites/NGA/files/pdf/2013/1301NGASSSReport.pdf>

Indiana's education, job skills development, and career training system must enhance their ability to engage meaningfully with employers within these sectors, and ensure that programming addresses the emerging and existing education, knowledge, and skill needs of these sectors from entry level to advanced. Concurrently, the State and its partners need to ensure that there are effective and meaningful forums for employers in these sectors to collaborate with each other and to work with the system's partners.

The SWIC's strategic plan includes a number of strategies under each goal. Local boards are not expected to address how each strategy will be implemented. It is up to the discretion of the local board to determine what strategies best fit the local needs.

The SWIC established three goals in its state plan:

1. SYSTEM ALIGNMENT – Create a seamless one-stop delivery system where partners provide worker-centric and student-centric integrated services;
2. CLIENT-CENTRIC APPROACH – Create a client-centered approach, where system partners and programs coordinate in a way that each individual worker or student has a pathway to improving his or her education, knowledge, skills and, ultimately, his or her employment prospects, with a focus on in-demand careers; and,
3. DEMAND-DRIVEN PROGRAMS AND INVESTMENTS – Adopt a data-driven, sector-based approach that directly aligns education and training with the needs of Indiana's business community.

As evidenced from the description of Northeast Indiana Works' goals in section 2.1 of this plan, regional goals established by the workforce board are aligned with and directly contribute to the three identified SWIC goals.

The first SWIC goal addresses the need to achieve system alignment where partners in the talent development system have similar goals, align around solutions rather than funding streams, and offer joint programming as opposed to duplicative programs. To fully achieve this, greater focus must be given to a true systems approach that aligns resources to maximize their impact and fundamentally transform the way in which workers and students engage with the workforce system. Within such an approach, agencies and organizations work together, integrate resources and services, share goals, strategies and successes, and ensure students and workers are provided with opportunities to improve their education, knowledge, and skill levels.

Northeast Indiana Works began working on system alignment and the integration of operations in 2008 and has continued to push forward with these concepts ever since. As a result, in northeast Indiana an individual can now access a wide range of workforce programs and services through a single visit to a WorkOne Northeast career center. However, as expressed in Northeast Indiana Works' goal statements, continued collaboration is the key to ensuring an even greater level of system alignment and programmatic integration within the talent development system. This is being accomplished through the development of meaningful Memoranda of Understandings (MOUs) with key partners that detail shared goals, shared programming, and the joint use of resources to achieve results.

Organizations that have been identified as key to this approach include adult education providers, organizations serving individuals with a disability, organizations serving individuals on public assistance, organizations serving offenders, and organizations that provide housing, child care and other critical services to disadvantaged

individuals. This is not a complete list of every organization with whom Northeast Indiana Works will collaborate; however, all of these organizations do have one critical thing in common. All of these organizations provide support and services to individuals who many times are not fully connected to the labor market. With employer skills and worker shortages being reported throughout the region, Northeast Indiana Works understands that these workers cannot be left behind.

The second SWIC goal focuses on the service delivery process to ensure that system partners and programs coordinate in a way that every worker and student has a pathway to improving his or her education and skills. Moreover, the goal is clear in its intent to ensure that these pathways are focused on in-demand careers. Northeast Indiana Works fully supports this goal and communicated this support through the earlier articulation of its system goals. Specifically, Northeast Indiana Works will be completely data-driven when it comes to assisting individuals in developing career plans. By providing critical labor market information to individuals and partners, career planning activities will become more data-based and the resulting career plans that are developed will be more focused on in-demand career pathways. Additionally, through collaborative funding of talent development activities and through the development of innovative and nontraditional programming with training partners, individuals will have greater access to talent development programming at locations, hours and in formats that are best suited for them. This will ensure that those with barriers to employment have increased access to and opportunities for employment, education, training, and support services.

Finally, the third goal of the SWIC is to ensure that workforce programs and investments are demand-driven and that they align closely with the sectors that are key drivers of the regional economy. With this SWIC goal, Northeast Indiana Works' goals could not be more aligned. In fact, all five of the regional goals established by Northeast Indiana Works have a strong focus on ensuring that employers are engaged with the talent development system and that programming and activities of the system are designed to meet the needs of these employers. In northeast Indiana, this is being accomplished through the development and facilitation of sector partnerships in three targeted sectors: (1) manufacturing, (2) construction/skilled trades and (3) insurance. Through these partnerships, Northeast Indiana Works is able to engage with large numbers of employers who can assist in the important work of defining the critical skills required of workers in the sector, developing seamless career pathways, identifying gaps in the current talent development system, and providing critical work-and-learn opportunities to students and workers. Northeast Indiana Works will continue to engage with these sector partnerships and is also working with several partners to explore the development of similar partnerships in support of the health care sector.

**2.4\*** Describe how the board's goals relate to the achievement of federal performance accountability measures. [WIOA Sec. 108(b)(1)(E)] See WIOA Section 116(b)(2)(A) for more information on the federal performance accountability measures.

Northeast Indiana Works will meet or exceed federal WIOA performance standards. The reasons for this are threefold. First, when employers and sector partnerships are engaged with the workforce system and training programs are designed and developed to meet specific employer needs, the opportunity to capture high-wage job placements increases for graduates of these programs. Second, all training programs to be developed will feature an industry-recognized credential to ensure documentation of skill mastery by participants. This will also help ensure federal performance measures are met. Third, through collaborative efforts such as joint funding of skill development activities, Northeast Indiana Works will be able to expand the number of

individuals to be impacted by workforce services. When such individuals are provided with multiple services through multiple agencies and organizations, this increases the opportunity for job placements and strengthens prospects for job retention.

**2.5\*** Describe additional indicators used by the local board to measure performance and effectiveness of the local fiscal agent (where appropriate), contracted service providers and the one-stop delivery system, in the local area. [WIOA Sec. 108(b)(17)]

Northeast Indiana Works will closely track and monitor program performance to ensure that regional workforce services are delivered that meet the needs of both job seeker and employer customers. USDOL-prescribed common measures will be one key set of metrics the WDB will use in its analysis of program performance. The tracking of WorkOne contributions to helping the region attain the Big Goal is another key metric the workforce board will closely watch. While the board recognizes that common measures and progress towards the Big Goal are good indicators of program-end results, it is equally committed to a unique set of metrics that have been developed to measure the quality of the WorkOne service delivery process. By focusing on these service delivery metrics, the board will ensure that high-quality processes are in place to achieve desired outcomes. Specific and key metrics that will be collected include:

- The total number of customers being served and the number of these customers participating in skill development and training activities (specific and numerical metrics will be established each year based on available resources and budgets);
- The total number of customers who participate in training activities and complete them as measured by credential and degree attainments (the specific metric will be 70% of all training participants who complete their training program will earn a credential or degree);
- The number of employer customers being served and the specific services provided to these employers (hiring assistance, OJTs, Indiana Career Connect (ICC) support and others) as measured by market penetration in industries that have been identified as high growth (specific and numerical metrics will be established each year based on available resources and budgets);
- The expenditure rate for each program being operated by the one-stop operator to ensure that expenditure rates are appropriate (specific metrics will include expenditure rates that are trending toward a minimum of 70% of budget);
- Customer wait time as reported by customers (the specific metric will be that 85% of all WorkOne customers will receive their service within 10 minutes of check-in); and,
- The customer satisfaction rate for both job seeker and employer customers using the Net Promoter Score (NPS) customer satisfaction system (a minimum score of 60% on the NPS survey will be the metric).

Northeast Indiana Works will review these specific metrics at each of its full board meetings. If it is found that the organization is falling short in meeting these metrics, the board will require staff to conduct a root-cause

analysis to identify exactly why the shortfall has occurred and develop a formal improvement plan to be reviewed with the board or its executive committee. Staff progress in executing the improvement plan will be reviewed at subsequent meetings to ensure that root-cause issues have been addressed and improvements have been achieved.

Using this set of metrics (which will really serve as a performance dashboard for the region), Northeast Indiana Works will utilize an aggressive strategy for measuring actual-to-plan program performance. This strategy will begin with the establishment of specific and numerical performance goals for the region. These regional goals will then be broken into center-by-center goals so that each WorkOne center in the region understands its contribution to the overall performance success of the region. Northeast Indiana Works will track the performance of each WorkOne center against these goals to ensure that each center is performing as expected. Such tracking will occur on both a monthly and quarterly basis.

In addition, to ensure board-level oversight of program performance, the workforce board will also require staff to provide a full operations report at every board meeting. In this operations report, staff will report on all required regional metrics, as well as provide additional information to include:

- The number and types of services that have been provided to customers;
- The number of new customers that have been engaged in WorkOne services;
- Updates on specific and special initiatives, such as OJT, adult education integration efforts and others; and,
- Information on any performance challenges (as documented by actual data) and specific plans to address these challenges.

2.6 Highlight the area's strategies to train the workforce so that the state is ready to meet the 1 million jobs that will be available in 2025, including but not limited to Adult Education, WorkINdiana, in and out-of-school youth, HIRE, rapid response, TAA, Veterans programs, REA, Jobs for Hoosiers, and other sources of funding.

Northeast Indiana Works employs a number of strategies that are focused on developing the skills of the regional workforce. All of these strategies are designed to assist the region in achieving the Big Goal of increasing the percentage of northeast Indiana residents with high-quality degrees or credentials to 60% by 2025. Specific strategies that are being pursued include:

- Adult Basic Education – Northeast Indiana Works serves as the fiscal agent for adult education resources in the region and, through the regional adult education consortium, allocates nearly \$2.3 million to support adult education across the region. These resources serve individuals who lack high school credentials or who require academic brush-up to ensure success in postsecondary training or the work environment. Northeast Indiana Works is the direct provider of adult education services in Adams and Wells counties.
- WorkINdiana – Northeast Indiana Works also coordinates the delivery of WorkINdiana training activities in the region. Through WorkINdiana resources, individuals participating in adult education programs



can access short-term skill training opportunities, such as classes in certified welding, certified machining, construction trades, health care, hospitality and others. The purpose of this training program is to equip adult education students with the occupational skills and certifications required to support their job placement prospects following completion of adult education activities.

- Skill-Link – While Northeast Indiana Works invests in worker training at many levels, a new training strategy that is being employed focuses on low-wage or entry-level workers who have the aptitude to complete training activities and move up in their career pathway. This training strategy, called Skill-Link, works directly with sector partnerships in the region to customize curricula around the skill needs of employers and then enrolls entry-level workers from these employers in training activities. Upon completion, these skilled workers are ready for promotions and wage gains within their career pathway. An example: a forklift operator who has a knack for fixing things when they are broken. This worker could participate in an industrial maintenance class that is customized to his/her employer’s specifications, allowing the worker to be promoted into an open maintenance position upon completion of training activities. Skill-Link programs typically focus on manufacturing and skilled trades occupations and always feature an industry-recognized credential as a component of the training program. Northeast Indiana Works has been using federal workforce funding to support this approach over the past two years; Skill UP Indiana! resources will be used over the next two years to significantly expand this training strategy to train many more entry-level workers in manufacturing and skilled trades positions.
- Rapid Response – While it is never good news when an employer announces a downsizing or closure in the region, Northeast Indiana Works does coordinate rapid response activities for workers impacted by these announcements. Whenever such an announcement is made, Northeast Indiana Works makes immediate contact with the employer and/or union to begin planning services for workers to be affected. As part of this planning process, Northeast Indiana Works coordinates the delivery of on-site skill development services, including career planning and counseling activities and workshops on basic computer skills. When allowed, Northeast Indiana Works establishes an on-site service center, allowing workers to access these and other services at their work location.
- OJT – Northeast Indiana Works is a strong proponent of on-the-job training activities for many individuals. OJT allows an employer to hire an individual through the WorkOne Northeast system and be reimbursed up to 50% of the new hires wages’ during an agreed-upon period of time the worker will be training on the job (typically 6-12 weeks, depending upon the position). This training approach allows an employer to hire a worker who may lack some required skills and provide them with intensive training to ensure the required skills are developed on the job. In the end, the worker benefits from this training approach because they begin earning a paycheck right away. The employer benefits because their internal costs of training the new workers are at least partially subsidized.
- Pre-Apprenticeship Programs – In partnership with the Northeast Indiana Building & Construction Trades Council (representing 18 skilled trades unions) and the Fort Wayne Urban League, Northeast Indiana Works has been and will continue supporting pre-apprenticeship programming for young adults. The goal of this training strategy is to identify young and diverse talent that can be developed as a feeder mechanism for the skilled trades in the region. This pre-apprenticeship strategy has been piloted

with the Urban League with considerable success and expansion of the program is another training strategy to be used going forward.

- TAA – Northeast Indiana Works delivers TAA services in conjunction with WIOA services to eligible individuals both through the WIOA and WP staff in the WorkOne Centers and onsite at the employer when applicable. Individuals are introduced to available benefits and when interested, serviced with applicable plans to access benefits available to them. Ideally, this allows for the dislocated individual to re-enter the workforce or skill themselves up to make entry into a new and sustainable career.
- HIRE – The Hoosier Initiative for Re-Entry program has historically been used as a referral support to connect individuals with criminal records to resources allowing them to better prepare for entry into the workforce. Currently, we utilize the local staff with HIRE to educate our WorkOne Center staff on felony friendly employers, awareness of support programs available within the region and to provide training and support on tools and techniques to utilize with individuals with a criminal record on how to best promote themselves to an employer and to explain their criminal history and/or gaps in their employment.
- Veteran Services – Veteran Services are integrated into the service structure of our regional system. LVER's function as a member of the regional Business Services Team and DVOP's are integrated into our case management approach, when applicable. Locally, the veteran staff also train other staff on military terminology, eligibility and community resources.
- RESEA/JFH – Northeast Indiana Works will continue to provide the required serviced outlined in both the RESEA and JFH programs. We believe that these programs are an ideal pool for individuals that may be in need of WIOA services and will actively recruit from the ongoing RESEA and JFH sessions.
- Youth - Recognizing the employment challenges faced by youth, particularly those without postsecondary credentials, Northeast Indiana Works is placing an emphasis on providing eligible youth with a high-quality work experience. In addition to youth having access to Adult Education, WorkIndiana, youth and adult funds to be used for occupational skills training, at least 20 percent of youth funding is being dedicated to this activity. This requirement is consistent with a growing body of research which demonstrates that young people who have access to jobs in their teens tend to graduate from high school, earn secondary and postsecondary credentials and earn at higher levels than their peers who do not work. However, research also shows that young people in low-income families have much more limited access to employment than their more affluent peers. Therefore, the work experience requirement represents a powerful tool to help lower-income youth, particularly those with barriers to employment, to gain invaluable and potentially life-changing experience in work places. In support of this critical youth training activity, Northeast Indiana Works will encourage employers to provide access to high-quality work experiences for eligible youth, including internships, workplace learning, transitional jobs, pre-apprenticeships, and summer jobs, with particular emphasis on OSY. These opportunities will be available to both out-of-school youth and in-school JAG participants. Additional efforts will be made around career exploration strategies to provide students and their parents' access to key information in making decisions about secondary and postsecondary education options and employment goals, occupational skills training and regional labor market information.

Northeast Indiana Works will support all of these training strategies and will work aggressively to identify workers and individuals who can benefit from participation in training programs. Specific efforts will be made to target individuals who are veterans, young, unemployed, underemployed, under-skilled, or who have a barrier to employment, such as a disability, English language difficulties or felony.

### **Section 3: Local Area Partnerships and Investment Strategies**

Please answer the following questions of Section 3 in 15 pages or less. Many of the responses below, such as targeted sector strategies, should be based on strategic discussions with the local board and partners. The local board is not required to complete the questions shaded in gray at this time. **Questions that require collaborative answers for regions 5 & 12 are designated with an \*.**

3.1 Taking into account the analysis in Section 1, describe the local board's strategy to work with the organizations that carry out core programs<sup>2</sup> to align resources in the local area, in support of the vision and goals described in Question 2.1. [WIOA Sec. 108(b)(1)(F)]

There are economies of scale and synergies associated with partnerships. Involving multiple stakeholders in the design and implementation of solutions fosters the exchange of ideas and resources, increases the likelihood of success, and creates new opportunities. Through workforce development partnerships, employers gain access to skilled workers and training opportunities; training providers gain insight to shape the content and increase the relevance of their offerings; community-based organizations gain access to pathways for their clients; and individual workers are better supported in enhancing their skills, building careers and advancing in their work lives.

Northeast Indiana Works meets monthly with the Northeast Indiana Regional Partnership, the Northeast Indiana Regional Chamber, the LEDO Council, the Indiana Economic Development Corporation and the regional Mayor's and Commissioner's Caucus to ensure the vision and goals previously outlined are better positioned to be achieved. Northeast Indiana Works has established meeting opportunities with the regional Adult Education Consortium (which also includes Vocational Rehabilitation), Wagner Peyser and WIOA management staff to ensure ongoing information sharing and increased collaborative opportunities. Northeast Indiana Works will be working with the Family and Social Services Administration/Temporary Assistance for Needy Families (FSSA/TANF) to schedule collaborative meeting opportunities at the leadership level. Many of the local offices (by region) already meet to ensure staff and process familiarity, positively impacting services to customers, which ultimately contributes to goal attainment.

**3.2\*** Identify the programs/partners that are included in the local workforce development system. Include, at a minimum, organizations that provide services for Adult Education and Literacy, Wagner-Peyser, Vocational Rehabilitation, Temporary Assistance for Needy Families, Supplemental Nutritional Assistance Program, and programs of study authorized under the Carl D. Perkins Career and Technical Education Act of 2006. [WIOA Sec. 108(b)(2)]

Identified below is a partial list of Northeast Indiana Works' partners whose primary goals are to provide workforce development-related services to residents of northeast Indiana.

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<sup>2</sup> Core programs mean Title I Adult, Dislocated Worker, and Youth Services, Title II Adult Education and Literacy, Title III Wagner-Peyser Employment Services, and Title IV Vocational Rehabilitation.

Adult Education Partners

Fort Wayne Community Schools  
Marion Community Schools  
Learn More Center  
The Literacy Alliance  
Impact Institute

Carl D Perkins and Technical Education Act Partners

Ivy Tech Community College  
Indiana University-Purdue University Fort Wayne

E&T Community Services Block Grant Partner

Brightpoint, Inc.

Vocational Rehabilitation

Family and Social Services Administration  
Pathfinders

Wagner-Peyser Services

DWD

Temporary Assistance for Needy Families

Division of Family Resources

Supplemental Nutritional Assistance Program

Family and Social Services Administration

**3.3\*** Describe efforts to work with each partner identified in 3.2 to support alignment of service provision and avoid duplication of services to contribute to the achievement of the SWIC's goals and strategies. [WIOA Sec. 108(b)(2) and (b)(12)].

Northeast Indiana Works works closely with the partners identified above. We are currently in the process of securing MOUs with each entity to ensure a system of service provision is in place that best utilizes resources without duplication. As the MOUs are finalized, Northeast Indiana Works will update the local plan to reflect the agreed-upon responsibilities of each entity.

3.4 Identify how the local board will carry out a review of local applications submitted under WIOA Title II Adult Education and Literacy, consistent with the local plan and state provided criteria. NOTE: *Since this guidance has not been finalized by the state, this item does not need to be addressed now.* [WIOA Sec. 108(b)(13)]

**3.5\*** Describe how the local boards are partnering with economic development and promoting entrepreneurial skills training and microenterprise services. [WIOA Sec. 108(b)(5)]

Northeast Indiana Works is tightly aligned with economic development in northeast Indiana, both locally and at the state level. There is an established relationship between Northeast Indiana Works, LEDOs and the IEDC. Northeast Indiana Works has been an integral partner in providing labor market information, training incentives

and other “backroom” human resources support (e.g. candidate pooling, assessments, hiring events) that have assisted in the attraction and retention of regional employers. Northeast Indiana Works’ administrative office is co-located with representatives from the IEDC, shares office space with the Northeast Indiana Regional Partnership, and is located one floor above the Allen County economic development entity. Northeast Indiana Works works directly with the other 10 county-based economic development organizations to provide like services, gather workforce survey data, assess employer needs, create-data driven training curriculums and spearhead local sector-based alliances to promote the needs and growth of local industry. Northeast Indiana Works also participates in the monthly LEDO Council meeting, which hosts representation of 10 of the 11 counties represented in Economic Growth Region 3 (EGR3). Various local efforts have been products of these meetings, such as the opportunity to better engage employers with both educators and high school students, particularly those tied to CTE coursework.

Northeast Indiana Works values the transferrable skills that align with entrepreneurship, such as budgeting, development, networking, skill identification, digital literacy, work ethic and other identifiable transferrable skills that would lend themselves within a particular sector. Development of these skills are promoted and refined internally through readily available workshops, one-on-one advisement, and through partnerships with entities like the Northeast Indiana Innovation Center (NIIC), which serves as a small business incubator. The NIIC provides opportunities and advisement from initial growth through the scaling phase in business development, allowing individuals to further vet business ideas, as well as assisting them with site location and occasionally capital investment.

3.6 Describe how the local area is partnering with adult education and with out-of-school youth regarding business services.

Northeast Indiana Works has long partnered with adult education and out-of-school youth. Northeast Indiana Works is a provider of adult education services in two counties within the region, while also serving as the fiscal agent for all adult education providers within the region. Additionally, Northeast Indiana Works was one of the first regions in the state to directly tie out-of-school youth services specifically to adult education participants, focusing on that population as “most in need,” dating back to WIA, and strengthening its position with the implementation of WIOA. The board has ensured that the local out-of-school youth service provider is integrated into the adult education provider consortium, ensuring ongoing connectivity between the entities. Both adult education students and participating out-of-school youth, which are often one in the same, are directly connected to business services through provision of labor market information and career pathway education inclusive of the application of credentials, and are directly marketed by the BSRs to transition into the workforce by traditional means or through work experiences, inclusive of work experiences such as paid internships and OJTs. Northeast Indiana Works also specifically funds a Work Experience Coordinator position, focused solely on connecting out-of-school youth participants with employment opportunities throughout the region.

3.7 Describe how the local board coordinates education and workforce investment activities with relevant secondary and postsecondary education programs and activities to coordinate strategies, enhance services, and avoid duplication of services. [WIOA Sec. 108(b)(10)]

Northeast Indiana Works coordinates education and workforce investment activities with both secondary and postsecondary education programs in the region. At the secondary level, there are a number of coordination

strategies that have proven effective and will, therefore, be continued over the next several years. Included in these strategies are:

- Jobs for America’s Graduates (JAG) Programs – Northeast Indiana Works currently funds 14 JAG programs in collaboration with secondary school systems across the region. JAG programs target high school students who are at risk of not graduating and provides them with the necessary support and mentoring to ensure their graduation. Delivery of the JAG program is a collaborative effort, with Northeast Indiana Works paying the salary of the JAG instructor and the school providing space, equipment and facilities required to operate the program. Northeast Indiana Works will continue its commitment to the JAG program in the years ahead.
- CTE Programs – Northeast Indiana Works has been a key facilitator of the regional CTE team. This team has worked to significantly strengthen the quality of manufacturing and skilled trades-related CTE programs, such as welding, precision machining, HVAC and construction trades. This team has brought in nearly \$1 million in the past three years (virtually all of it invested in state-of-the-art equipment) to enhance the capacity of these critical CTE programs. Included in this has been the development of a new CNC machining program, the development of two new welding programs, and the significant expansion of multiple welding, machining, HVAC and construction trades programs across the region. Given the success of this team, Northeast Indiana Works will continue to facilitate these CTE team efforts. Additional projects on the docket for this team include focusing on the quality of health care programs and the development of a regional CTE evaluation tool that can be utilized to implement a continuous improvement plan.
- FAFSA Completion Efforts – In partnership with the several other organizations, Northeast Indiana Works has been an active supporter of a regional Free Application for Federal Student Aid (FAFSA) completion project. The goal of this project has been simple – to increase the number of high school seniors who complete the FAFSA application. Research is clear that the act of completing the FAFSA and identifying financial aid that can be used to help fund a postsecondary education increases the chances the students will pursue additional education after high school. The region has piloted a small number of FAFSA completion projects in the past year and has plans to significantly expand this effort in the years ahead.
- Career Awareness Projects – Secondary school systems have also been critical partners in working with sector partnerships to expand career awareness efforts in high schools. In Allen County, for example, the Gateway Coalition (a manufacturing-skilled trades sector partnership) has set as its goal reaching every high school freshman in the county and share information with them about careers in manufacturing and the skilled trades. Northeast Indiana Works has trained employer volunteers, who go into freshman classrooms; secondary school systems in the county have opened their doors to these employer volunteers. These career awareness efforts will be expanded in the years ahead, with the goal of having employer volunteers sharing career information in all 26 school systems in the region.

Clearly, there are significant coordination efforts between Northeast Indiana Works and secondary school systems in the region. However, similar efforts are occurring at the postsecondary level. One such coordination effort involves the development of innovative and customized training programs in collaboration with Ivy Tech

Community College and sector partnerships across the region. Over the past several years, Northeast Indiana Works, Ivy Tech and multiple sector partnerships have been involved in developing new programming in critical manufacturing areas such as CNC machining, welding and industrial maintenance. Curricula for these efforts have been developed with significant employer input and have now been offered in six northeast Indiana counties. With the commitment of Skill UP funding to the region, money will be available in the next two years to significantly expand these customized training programs. Plans call for offering multiple customized training programs in all 11 counties of the region. These efforts have been aligned with three Office of Community and Rural Affairs (OCRA) grants received in the region and sector partnerships have also agreed to a portion of the costs associated with these training programs.

Another significant collaborative effort with postsecondary education programs across the region is the coordination of WIOA training resources with available financial aid resources. Beyond Pell Grant resources, many postsecondary institutions in northeast Indiana offer scholarships and additional financial aid programs to students based on a range of qualifying criteria. When assisting an individual with training resources, Northeast Indiana Works always ensures that WIOA resources are coordinated with whatever additional assistance may be available to the student through their postsecondary institution. One such example is tuition assistance available through the Questa Foundation. Many regional postsecondary institutions in northeast Indiana partner with the Questa Foundation, and students who receive Questa awards can receive significant financial assistance in support of their educational efforts. This is merely one example of many in the region, but because Northeast Indiana Works partners closely with postsecondary institutions, there are significant opportunities to collaborate on these kinds of funding arrangements.

3.8 Based on the analysis described in Section 1.1-1.3, describe plans to focus efforts and resources on serving priority-of-service populations in the local area, including how this focus will be managed. Include any other priority populations the local area will focus on.

Northeast Indiana Works will target priority-of-service populations through multiple efforts. These efforts will focus on targeted marketing to established Census areas that have been identified as high need, focusing the efforts of the in-school and out-of-school youth providers to ensure those who are basic skills deficient are engaged and served and targeting developmental opportunities for entry-level employment for the population. One example is a local pre-apprenticeship program that serves many priority-of-service participants, is held within an identified priority-of-service Census track and prepares participants to transition into apprenticeship opportunities within the local building trades, which is made up of 18 unique skilled trades associations in northeast Indiana. The pre-apprenticeship program also provides the experiential concepts to educate participants in work ethic, the importance of promptness, and a general understanding of workplace expectations within the building and construction trades. It is transferrable to many manufacturing settings.

The board monitors priority-of-service enrollment monthly, using data from the DWD MIS to evaluate the percentage of priority-of-service candidates being served. Regional priority-of-service populations align with definitions provided by the DWD and also include individuals who are digitally illiterate, cannot create and/or complete a budget, and do not have the skills required to navigate traditional online job search and/or application tools.

**3.9\*** Based on the analysis described Section 1, identify one to three industries where a sector partnership(s) is currently being convened in the local area or where there will be an attempt to convene a sector partnership and the timeframe. Describe how you will be partnering to achieve defined goals.

Across the region, strong efforts are being made to form county-based manufacturing and skilled trades sector partnerships. This is an intentional effort to form sector partnerships at the county level. Through more than a half-decade of convening sector partnerships across the region, it has become clear that the most successful model is to identify the common skill needs at the regional level, while focusing on local implementation and execution. Particularly in manufacturing and skilled trades, it has been found that employers are highly motivated to support their own school systems, their own CTE programs, and their own communities. To date, five manufacturing and skilled trades sector partnerships have been formed at the county level. These include the Adams-Wells Manufacturing Alliance (AWMA), the Noble County Manufacturing and Education Alliance (MEA), the Gateway Coalition in Allen County (inclusive of both manufacturers and skilled trade employers), the Industrial Guild in Steuben County and the Grant's Got Talent initiative in Grant County.

Staff from Northeast Indiana Works sit on four of the five steering committees that help guide the work of these county-based sector partnerships. As a result, existing sector partnerships have coalesced around a number of key workforce and talent development strategies:

- Working with K-12 education systems to directly engage with students to create awareness of and promote career opportunities and pathways in manufacturing and the skilled trades.
- Working with K-12 education systems to create teacher/counselor externship opportunities.
- Working with CTE programs to develop work-based learning programs for students in manufacturing and skilled trades programs at the high school level.
- As the unemployment rate has continued to drop, sector partnerships are also working with Northeast Indiana Works and LEDOs to develop training programs that focus efforts on skilling-up workers already in the workforce.

The effort to pursue county-based sector partnerships is picking up steam as four more counties are now working on forming manufacturing and/or skilled trades sector partnerships that can support career pathway and talent development efforts. These sector partnerships will also be supported by Northeast Indiana Works to ensure that they also tie into the regional agenda to identify strategies for supporting education systems through school visits, internship programs, curriculum input, professional development for teachers/counselors, and assistance with career awareness activities.

As sector partnerships continue to mature in northeast Indiana, the region's long-term vision is to establish a sector partnership in each county of the region. Once this is accomplished, the next step will be to further network these employer-led sector partnerships by aligning them around a common regional agenda, common metrics, and similar strategies. It will be true to the collective impact framework utilized in the region. With the regional alignment in place, pursuit of goals and execution of strategies required to achieve them will occur at the county level based on the needs of employers and the sector-based relationships that have been formed in that county. All of these local efforts will be working toward the goal of 60% postsecondary attainment by 2025 in northeast Indiana.



While the critical work of developing and formalizing this network of sector partnerships is occurring, these sector partnerships will also engage in another activity that is mission critical to developing an effective talent development pipeline in the region. In simple terms, these sector partnerships will be working with educators, CTE districts and workforce/economic development organizations to support the development of true career pathways for students/adults in the manufacturing and skilled trades sectors. To do this, a number of agendas will be pursued by the network of sector partnerships:

- Sector partnerships will work with school systems, LEDOs, Northeast Indiana Works and other partners to expand career awareness and career exploration opportunities for middle and high school students;
- Sector partnerships will work with school systems, CTE districts and postsecondary partners to enhance and expand the capacity of the regional education system to deliver the technical training required to support the career pathways that are being developed. In this role, sector partnerships will support curriculum review and development efforts and they will also be directly involved in identifying the equipment needs of these programs.
- Sector partnerships will work with school systems, CTE districts, postsecondary partners and Northeast Indiana Works to identify the specific credentials to be embedded into technical training programs across the region. This will ensure that student/worker skills are validated by a third-party assessment and the region progresses towards its 60% goal.
- Sector partnerships will work with school systems, CTE districts and postsecondary partners to provide work-based learning opportunities to students. There are already a number of work-based learning initiatives underway in the region; through this network of sector partnerships, the number of work-based learning programs will grow in specific support of career pathways in manufacturing and the skilled trades.
- Sector partnerships will work with Northeast Indiana Works, LEDOs and postsecondary partners to develop and offer technical training courses to low/entry wage workers that develop the skills required to move into and through career pathways in manufacturing and the skilled trades. This will be done by offering these technical training programs at CTE locations throughout the region, allowing these workers to take required coursework at a location in their home county.

While the sector partnership work that is ongoing in the manufacturing and skilled trades sectors is exciting, it must be noted that the region and Northeast Indiana Works are also supporting two additional sector partnerships. First, the Northeast Indiana Defense Industry Association (NIDIA) has 76 employers and is working collectively with educators and others in the region to develop and improve regional talent development programming specific to the defense industry (wireless communication, for example). NIDIA is also working on a series of defense industry advocacy issues and provides input and support to regional economic and workforce development systems. Second, specialty insurers in northeast Indiana have joined educational and economic development leaders in the region to form Northeast Indiana Specialty Insurers (NISI). Members in the group work together to focus on talent development, marketing, advocacy and new opportunities for the region's specialty insurance companies. Specific to talent development, the group works to ensure that students are aware of career opportunities in the specialty insurance field and then works with regional postsecondary educational institutions to develop curricula that is in line with the needs of the specialty insurance industry. As both the defense and insurance sector partnerships continue to grow, Northeast Indiana Works will continue to support their efforts around talent development.

3.10 Describe how the local board will facilitate the development of career pathways systems, consistent with the Career Pathways Definitions. [http://www.in.gov/icc/files/Indiana\\_Pathways\\_Definitions\(1\).pdf](http://www.in.gov/icc/files/Indiana_Pathways_Definitions(1).pdf) [WIOA Sec. 108(b)(3)]

Northeast Indiana Works, along with its secondary and postsecondary partners, have been working with sector partnerships and other employer-based organizations on the development of career pathways for several years. To date, much of the work has been in support of career pathways in the manufacturing sector – a sector that accounts for more than one in five jobs in the region. Northeast Indiana Works will continue to support these career pathway development efforts in several specific ways:

- **Conexus Programs** – Northeast Indiana Works will continue to work with secondary school systems throughout the region to double the number of Conexus Hire Technology programs in the region. The Conexus program is viewed as a key lever to capturing more young talent in career pathways specific to manufacturing; students can migrate to machining, welding, engineering and a range of other manufacturing-related programs at both the CTE and postsecondary level.
- **Expanded Dual Credit Programs** – Through strong regional collaborations, manufacturing-specific career pathways have been supported with extensive work in the expansion of dual credit programs between area CTE programs and Ivy Tech. This has resulted in a significant increase in the number of dual credits available to high school students and helps facilitate student transition to postsecondary training programs. As a region, work will continue in the area of dual credits with the goal of ensuring that students have the opportunity to earn at least 50% of their Associate's Degree while participating in CTE programs.
- **Work-Based Learning Programs** – While this effort is still in its infancy, multiple conversations are occurring with sector partnerships to significantly expand the number of students engaged in work-based learning programs as part of their CTE experience. These conversations will continue with a focus on the development of employer-led classroom projects, paid internships, and job-shadowing experience for students involved in manufacturing-related CTE programs.
- **Adult Learning Opportunities** – While much of the effort around career pathways in manufacturing has focused on high school students, there is also a strong conversation about engaging adult learners in these pathways. This conversation, to date, has had two components. First, there has been a strong effort to develop training programs that skill-up entry-level workers and prepare them for higher-skilled and higher-paying positions (such as training a production worker to be a skilled CNC machinist). Second, there has been a more recent push to develop programming that supports the training of adult learners who are new to the manufacturing pathway. These workers come from retail, food-serving and other similar work environments and are provided with basic manufacturing skills training to assist them in entering a career pathway in manufacturing. This program was piloted in Noble County this past year and Northeast Indiana Works will support the program's expansion throughout the region.

While much of the career pathway work done to date has revolved around pathways specific to the manufacturing sector, more recent discussions have involved career pathways in the skilled trades or

construction sector. This past year, Northeast Indiana Works funded a pre-apprenticeship program in partnership with human services organizations and the Northeast Indiana Building & Construction Trades Council. This was an intentional effort to assist and support individuals in developing the entry-level skills required for entry into a registered apprenticeship program. The initial program has experienced some success and, over the coming year, Northeast Indiana Works will be working to support and expand this program across northeast Indiana. Career pathway work in support of the construction sector is relatively new in northeast Indiana; there is considerable momentum for moving this effort forward.

3.11 Identify and describe the strategies and services that are and/or will be used to:

- A. Facilitate engagement of employers, including small employers and employers in in-demand industry sectors and occupations, in workforce development programs, in addition to targeted sector strategies
- B. Support a local workforce development system described in 3.3 that meets the needs of businesses
- C. Better coordinate workforce development programs with economic development partners and programs
- D. Strengthen linkages between the one-stop delivery system and unemployment insurance programs

This may include the implementation of incumbent worker training programs, on-the-job training programs, work-based learning programs, apprenticeship models, customized training programs, or utilization of effective business intermediaries and other business services and strategies that support the local board's strategy in 3.1.

[WIOA Sec. 108(b)(4)(A&B)]

Northeast Indiana Works utilizes a variety of strategies to engage employers, including small employers and employers in in-demand industry sectors. The most significant of these strategies is through aggressive relationship-building activities through sector partnerships. Currently, Northeast Indiana Works is helping facilitate seven such partnerships in the region (five in the manufacturing sector, one dedicated to defense contractors and a new sector partnership focused on insurance). In all of these sector partnerships, employers are engaged in developing and executing career awareness campaigns for middle and high school students, developing counselor/teacher externship programs, and developing curricula for adult learners looking to move into or deeper into a career pathway. In total, through these sector partnerships, Northeast Indiana Works has the opportunity to communicate regularly and engage with more than 250 employers. Relationships with these sector partnerships will continue to be strengthened.

Another employer engagement strategy being used is to network with LEDOs in all 11 counties of the region. Northeast Indiana Works has worked hard to develop strong alliances with these LEDOs and these relationships are paying big dividends. For instance, when LEDOs make employer visits it is now common for them to invite a BSR from the workforce system to accompany them. This has resulted in hundreds of new opportunities to engage directly with employers that are expanding, hiring, or in need of workforce assistance. Another example of close collaboration with LEDOs is a newer approach to joint funding of training programs. In three counties thus far, LEDOs have access to CEDIT resources to help Northeast Indiana Works develop and implement training programs for employers in that county. Two additional counties are considering this approach; Northeast Indiana Works is finding that LEDOs are becoming willing investors in quality training program that serve their employers.

A similar relationship exists with regional staff from the IEDC. IEDC staff make regular employer visits (including "blitz" days, where several employers are visited in one day) and workforce development staff always participate in these visits. This also puts workforce system staff in front of employers for whom workforce services are often needed. Relationships with LEDOs and regional IEDC staff are very strong in northeast Indiana and this will continue to be an effective strategy for Northeast Indiana Works to engage with employers.

Finally, Northeast Indiana Works (along with multiple regional partners) coordinates several employer events in the region each year that directly engage employers. One such annual event is an employer seminar that typically attracts 50-70 employers in the region. At the employer seminar, a great deal of information about workforce services, labor market trends and programs such as veterans programs and unemployment insurance is shared with attending employers. A second annual event that engages employers directly is a Veterans 1<sup>st</sup> Hiring Event. Attracting up to 70 employers a year, this annual hiring event has gained a lot of traction in the region and continues to create opportunities for employers to engage with the regional workforce system. Northeast Indiana Works and its partners will continue to host these annual events as a way of engaging large numbers of employers in one setting.

Through employer relationships that are developed via these and other strategies, Northeast Indiana Works and its partners have gained solid insight into the hiring and skills needs of targeted sectors. This insight has two direct implications for the workforce system. First, this insight can be shared with secondary and postsecondary partners to help ensure training programs address the specific skills needs of targeted sectors. For instance, it is difficult to have a conversation with a manufacturing employer without having them mention the need for workers with electrical skills. This insight has been shared with CTE programs across the region and two of the five CTE districts in northeast Indiana have now embedded more electrical work into their HVAC and construction trades programs. The second implication for the workforce system is specific to the services offered through the WorkOne Northeast system. With insight and knowledge about the specific skills employers are seeking, WorkOne Northeast services have been updated to reflect these skill requirements. For example, workshop curricula (such as a communication workshop) continue to be adjusted based on employer input. Additionally, many training programs being funded by WIOA Title I resources are now customized to specific employer needs. Gone are the days when an off-the-shelf welding program is funded; rather, WIOA Title I resources are now funding training programs that are custom-built to exact employer specifications, such as welding in different positions or with different materials. Northeast Indiana Works is committed to continually improving WorkOne Northeast services by aligning them with employer skills needs.

3.12 If the local board is currently leveraging funding outside of WIOA Title I funding and state general funds to support the local workforce development system, briefly describe the funding and how it will impact the local system. Break down the description by adult, dislocated worker and youth. If the local board does not currently have oversight of additional funding, describe any plans to pursue it.

Northeast Indiana Works has been aggressive at identifying resources beyond WIOA Title I that can support regional workforce development activities. In recent years, the organization has received multi-million-dollar commitments from the Lilly Endowment (through the regional Talent Initiative), as well as significant commitments from similar organizations. Northeast Indiana Works has also been engaged with multiple national best-practice organizations (Project Living Cities, for instance) where funding has been secured to

support program development and evaluation activities. These opportunities are almost always pursued in collaboration with other organizations in the region and Northeast Indiana Works will continue these efforts.

Currently, Northeast Indiana Works is working aggressively with LEDOs to leverage CEDIT and OCRA funding in support of worker training activities. While these resources may not hit the financial statements at Northeast Indiana Works directly, these resources are being leveraged in support of critical worker training activities. Currently, the region is leveraging \$750,000 in OCRA funding (across three projects in four counties) and nearly \$125,000 in CEDIT funding that has been committed in support of worker training activities. These resources are being utilized to support worker training activities in key manufacturing disciplines, such as CNC machining, industrial maintenance and welding.

Also noteworthy is the fact that two local foundations have become involved in funding workforce training programs. These two foundations have committed \$170,000 thus far to support worker training activities and at least two additional community foundations have expressed strong interest in becoming involved in workforce training programs. Over the next year, Northeast Indiana Works will begin a strong outreach effort to community foundations across the region to explore funding opportunities in support of worker training activities.

Finally, when it comes to generating funding above and beyond WIOA Title I, Northeast Indiana Works is working with several regional collaboratives that have identified and targeted specific federal funding opportunities that will support sector-based workforce development activities. This includes federal H1-B funding grant opportunities, as well as several additional workforce initiatives specific to worker training activities. As these opportunities present themselves throughout the coming years, these regional collaboratives are well-positioned to seek such federal grant resources.

3.13 Including WIOA and non-WIOA funding, what percentage of total funds would you project will be used for training annually?

Northeast Indiana Works currently projects to expend 27% of all available funds on training annually. Activities and expenditures will be monitored on an ongoing basis, with a goal of increasing that percentage to 30% as early as next program year.

3.14 Optional: Describe any collaboration with organizations or groups outside of your local area, interstate or intrastate, and what outcomes you plan to achieve as a result of the collaboration.

Within northeast Indiana, it has been mentioned several times that the region has coalesced around the Big Goal. While this is clearly a regional effort, the foundation of this regional initiative lies in the StriveTogether network. The StriveTogether Cradle to Career Network is a national network of 64 community partnerships in 32 states and Washington, D.C. working to improve education success for every child by bringing together cross-sector partners around a common vision. In northeast Indiana, this common vision is the Big Goal of increasing the percentage of northeast Indiana residents with high-quality degrees or credentials to 60% by 2025. This vision unites community partners across multiple sectors (workforce, economic development, education, human services and others) and has become the initiative against which all regional efforts are to be aligned. Northeast Indiana Works has and will continue to be a strong supporter of the Big Goal Cradle to Career initiative in

northeast Indiana and has staff who participate on all five of the action teams embedded with the Big Goal initiative. One of these five teams, the Technical Education Team, is facilitated by Northeast Indiana Works.

#### **Section 4: Program Design and Evaluation**

Please answer the following questions of Section 4 in 12 pages or less. Many of the responses below, such as career pathways and individual training accounts, should be based on strategic discussions with the local board and partners. The local board is not required to complete the questions shaded in gray at this time. **Questions that require collaborative answers for regions 5 & 12 are designated with an \*.**

4.1 Describe how the local board, working with the entities carrying out core programs, will expand access to employment, training, education, and supportive services for eligible individuals, particularly eligible individuals with barriers to employment and out-of-school youth. Include referral processes with one stop partners. [WIOA Sec. 108(b)(3)]

Northeast Indiana Works has focused on ensuring access is available for all core programs. The local board has and will continue to ensure that services are readily available in all 11 counties that make up the region. In addition to educating each community about the opportunities available within the WorkOne centers, Northeast Indiana Works has also worked to establish the provision of adult education services in the WorkOne offices in some counties, allowing for direct connectivity, ensuring that out-of-school youth services are directly accessible within the WorkOne centers, and creating referral processes, often direct, for interested individuals. Additionally, Vocational Rehabilitation Services utilizes space within the existing WorkOne centers, better connecting individuals in need of vocational rehabilitation, Wagner Peyser and WIOA services. Northeast Indiana Works has also connected directly with entities like Easter Seals ARC of Northeast Indiana to directly engage their customer base in workforce development services while also presenting to the Indiana Association of Persons in Supported Employment (INAPSE) to ensure local vocational rehabilitation staff are familiar with the services available to their constituents through the WorkOne centers. Established referral processes are actually direct customer handoffs the majority of the time, as most services are readily available within the centers. When a direct handoff is not available, staff refer interested individuals to appropriate locations – ideally with a contact name – and also inform the partnering agency of the handoff electronically.

Northeast Indiana Works strives to ensure that youth and other eligible individuals with barriers have access. This has been accomplished through mobilizing staff to connect with individuals outside of the WorkOne centers, ensuring services are readily available in every county within the region, targeting marketing to areas and publications that may be frequented by individuals with additional barriers, and increasing our online and social media presence to better engage using more popular and current mediums.

4.2 Describe how the local board will utilize co-enrollment, as appropriate, in core programs to maximize efficiencies and use of resources. [WIOA Sec. 108(b)(3)]

Northeast Indiana Works traditionally co-enrolls individuals in all programs in which they meet eligibility criteria through the universal application within the management information system. This integration allows for seamless transitions between programs for individuals seeking services, when appropriate.

4.3 Describe board actions to become and/or remain a high-performing board, consistent with the factors developed by the State board pursuant to WIOA Sec. 101(d)(6). NOTE: Since these factors have not been determined as states are awaiting additional federal guidance, this item does not need to be addressed now. [WIOA Sec. 108(b)(18)]

**4.4 Describe the one-stop delivery system in the local area as required by WIOA Sec. 121(e). See below subparts for specific areas that must be addressed. [WIOA Sec. 108(b)(6)(A-D)] (4.4D is a collaborative answer for Regions 5 & 12).**

A. Describe the local board's efforts to ensure the continuous improvement of eligible providers of services, including contracted services providers, and ensure that such providers meet the employment needs of local employers, and workers, and jobseekers. [WIOA Sec. 108(b)(6)(A)]

Staff of DWD, Northeast Indiana Works, Brightpoint and SCAN Inc. all provide services in EGR3. Brightpoint and SCAN provide youth services, in-school and out-of-school, respectively. While performance expectations and goals are written into their contracts, quarterly meetings are also held to discuss program status, participant data and local labor market information relevant to participants' interests.

Northeast Indiana Works and DWD staff are provided regular training and development opportunities in Thursday morning meetings, individual training sessions and during full-day training sessions. A variety of topics are covered, including updates on WIOA legislation, case management techniques, computer skills and labor market information directly from local employers. Office managers from both DWD and Northeast Indiana Works also attend bi-weekly management meetings to review the local production report (which covers internal key performance indicators), hold ongoing discussions on collaboration, and identify opportunities for process improvement.

B. Describe how the local board will facilitate access to services provided through the one-stop delivery system in remote areas, through the use of technology, and through other means. [WIOA Sec. 108(b)(6)(B)]

Northeast Indiana Works serves both urban and rural areas within a large geographical region. In addition to three full-service offices, there are eight express offices (for a total of one office in each county), allowing for access to services for all individuals within their home county. Northeast Indiana Works also has the ability to mobilize staff when necessary by utilizing laptops and mobile scanners to directly connect with individuals if needed. Out-of-school youth staff also cover all counties within the region, recruiting and taking services to areas where youth gather, along with hosting development sessions at local community facilities.

C. Describe how entities within the one-stop delivery system, including one-stop operators and the one-stop partners, will comply with WIOA section 188, if applicable, and applicable provisions of the Americans with Disabilities Act of 1990 regarding the physical and programmatic accessibility of facilities, programs and services, technology, and materials for individuals with disabilities, including providing staff training and support for addressing the needs of individuals with disabilities. [WIOA Sec. 108(b)(6)(C)]

All components of the EGR3 one-stop delivery system ensure equal access to facilities, programs, services, technology and technology for people with disabilities and compliance with ADA mandates. Adaptive

technology for hearing and vision-impaired individuals is available in every office, with additional technology available in the Allen County office to support individuals with a total loss of sight as well as other physical ailments. Equipment is monitored by agencies that advocate for people with disabilities to ensure technology is current and staff are capable of providing assistance with utilizing the technology. Vocational rehabilitation staff also periodically attend Thursday morning staff training sessions to provide current information to regional staff on methodologies of serving people with disabilities. If instances were to occur where adaptive technology was not available internally, EGR3 will utilize the services of partner agencies with access to additional supports, like the League for the Blind and Disabled or Easter Seals Arc, Pathfinder Services and other regional agencies.

When interpretation services are required, EGR3 utilizes the services of the IDWD to access contracted interpreters or current staff who may be bilingual, when available.

All offices are monitored annually for compliance.

D. \*Describe the roles and resource contributions of the one-stop partners. NOTE: *The state has not issued MOU or infrastructure funding policy. Any MOUs in place should be described and attached.* [WIOA Sec. 108(b)(6)(D)]

The one-stop partners identified in section 3.2 have all agreed to the following:

- Provide access to its programs or activities through the one-stop delivery system, in addition to any other appropriate locations;
- Identify strategies that will increase customer access to services provided by all partners;
- Work together to analyze available services and identify opportunities that will more effectively coordinate the delivery of workforce services;
- Provide access to career services at each one-stop center, designed to provide information to make career and labor market decisions;
- Establish a mechanism that facilitates the referral of customers between partner organizations. Possible methods of referral may include electronic referrals, personal visits with staff, telephone referrals, or coordinated orientation sessions where partner services are explained and partners are present;
- Give customers access to a multitude of career, skills, employment and training information to obtain the services and skills they need to enhance their employment opportunities, based on their individual needs and building on the advice and counseling provided by staff;
- Develop a workforce development system that upgrades regional workplace skills and enhances the economic development of the area. Services such as tax credits and labor market information will be made accessible to residents and employers of northeast Indiana; and
- Support a workforce development system that minimizes costs, enhances the participation of employers and job seekers served through the system, and does not duplicate services.

Historically, Northeast Indiana Works has had MOUs with adult education; vocational rehabilitation; Pathfinder Services, representing vocational and rehabilitation services as well as employment and training programs carried out through housing programs; Catholic Charities Fort Wayne-South Bend Diocese, representing community agencies and the Senior Community Service Employment Program; Ivy Tech Community College,



representing Carl Perkins postsecondary vocational education programs; Brightpoint, representing the Community Services Block Grant Program; and DWD, representing Wagner-Peyser Act programs, Trade Adjustment Act (TAA) programs, Title 38 veterans programs, and Unemployment Compensation programs. During the WIA to WIOA transition period, the MOUs that were in place have expired. Although the MOUs expired, the services between partners continued as though still in place.

Northeast Indiana Works is in the process of discussing WIOA MOUs with the partners stated above and with new partners who will strengthen the one-stop system by offering even more services to those who are unemployed or underemployed across northeast Indiana.

E. Describe how one-stop centers are implementing and transitioning to an integrated technology-enabled intake and case management information system for core programs and programs carried out by one-stop partners. *NOTE: Since the state is in the process of implementing a new case management system for both DWD and Vocational Rehabilitation, this subpart does not need to be completed.* [WIOA Sec. 108(b)(21)]

F. Describe plans to use technology in service delivery in the one stop system.

Technology is an integral component of the service delivery system in EGR3. In addition to all staff utilizing computers loaded with the Microsoft Office suite and the DWD electronic management information system, Northeast Indiana Works recently introduced a new website to engage individuals, along with creating Facebook and Twitter pages. All full-service offices have rolling labor market information on monitors in the lobby, as well as laptops available for use if needed both by staff and customers. Northeast Indiana Works will utilize electronic assessments, such as Indiana Career Explorer, Prove It and WorkKeys, to assess interests and abilities of individuals seeking individualized and training services. Northeast Indiana Works is currently exploring the feasibility of video conferencing for interview preparation and individual meetings with customers.

4.5 An analysis and description of adult and dislocated worker workforce development activities, including type and availability of education, training and employment activities. Include analysis of the strengths and weaknesses of such services, and the capacity to provide such services, in order to address the needs identified in 1.2. [WIOA Sec. 108(b)(1)(D) & 108 (b)(7)]

Adult and Dislocated Worker activities traditionally take place in the WorkOne center. They are tiered in stages, beginning with Basic Career Services, escalating to Individualized Career Services, then to Training Services, and ending with Follow-Up Services. Northeast Indiana Works and its partners not only have capacity to deliver these services but have done so while also consistently meeting federal common measure performance metrics.

**Basic Career Services:** WorkOne staff provide this level of service to any individual seeking assistance. Services can be delivered through the utilization of pre-prepared labor market information, self-directed development opportunities, skills and aptitude inventories and assessments, utilization of the resource area within each WorkOne center, and available workshops either delivered in group settings or individually with those interested. These services are always available during operational business hours. These services provide significant benefit to many individuals who utilize the WorkOne office. For many, access to timely and relevant labor market information is a significant boost in re-entering the workforce. The utilization of Indiana Career

Connect is a great example of allowing an individual to be served at the basic level, while also equipping them with many tools, ranging from assessments to direct job posting applications, to becoming employed. Basic Career Services also allow for immediate engagement into activity within the WorkOne center and system. This is a significant benefit, as individuals seeking services are more likely to remain engaged or transition to the next tier of service when they feel they are being provided immediate assistance. The weakness of Basic Career Services is that the offerings could be considered limited compared to what is available at the next tier, as well as some services can be accessed independently of expressing needs to staff in the WorkOne center. This can sometimes limit the ability to further engage an individual to sell them on the availability and benefit of additional services.

**Individualized Career Services:** Individualized Career Services is the second tier of service available to individuals seeking assistance through the WorkOne center. All WorkOne services are employer-driven, but these services are more tailored to individual needs or “client-centric.” Individualized Career Services are delivered after enrollment into WIOA Adult and/or Dislocated Worker programming, and often begin with the development of the Academic and Career Plan (ACP), which is a working document that is jointly developed by the staff member and participant. The ACP will document assessment results that are presented to the participant as a component of their individualized services, identify transferrable skills that have been developed over time, and create a plan that could include training support to ultimately assist the participant with entering into the workforce. In EGR3, Individualized Career Services often allow staff to work one-on-one with a person, providing personal assistance with their workforce preparation activities, which include resume development and critique, employer research, interview preparation, job search assistance, and counseling. This tier of service is critical because it is often the tier most utilized by those most in need. An individual with significant barriers is often in greater need of service than what is available at the Basic Career Services level, so Individualized Career Services are a more applicable alternative. Because Individualized Career Services allows a WorkOne staff member to directly work with a participant, it also allows for that staff person to assist in either guiding the participant through or helping them develop a career pathway within their specific field. This is a significant strength of this tier, as participants often only understand entry-level positions without being able to identify an end goal in their career. The largest weakness in this tier is the inability to address the needs and barriers of all participants. Many participants’ barriers are outside the scope of what can be mitigated through services offered within the WorkOne center.

**Training Services:** Training Services involve the expenditure of funds on a participant to assist them in acquiring skills that will make them more employable. This tier of service is only available to participants who have already received an Individualized Career Service. Training Services include but are not limited to work experiences (including OJTs and paid internships), prevocational training, and tuition assistance for both short-term certifications and traditional two- and four-year schooling. Staff continue to work directly with participants in this tier, providing ongoing guidance and counseling, as well as labor market information and job leads within their field of training. This is significant because the participant is often so engulfed in training that they are unable to continually conduct a strong job search to assist with their employment upon completion of training. The greatest weakness of the training tier is the availability of training. For work experiences, the challenge is identifying employers who are willing to take a risk and hire someone, knowing that person still has a significant learning curve. With short-term training and traditional schooling, the weakness revolves around a limited number of training partners and programs to assist participants with engaging in training. For this very reason, Northeast Indiana Works often works directly with training providers and employers to create training programs

and tailor curriculums.

**Follow-Up Services:** Once a participant has completed training, utilized additional services to engage in employment and are no longer in need of individualized services, they are exited and move into the follow-up tier. While in follow-up, WorkOne staff continue to work with them – at a minimum quarterly – to ensure they are continuing to hold employment. WorkOne staff are often in contact with exited participants in follow-up much more than quarterly, as we have identified that most people quit their jobs or are fired within the first couple of weeks of employment. Significant staff contact is the greatest strength of the follow-up tier, along with strong relationships with the customers. This is vital to the success of the follow-up tier, which is also a weakness. Because performance measure outcomes are determined during the follow-up period, it makes it critical for communication to continuously happen between the exited participant and WorkOne staff. Many participants do not continue to keep contact once they obtain employment, making it difficult to discern the participant’s needs, as well as internally identify performance measure attainment.

4.6 An analysis and description of the type and availability of youth workforce activities for **in-school** youth, including youth with disabilities. If the same services are offered to out-of-school youth, describe how the programs are modified to fit the unique needs of in-school youth. For each program, include the following: length of program and availability/schedule (i.e. 2 weeks in July); % of youth budget allocation; WIOA program elements addressed by program, with specific focus on how the 5 new elements have been incorporated; desired outputs and outcomes; and details on how the program is evaluated. Include analysis of the strengths and weaknesses of such services, and the capacity to provide such services, in order to address the needs identified in 1.2. [WIOA Sec. 108(b)(9)]

The EGR3 in-school youth program is the Jobs for America’s Graduates (JAG) program. It is the only in-school youth program funded in the region and accounts for 25% of the annual WIOA Youth allocation. The EGR3 program is also currently supported with funds identified by the state of Indiana and DWD to support the size of the EGR3 program. There are 14 active programs in the region, all of which follow their respective school calendars, with activities internally developed by the in-school youth service provider during summer months and additional times when school is not in session. JAG in EGR3 is a class taken at each school for credit. The JAG program addresses all 14 of the WIOA program elements with the exception of “alternative secondary school services, or dropout recovery services.” JAG serves young people with barriers to success. The more barriers to success that a young person might have, the more he or she is considered at risk of graduating from high school or having a successful transition from school to an entry-level job that leads to a career. Targeted youth are those most at risk of leaving high school before graduating, unable to complete requirements for a high school diploma, or unable to experience a smooth transition from school to a career (with or without postsecondary education). JAG is not for everyone; it is for students who possess significant barriers to academic (high school diploma or Indiana High School Equivalency Diploma (HSE)) and career success (securing an entry-level job leading to a career).

JAG specialists recruit and interview students interested in the program. Once in the program, participants are assessed, taught leadership and employability skills, exposed to various careers and career pathways through field trips and guest speakers, and engaged in team-building activities and civic engagement through the internal JAG Career Association, which is structured like the larger student government body but specific to JAG participants. A standard of model services is used to develop in-school participants to work toward WIOA common measure performances as JAG national goals, which are:

- 90% Graduation rate
- 80% Positive Outcome rate
- 60% Employment rate
- 60% Employed in Full-Time Job rate
- 80% in Full-Time Placement rate

In addition to providing services to achieve these performance measures and goals:

- JAG participants must receive a minimum of 120 contact hours;
- For all sites, 20% of JAG classroom activities per school year must include guest speakers and/or field trips with area businesses;
- All JAG participants must register with and submit a resume in IndianaCareerConnect.com;
- For all sites, 10% of JAG classroom time must be spent on community service monthly;
- 85% of seniors will have a pin and complete the online FAFSA by March 1 annually;
- 85% of seniors will have completed two postsecondary applications by May annually;
- 85% of seniors will have taken the ACT, SAT or other postsecondary/certification assessment by May annually;
- 100% of JAG sites will participate in a college fair by May annually; and
- 100% of JAG sites will have visited a college campus by May annually.

All of the new elements are embedded in the JAG program. Financial literacy is done through budgeting exercises and partnership with local banks. The in-school youth service provider also incentivizes students by matching up to \$100 in a new bank account. Entrepreneurial skills training and labor market information are addressed by guest speakers, trips to the WorkOne centers when possible, and in some cases the student’s high school curriculum. One current JAG site is a CTE location that not only equips students with industry-recognized short-term credentials, it also provides them with insight from and connectivity to small business owners who can provide firsthand accounts of what is required to be a successful entrepreneur in northeast Indiana. This also happens with guest speakers at the other 13 JAG sites. The last new program element, “activities that help youth prepare and transition to postsecondary education and training,” is embedded throughout the standard JAG curriculum and model service categories.

The JAG program is a significant school-to-work program in northeast Indiana. It addresses needs for the future workforce participants, many of whom are facing barriers and unsure of their next step after high school. Weaknesses of the JAG program are that it is limited with respect to regional geographic coverage and there is only capacity to run programs for existing juniors and seniors in high school.

4.7 An analysis and description of the type and availability of youth workforce activities for **out-of-school** youth, including youth with disabilities. If the same services are offered to in-school youth, describe how the programs are modified to fit the unique needs of out-of-school youth. For each program, include the following: length of program and availability/schedule (i.e. 2 weeks in July); % of youth budget allocation; WIOA program elements addressed by program, with specific focus on how the 5 new elements have been incorporated; desired outputs and outcomes; and details on how the program is evaluated. Include analysis of

the strengths and weaknesses of such services, and the capacity to provide such services, in order to address the needs identified in 1.2. [WIOA Sec. 108(b)(9)]

The local WIOA out-of-school youth program is the Be SomeOne Now (BSON) program. This program specifically focuses on high school dropouts. EGR3 determined that high school dropouts were the category of youth most in need several years ago and began focusing programming on this demographic. Currently, 75% of the WIOA Youth allocation will fund ongoing BSON activities annually. The BSON program operates on a 12-month cycle and focuses on re-engaging eligible out-of-school youth in adult education environments while providing additional developmental services specific to:

- Identifying their motivation
- Coping with change
- Professional etiquette
- Developing their 30-second story
- Decision making/Entrepreneurial mentality
- Networking/Group dynamic
- Interviewing
- How to keep a job
- Financial literacy

Opportunities for work experiences are also an integral component of the out-of-school youth program, typically implemented through paid internships and on-the-job trainings.

Many out-of-school youth have undocumented disabilities. Another integral component of the program is identifying these potential barriers through a battery of assessments -- including the Test for Adult Basic Education (TABE); Devereux Adult Resilience Survey (DARS); GRIT inventory; the Myers-Briggs Type Indicator (MBTI); and the Adverse Childhood Experiences Survey (ACES) – and creating a plan to remove identified barriers through programming or partnership with local partners. As this population is automatically eligible for WorkINdiana training, they are often encouraged to pursue short-term postsecondary training as well to better equip themselves to be employable upon completion of the program.

The desired outputs and outcomes of this program are to meet the WIOA Common Measure Performance Standards for out-of-school youth while also empowering and instilling confidence in the youth participants. The program has a strong emphasis on identifying barriers and mitigating them. The major weakness is similar to that of WIOA Adult and Dislocated Workers in that once the participants complete the program and find job placement, they rarely stay in contact, which can impact performance documentation.

4.8 Identify how successful the above programs have been and any other best practices for youth workforce activities relevant to the local area. [WIOA Sec. 108(b)(9)]

The JAG program in northeast Indiana has been extremely successful. It has exceeded WIOA common measure performances and, with the exception of the full-time employment goal, all goals have been met or exceeded. The program met all five goals last year and is trending to meet all five this year. Historically, many students transitioned directly to postsecondary education; thus, they were not available to work full-time jobs.

The out-of-school youth program, BSON, has also been tremendously successful, meeting common measure performance goals and impacting the lives of youth who dropped out of high school and were often not engaged in education or employment. Strong relationships with adult education providers significantly impact the success of this program and the ability of youth to be engaged.

4.9 Describe process utilized by the local board to ensure that training provided is linked to in-demand industry sectors or occupations in the local area, or in another area to which a participant is willing to relocate. Include a description of the process and criteria used for issuing individual training accounts. If training contracts are used, describe processes utilized by the local board to ensure customer choice in the selection of training programs, regardless of how the training services are to be provided [WIOA Sec. 108(b)(19)]

Northeast Indiana Works utilizes a DWD Labor Market Analyst to create an annual regional “hot jobs” or in-demand occupation list, utilizing the same criteria used for the state “hot jobs” listing. In addition to this listing, seven employment sectors that project high growth and high wages within the region have been identified. Those sectors are:

- Advanced Manufacturing
- Health Care
- Defense
- Transportation/Logistics
- Finance (including Insurance)
- Wholesale Trade
- Construction/Building Trades

Northeast Indiana Works will ensure that only training services leading to certifications and careers within either the regional hot jobs or that can be tied to the identified employment sectors are financially supported. Northeast Indiana Works works directly with employers and training providers to vet training curriculum, tailoring curriculum to the needs of local employers when possible. Northeast Indiana Works will continue to work with area employers to create local sector alliances, allowing for collective feedback and ongoing evaluation or regional programming.

All supported training is listed on INTraining, the DWD eligible training provider list. When a participant is interested in training services, they are advised of the options available on INTraining and encouraged to find a provider that best fits their interests and circumstances. All payments to partnering providers are done through individual training accounts (ITAs) and paid as an accrued expense via invoice from the provider, with the printed voucher from the DWD MIS acting as the payment commitment on Northeast Indiana Works’ behalf.

4.10 Describe how rapid response activities are coordinated and carried out in the local area and how these activities will be incorporated into WIOA programming. See Local Plan References and Resources. [WIOA Sec. 108(b)(8)]

EGR3 has historically been an active region for rapid response activities. Our local structure is designed to quickly identify rapid response service needs, connect directly with the employer, and engage the employer to ensure on-site connectivity whenever possible. Once the employer has been engaged, a meeting is set up to further vet the needs of the employer and impacted workers. The team that typically attends these meetings is made up of management from Northeast Indiana Works, the local office manager and a BSR. This groups works with the employer to outline a plan of action, inclusive of notifying impacted employees of all available programming (WIOA, WP, JVSG, etc.) and services (skills and interest assessments, job search assistance, resume development, training, etc.) through the WorkOne center and providing opportunities for impacted employees to directly connect with an Employment and Training Advisor (ETA) at the rapid response session. Impacted workers are provided the rapid response survey to allow for information gathering to better tailor services to their individual needs. For larger dislocations, BSRs often organize on-site hiring events to operate in concert with the rapid response session, providing impacted workers with an opportunity to directly connect with other employers who have expressed interest. All companies that we work with on rapid response activities are advised of TAA, its benefits and the process to apply for certification.

4.11 Describe how Jobs for Hoosiers/REA activities are coordinated and carried out in the local area and how these activities will be incorporated into WIOA programming. See Local Plan References and Resources.

Reemployment Eligibility & Assessment (RESEA) and Jobs for Hoosiers (JFH) programs (described below) engage with unemployed Hoosiers at the fourth week of their claim and include: UI eligibility review, claimant-centered labor market information, referral to a self-directed job search, and an orientation to the full range of WorkOne services. Each program requires the participants register on ICC and take self-assessments to help determine if the customer is on a career path that will lead to a high-wage, high-demand occupation.

RESEA participants will receive all of the mandatory RESEA program requirements and complete an Individual Reemployment Plan (IRP), which will assist them in their job search needs. Part of this plan is to determine which workshop would benefit the customer the most to attend in the next four weeks. Each participant must attend at least one workshop, but many customers would benefit from multiple workshops. Staff will discuss the benefits of these workshops with the customer, with the goal that the customer will attend workshops that will build their skills to make them more appealing to employers. Customers will receive individualized counseling, including labor market information that will show the customer the labor market trends in their career field in our region. They will also receive assistance utilizing TORQ, which is an online tool that recommends occupations based on the customer's knowledge, current skills and employment history, and assistance with job searching, which can be overwhelming. The customer will come in two weeks after the orientation to meet with a staff member to review how the customer's job search activities are going. This is a great opportunity for staff to speak to the customer again about the career pathway that the customer is on and if the customer has all the skills necessary to attain employment in their desired field or if the customer has considered training options to help build their skills. There are many training options for customers, such as OJTs, short-term training, and completing a degree. Many of them may be funded by WIOA. If the customer is interested in more in depth career services or training services, they will be enrolled into WIOA services for more individualized assistance. The participants will be required to submit work search and activity logs for four weeks after orientation. If the participants file for a 15<sup>th</sup> week of UI, they will be brought back into the office to be re-engaged to review their job search activities and current skills.

JFH is a fast-track program that provides information on the vast re-employment services available through the WorkOne centers statewide. These participants will come in for a one-time orientation and receive information about the labor market and job searching assistance.

We plan to continue providing an overview of the full range of WorkOne services to all participants of these programs to encourage them to use our services to build their skills and assist them in attaining a job that is high-paying and in demand. We recommend all JFH participants attend workshops and access our basic and individualized services.

**4.12\*** Describe efforts to coordinate supportive services provided through workforce investment activities in the local area, including facilitating transportation for customers. [WIOA Sec. 108(b)(11)]

Northeast Indiana Works believes supportive services are a key component in transitioning individuals into the workforce. We work closely with local nonprofit agencies to identify resources available, such as housing assistance, clothing banks, entities that support childcare, and organizations that provide transportation assistance. Because WIOA requires regional staff to first explore all other supportive service options before utilizing WIOA funds to mitigate a need, the importance of this connectivity is further increased. Each instance of supportive service is determined on an individualized basis. With respect to transportation, Northeast Indiana Works will present options for bus passes or the equivalent in areas that do not have public bus transit, reimbursement for incurred transportation costs, gas cards, and will consider additional means of transportation support if additional options present themselves. Transportation can often be the largest barrier to employment for many individuals.

### **Section 5: Compliance**

Please answer the following questions of Section 5 in 12 pages or less. Most of the response should be staff-driven responses as each are focused on the organization's compliance with federal or state requirements.

**Questions that require collaborative answers for regions 5 & 12 are designated with an \*.**

5.1 Describe any competitive process that is planned to be used to award the sub-grants and contracts in the local area for activities carried out under WIOA Title I. State the names of current contracted organizations and the duration of each contract for adult, dislocated worker and youth services. Attach contracts as Exhibit 1. [WIOA Sec. 108(b)(16)]

Northeast Indiana Works does not contract out adult and dislocated services. In EGR3, career and individualized services are provided for by Northeast Indiana Works staff. For the most part, staff are cross-trained with DWD staff, ensuring that customers are served in the most efficient and well-rounded manner as possible.

Northeast Indiana Works issued a Request for Proposals (RFP) for entities to provide Workforce Innovation and Opportunities Act (WIOA) Title I Youth Services (both for WIOA In-School and WIOA Out-of-School participants) to help youth with barriers be successful academically, and access job training and postsecondary level opportunities to gain knowledge and the skills required to enter into high-wage career pathways. These services are to be made available to youth residing in the counties of LaGrange, Steuben, Noble, DeKalb, Whitley, Allen, Wabash, Huntington, Wells, Adams and Grant. The intent is for proposing organizations to demonstrate innovative programming that would provide services to youth between the ages of 16 and 24 that fit all eligibility criteria as defined by the WIOA, incorporating the required 14 program elements listed within the act.

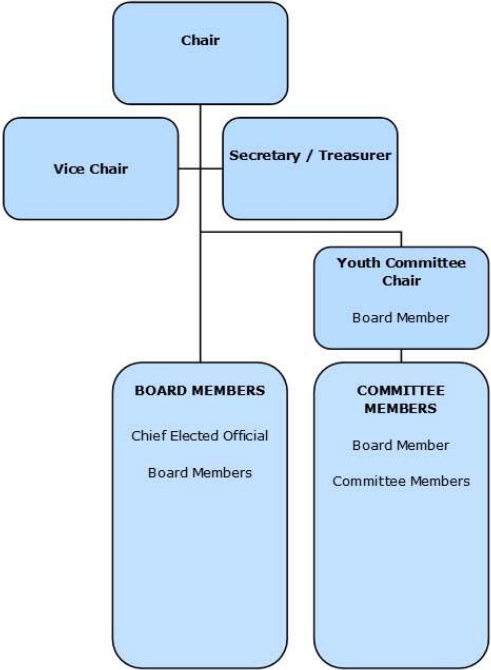


The youth RFP was issued on March 8, 2016 with a due date of April 12, 2016. The RFP was sent to organizations on Northeast Indiana Works' bidders list, as well as being posted on Northeast Indiana Works' website and DWD's website. Proposals were reviewed and scored by a committee. The final decision on who will be awarded a contract will be determined by members of the Northeast Indiana Works board on June 3, 2016.

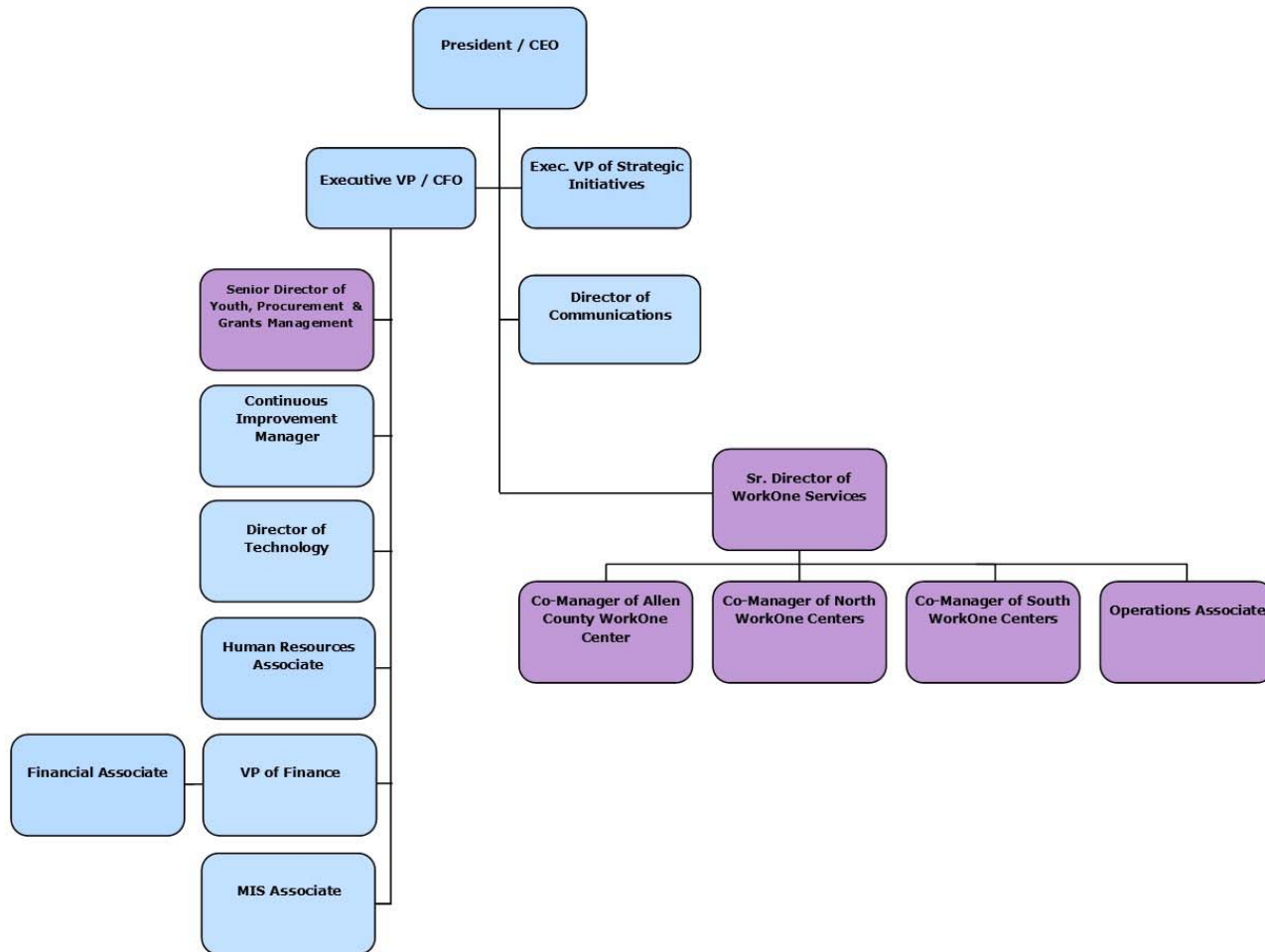
Northeast Indiana Works currently contracts with Brightpoint to provide in-school youth JAG services at 14 high schools throughout northeast Indiana. Northeast Indiana Works contracts with Stop Child Abuse and Neglect (SCAN) to provide services to out-of-school youth residing in all 11 northeast Indiana counties. Contracts for both providers expire on **June 30, 2017**.

5.2 Provide an organization chart as Exhibit 2 that depicts a clear separation of duties between the board and service provision.
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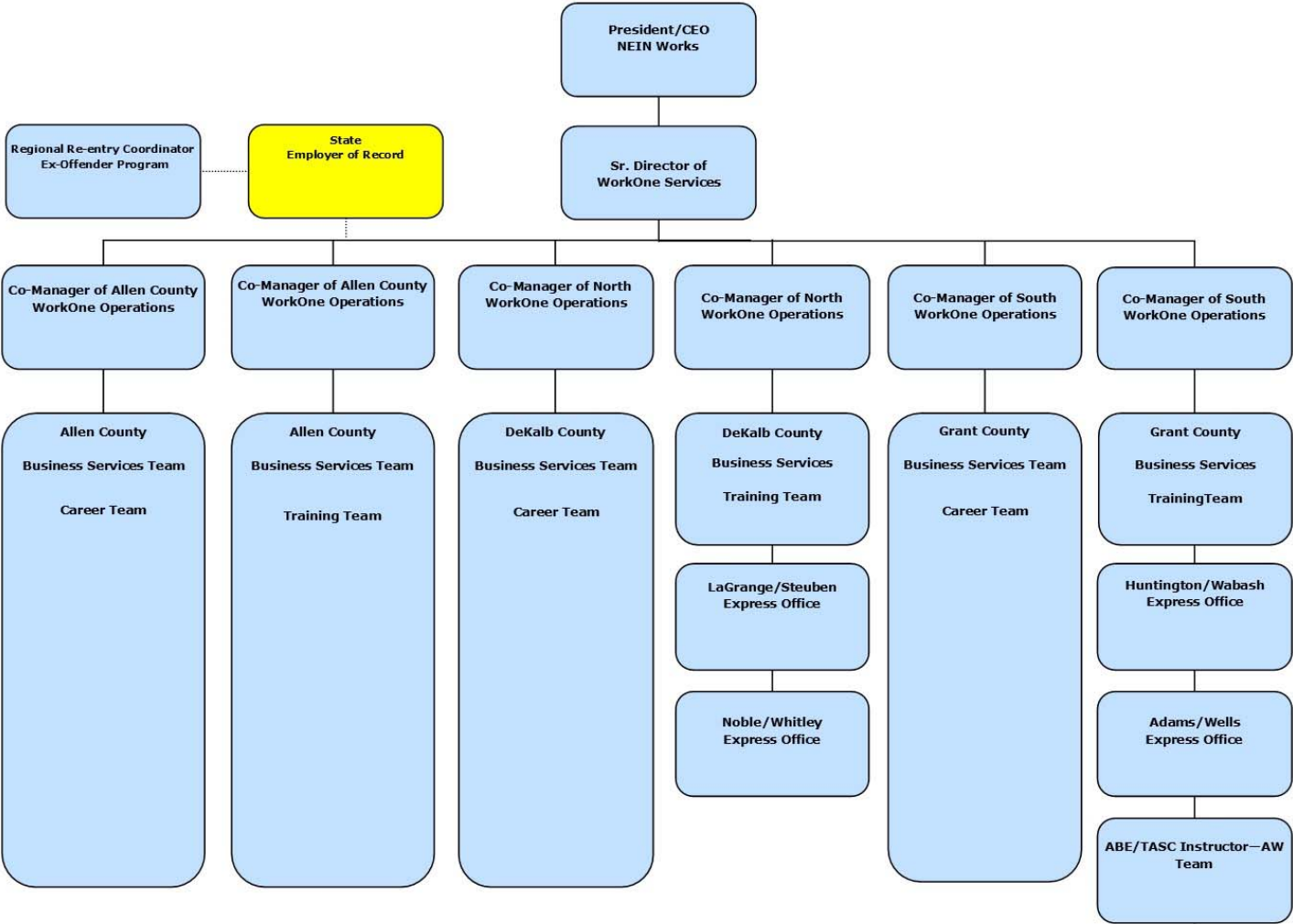
# Northeast Indiana Works Board of Directors and Youth Committee Organizational Chart



# NEIN Works Administrative Staff Organizational Chart



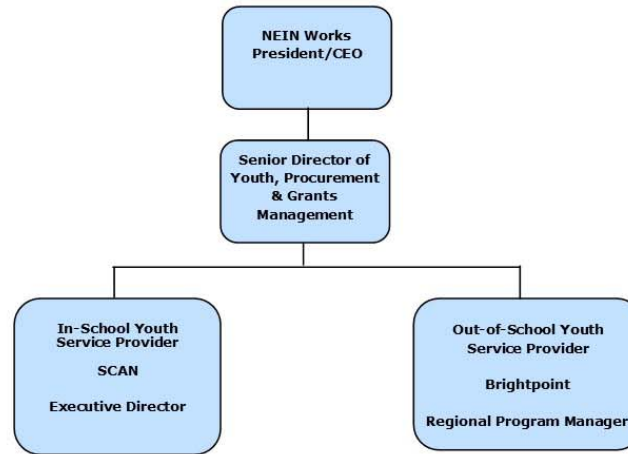
# NEIN Works Center Staff Organizational Chart



North Team Counties—LaGrange, Noble, Steuben, and Whitley

South Team Counties—Adams, Huntington, Wabash, and Wells

## Service Provider Organizational Chart



5.3 Describe any standing committees or taskforces of your Local Board, including the role and scope of work of your youth committee (or youth representatives on the WDB if you do not have a committee).

Northeast Indiana Works as the WDB has two standing committees: Executive Committee and Youth Committee. The Executive Committee performs all traditional board governance executive committee functions, while the Youth Committee engages in the current state of affairs for EGR3 youth as well spearheads initiatives that are youth oriented. Two board members serve on the Youth Committee, with one being Youth Committee Chair. Northeast Indiana Works plans to dissolve the existing Youth Committee and transition its membership into existing regional committees that are working to ensure systemic alignment with Cradle to Career through the efforts of the StriveTogether network. It is Northeast Indiana Works' belief that this committee will have a greater regional impact as a partner in the regional Cradle to Career efforts versus continuing to function as a stand-alone workforce development committee.

5.4 Provide the name, organization, and contact information of the designated equal opportunity officer for WIOA within the local area.

Andrea Bolinger  
Northeast Indiana Works  
P: 260.469.4319  
E: ABolinger@NEINWorks.org

5.5 Identify the entity responsible for the disbursement of grant funds as described in WIOA Sec. 107(d)(12)(B)(i)(III). [WIOA Sec. 108(b)(15)]

Northeast Indiana Works

5.6 Indicate the negotiated local levels of performance for the federal measures. NOTE: These have not been negotiated, but will be required to be updated once negotiated with the state. [WIOA Sec. 108(b)(17)]

5.7 Provide a description of the replicated cooperative agreements, as defined by WIOA 107(d)(11), in place between the local board and the Department of Human Services' Office of Vocational Rehabilitation Services with respect to efforts that will enhance the provision of services to individuals with disabilities and to other individuals, such as cross training of staff, technical assistance, use and sharing of information, cooperative efforts with employers, and other efforts at cooperation, collaboration, and coordination. See Local Plan References and Resources. [WIOA Sec. 108(b)(14)]

Northeast Indiana Works plans to continue working with Vocational Rehabilitation to continue to provide office space and maintain a cross-referral mechanism beneficial for all individuals in need. We will jointly work to identify barriers and opportunities within the region to increase employment opportunities for jointly eligible individuals, to ensure opportunities are available for staff cross-training, and to educate employers on the abilities of the eligible population and the benefits of employing these individuals.

5.8 Describe the process for getting input into the development of the local plan in compliance with WIOA section 108(d) and providing public comment opportunity prior to submission. Be sure to address how

members of the public, including representatives of business, labor organizations, and education were given an opportunity to provide comments on the local plans. If any comments received that represent disagreement with the plan were received, please include those comments in Exhibit 3 attached to this Local Plan. [WIOA Sec. 108(b)(20)]

Northeast Indiana Works believes that feedback is a critical component to the development of its local workforce plan. Northeast Indiana Works plans to publish its local workforce plan on its website. The plan will also be given to members of the WDB during its regularly scheduled meeting on June 3. Northeast Indiana Works will also email information about the plan to local elected officials, postsecondary educators, economic development leaders, adult education providers, and other workforce development partners, encouraging all to provide plan feedback. Feedback will be submitted through a special Northeast Indiana Works email address: [neinworks@neinworks.org](mailto:neinworks@neinworks.org)

5.9 Describe the board's process, frequency and schedule for monitoring adult, dislocated worker and youth services, including who conducts monitoring visits for your agency, training these staff receive on monitoring or site evaluation, and a listing of all upcoming planned or scheduled monitoring visits, all forms used during the review process and a sample report from a past review.

Northeast Indiana Works' fiscal team conducts on-site monitoring of all contractors annually and performs monthly desktop monitoring. The on-site monitoring includes, but is not limited to, expenditures, cost allocation, bank reconciliation, internal controls, etc. The desktop monitoring includes payroll for both staff and customers, and comparison of expenditures to budgets for alignment. The Northeast Indiana Works Youth Director conducts annual site visits of all JAG sites and intermittently monitors program activity for BSON activities. During these site visits program services are evaluated, the Youth Director speaks with participants (JAG & BSON), school administrators (JAG), and staff to ensure appropriate service delivery is taking place. A Northeast Indiana Works MIS Specialist conducts weekly reviews of new WIOA enrollments and performs quarterly WIOA Youth file reviews. Local office Co-Center Managers conduct monthly file reviews of a minimum of 10 participant files per month and customer files are reviewed prior to the issuance of a training voucher for compliance.

Regional monitoring was recently completed and a new monitoring schedule will be developed once the PY2016-17 youth service providers have been identified and a schedule can be arranged. Monitoring staff have attended trainings hosted by WIPFLI and the U.S. Department of Labor, specific to monitoring, OMB training and grant management.

5.10 Describe your professional development plan for all youth staff, including the frequency, type (in-person, self-guided, web-based, etc.), and topics addressed.

The majority of youth training is conducted by the service provider staff to their own staff. As mentioned, Northeast Indiana Works meets with all youth providers quarterly, allowing opportunities to discuss professional development needs on a real-time basis. At minimum, Northeast Indiana Works will provide annual training and management information system updates and WIOA guidance and interpretation.

Northeast Indiana has contracted with two providers to serve our regional youth. Brightpoint serves in-school youth through the JAG program. SCAN, Inc serves regional out-of-school youth. Both youth providers have an

on-boarding process for new staff. Every new staff member goes through an agency orientation program which covers topics about human resources, an agency overview, a facility tour, introductions to all administrators who are in the building at the time of orientation and an overview of their youth program. Training regarding information security and an introduction to the statewide customer management information system is also conducted. Each new staff member is provided with job shadowing experiences so they are exposed to all youth related activities, policies and procedures. Both providers also assign a mentor to each new staff person.

Staff attend IDWD conducted youth related meetings and conferences throughout the year. Information from those meetings and conferences are shared with staff who did not attend.

Based on geography, groups of Brightpoint staff meet in person on a weekly basis. During those meetings, staff discuss JAG curriculum, data issues and any other topics each staff would like addressed. As items arise, training plans are developed and either addressed during the weekly meetings or forwarded to the Brightpoint leadership team. On the phone, the leadership team on a one-on-one basis conducts a weekly feedback meeting. During those meetings, one-on-one training can take place based on staffing needs. All staff meetings are held in person on a monthly basis. Again, training is conducted based on staffing needs or as-needed, based on organizational or regional policy and procedural changes. Training on data entry and classroom techniques are also provided during the monthly staff meetings. The Quality Coordinator provides quarterly in-person training on various data related items and reporting. Throughout the year, staff attend conferences to enhance their curriculum delivery, learn best practices, fundraising techniques and employer marketing assistance.

All SCAN, Inc staff are required to attend in-service and educational seminars throughout the program year. Training topics include: Affirmative Action/Equal Employment Opportunity, Harassment-Free Work Environment, Drug/Alcohol Awareness, Workplace Violence, and Safety training. These programs are videotaped so they can be viewed independently.

Other training that is mandatory for their youth staff includes Crisis Prevention (CPI) and First Aid/CPR classes. These classes are offered several times during the year, and staff with client contact must keep up-to-date training certification.

Young Adult Advocates are required to attend 12 hours (including mandatory topics) of in-service and educational seminars during the year. The MIS Data Validation and Administrative Coordinator positions are required to have two hours of training and five hours of mandatory training during the year, respectively. The Be Someone Now supervisor and program manager are required to complete five hours of mandatory training plus seven additional general hours, four of which may be on topics such as leadership, etc. during the year.

Below is a list of youth mandated in-person training topics for out of school youth staff:

- **Build Your Bounce:** This training helps staff to identify resiliency factors in themselves and their clients. Primary resiliency areas include: relationships, internal beliefs, initiative, and self-control.
- **Boundaries/Ethics:** explores the impacts of ethics, boundaries, and confidentiality issues on social workers, especially home visitors. This training is offered once every six months.
- **Car Seat Training:** This training is required of all staff at SCAN, and is offered every other month. Staff are trained by certified car seat trainers to properly install and use infant, toddler and booster seats for vehicle transport.



- **Child Abuse and Neglect:** this is an overview of the impact of neglect and abuse on children today and their adult lives; includes information on what and when to report. This training is offered once every six months.
- **Crisis Prevention Institute (CPI) Training:** focuses on intervening when people with cognitive and behavioral disorders become physically violent or verbally combative. This is a required training for all SCAN staff. The initial training is a full day and offered every other month; the recertification training is half day training and also offered every other month, alternating with the full training.
- **Cultural Diversity:** an introduction to the cultures served in the SCAN service area. This training is offered once every six months.
- **Culture of Poverty:** Impact of poverty on families; suggestions for overcoming the hidden messages of socioeconomic groups. This training is offered once every six months.
- **Family Spacing:** session covers STDs, STIs, safe sex and talking tips. This training is offered once every six months.
- **Home Safety:** use of home safety checklist; tips for ensuring children are safe in the homes visited in context of preventing the 5 most serious threats. This training is offered once every six months.
- **Home Visitor Safety:**
- **Inter-Personal Violence:** discussion and look at domestic violence as it impacts families; suggestions for how home visitors deal with it. This training is offered once every six months.
- **Mental Health:** covers mental illnesses encountered in families served as well as ways to ensure good personal mental health. This training is offered once every six months.
- **Motivational Interviewing:**
- **Positive Discipline Strategies:** basic concepts of positive discipline are discussed along with strategies for sharing them with families. This training is offered once every six months.
- **Special Needs Child Development:** working with and assisting parents of special needs children; looks at conditions such as Fetal Alcohol Syndrome (FAS). This training is offered once every six months.
- **Substance Abuse:** looks at impact of substance abuse on individual, family, society; includes signs, symptoms, and strategies for service. This training is offered once every six months.
- **Trauma Informed Care**
- **Values Clarification:** allows staff to explore values and feelings when encountering differing values of families they serve. This training is offered once every six months.
- **Working with Teens/Multigenerational Families:** covers topics including grandparents' involvement. This training is offered once every six month

Below are additional training topics, which are offered in-person once every six months and are available for staff:

- **Difficult Topics and Communication Tips:** Difficult Topics Communication Tips: presents means of addressing difficult topics and bringing up issues revealed in assessments.
- **Language Development:** encouraging parental behaviors that foster language development.
- **Strength-Based Parenting:** strategies for assisting parents to be more positive in all aspects of their children's lives.
- **Working with Fathers/Men:** discussion of encouraging fathers' involvement in home visits.

SCAN, Inc in-person team meetings, which occur on a monthly basis and are mandated for all youth staff, include professional development specific to services staff will be providing to youth. Topics covered include:

- Review of Enrollment Goals by County
- Performance Measures Policy Review and Discussion

- Peer Review Audits Policy Review and Discussion
- FROG Case Management System – recap
- 4MAT Learner Types Overview and Discussion
- Program Year Outcomes Review and Discussion
- Post-TABE Protocol Review and Discussion
- Case Management at a Glance Policy Review and Discussion
- MBTI Personality Game
- Customer Service Policy Review and Discussion
- Client Contact Hours Policy Review and Discussion
- Audits Policy Review and Discussion
- Enrollments, exits and outcomes by quarter and county Policy Review
- Work Experience Review and Discussion
- Culture, Communication and Personality
- Teen Suicide, PTSD and Depression, Training

5.11 Provide a list of all local policies. Copies of documents are not required at this time but may be requested later.

In addition to policies and interim guidance memos published by DWD, Northeast Indiana Works adheres to the following local policies:

- Access to Public Records
- Assessment and ACP
- Case Notes
- Conflict of Interest
- Customer Flow
- Functional Supervisory Authority
- Monitoring
- Nondiscrimination
- On-the-Job Training
- Participant Payments
- Record Retention
- Smoke & Tobacco Free
- Weapons
- Workshops
- Youth Eligibility
- Youth Incentives

Exhibit A - Question 4.4D

<b>Northeast Indiana One Stop Partner Service Matrix</b>		<b>Workforce Investment Board</b>	<b>Department of Workforce Development</b>	<b>Anthis Career Center</b>	<b>Ivy Tech Community College</b>	<b>Community Action of Northeast Indiana</b>	<b>Pathfinder Services</b>	<b>Catholic Charities</b>
	<b>One-Stop Activity</b>							
<b>Core Services</b>	Outreach/Intake	X	X	X	X	X	X	X
	Initial Assessment	X	X	X		X	X	X
	Job Search Services	X	X			X	X	X
	Job Placement Support	X	X			X	X	X
	Career Counseling	X	X	X	X		X	X
	Workshops	X	X			X	X	
	Support Services Information	X	X		X	X	X	
	WIA Eligibility Determination	X	X					
	Follow Up Services	X	X	X		X	X	X
	Eligible Training Provider Information	X	X		X			
<b>Intensive Services</b>	Comprehensive Assessment	X	X	X		X	X	X
	Support Development of Individual Plan	X	X	X			X	X
	Career Planning	X	X	X	X		X	X
	Short Term Prevocational Services	X	X	X	X			
	Adult Basic Education Services	X	X	X	X			
<b>Training Services</b>	Individual Training Accounts for Occupational Skills Training	X	X		X			
	On-the-Job Training	X	X					
<b>Other Services</b>	Work Experience	X						X
	Rehabilitative Technology						X	
	Job Site Modification						X	
	Housing Assistance					X	X	

## ATTACHMENT B--PROJECTED PROGRAM PARTICIPANTS for PY16

	Participants to be Served	Program Funding (WIOA)	Additional Funding (State)	Additional Funding (Federal)	Additional Funding (Non-state/federal)	Total Budget	Budget per Participant
WIOA Adult							
Dislocated Worker							
Youth (in-school)							
Youth (out-of-school)							
ABE							
WorkINDiana							
HIRE							
Rapid Response							
REA & JFH							
Veterans							

**WORKFORCE INNOVATION  
AND OPPORTUNITY ACT**

**NORTHEAST  
INDIANA  
WORKS**



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**CONTRACT AGREEMENT**

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**Between**

**Northeast Indiana Works**

**and**

**Brightpoint**

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**July 1, 2016 – June 30, 2017**

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**Contract No. Youth-2016-Brightpoint-01  
CFDA 17.259  
CFDA 93.558**

This Contract Agreement, entered into by and between **Northeast Indiana Works** ("NEINW") and **Brightpoint** (hereinafter the "Contractor") is executed pursuant to IC 22-4-18-1(b)(4) and the terms and conditions set forth herein. In consideration of those mutual undertakings and covenants, the parties agree as follows:

**1.) Applicable Law, Purpose and Funding Source:**

- A. Applicable Law: The applicable federal and state statutes, rules and regulations, as the same may be amended from time to time, for the Contract funds are set forth in **Exhibit A**, attached hereto and incorporated fully herein. This Contract shall be used exclusively in accordance with the provisions contained in this Contract Agreement, and in the applicable federal and state statutes, rules and regulations and applicable Office of Management and Budget (OMB) circular.
- B. Purpose: The purpose of this Contract Agreement is to implement youth programs and/or services described in the "Statement of Work", attached hereto as **Exhibit B**, and incorporated fully herein ("The Statement of Work").
- C. Funding Source: The funding source to support this Contract are funds made available pursuant to the federal Workforce Innovation and Opportunity Act (WIOA), 29 USC 2801 et seq., H.E.A. 1001 and any amendments thereto; which is incorporated herein and made a part hereof by reference.

**2.) Term**: The term of this Contract Agreement shall be from July 1, 2016 until June 30, 2017 (the "Expiration Date"). In no event shall payments be made for work done or services performed after the Expiration Date. The Contractor may request in writing that the Expiration Date only of this Contract Agreement be extended. If a request for extension is granted, the extension shall be made by written agreement of the parties and subsequent approval by all appropriate NEINW officials or their designees.

**3.) Consideration**: The Project Budget is set forth in **Exhibit C**, attached hereto and incorporated fully herein (the "Budget"). Maximum payment is limited to the lesser of:

- A. **\$1,552,907.20**, as specified in the Budget; or
- B. The actual cost of performing the services and activities described in this Contract Agreement.

**4.) Audits:**

- A. The Contractor shall submit to an audit of funds paid through this Contract Agreement, and shall make all books, accounting records and other documents available at all reasonable times during the term of this Contract Agreement and for a period of three (3) years after final payment for inspection by NEINW or its authorized designee. Copies shall be furnished to NEINW at no cost.
- B. If required by applicable provisions of the Office of Management and Budget's Uniform Guidance, 2 CFR 200, following the expiration of this Contract Agreement, the Contractor shall arrange for a financial and compliance audit of funds provided by NEINW pursuant to this Contract Agreement. Such audit is to be conducted by an independent public or certified public accountant (or as applicable, the Indiana State Board of Accounts), and performed in accordance with Indiana State Board of Accounts publication entitled "Uniform Compliance Guidelines for Examination of Entities Receiving Financial Assistance from Governmental Sources," and applicable provisions of the Office of Management and Budget Uniform Guidance, 2 CFR 200. The Contractor is responsible for ensuring that the audit and any management letters are completed and forwarded to NEINW in accordance with the terms of this Contract Agreement. Audits conducted pursuant to this paragraph must be submitted no later than nine (9) months following the close of the Contractor's fiscal year. The Contractor agrees to provide Northeast Indiana Works an original of all financial and compliance audits. The audit shall be an audit of the actual entity, or distinct portion thereof that is the Contractor, and not of a parent, member, or Subsidiary Corporation of the Contractor, except to the extent such an expanded audit may be determined by the Indiana State Board of Accounts or NEINW to be in the best interests of the NEINW. The audit shall include a statement from the Auditor that the Auditor has reviewed this Contract Agreement and that the Contractor is not out of compliance with the financial aspects of this Contract Agreement.

5.) **Authority to Bind Contractor:** The signatory for the Contractor represents that he/she has been duly authorized to execute this Contract Agreement on behalf of the Contractor and has obtained all necessary or applicable approval from the Contractor to make this Contract Agreement fully binding upon the Contractor when his/her signature is affixed, and accepted by NEINW.

6.) **Compliance with Laws:**

- A. The Contractor shall comply with all applicable federal, state and local laws, rules, regulations and ordinances, and all provisions required thereby to be included herein are hereby incorporated by reference. The enactment or modification of any applicable state or federal statute or the promulgation of rules or regulations thereunder after execution of this Contract shall be reviewed by NEINW and the Contractor to determine whether the provisions of this Contract require formal modification.
- B. The Contractor and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with NEINW, as set forth in Indiana Code § 4-2-6 et seq., IC § 4-2-7, et, seq., the regulations promulgated thereunder. If NEINW is not familiar with these ethical requirements, the Contractor should refer any questions to the Indiana State Ethics Commission, or visit the Inspector General's website at <http://www.in.gov/ig/>. If the Contractor or its agents violate any applicable ethical standards, NEINW may, in its sole discretion, terminate this Contract immediately upon notice to the Contractor. In addition, the Contractor may be subject to penalties under IC § 4-2-6, 4-2-7, 35-44.1-1-4, and under other applicable laws.
- C. The Contractor certifies by entering into this Contract, that neither it nor its principal(s) is presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to NEINW. The Contractor agrees that any payments currently due to NEINW may be withheld from payments due to the Contractor. Additionally, payments may be withheld, delayed, or denied and/or this contract suspended until the Contractor is current in its payments and has submitted proof of such payment to NEINW.
- D. The Contractor warrants that it has no current, pending or outstanding criminal, civil, or enforcement actions initiated by NEINW or the State of Indiana, and agrees that it will immediately notify NEINW of any such actions. During the term of such actions, the Contractor agrees that NEINW may suspend funding for this Contract. If a valid dispute exists as to the Contractor's liability or guilt in any action initiated by NEINW, and NEINW decides to suspend funding to the Contractor, the Contractor may submit, in writing, a request for review to the Indiana Department of Workforce Development (IDWD). A determination by IDWD shall be binding on the parties. Any disbursements that NEINW may delay, withhold, deny, or apply under this section shall not be subject to penalty or interest.
- E. The Contractor warrants that the Contractor and its subcontractors performing work in connection with this Contract shall obtain and maintain all required permits, licenses, registrations, and approvals, and shall comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for NEINW. Failure to do so may be deemed a material breach of this grant and grounds for immediate termination of this Contract Agreement and denial of grant opportunities with NEINW.
- F. The Contractor affirms that if it is an entity described in IC Title 23, it is properly registered and owes no outstanding reports to the Indiana Secretary of State.
- G. As required by IC §5-22-3-7:
- (1.) The Contractor and any principals of the Contractor certify that:
- (a.) The Contractor, except for de minimis and nonsystematic violations, has not violated the terms of:
- (i.) IC §24-4.7 [Telephone Solicitation of Consumers];
- (ii.) IC §24-5-12 [Telephone Solicitations]; or

- (iii.) IC §24-5-14 [Regulation of Automatic Dialing Machines]; in the previous three hundred sixty-five (365) days, even if IC 24-4.7 is preempted by federal law; and
  - (b.) The Contractor will not violate the terms of IC §24-4.7 for the duration of this Contract Agreement, even if IC §24-4.7 is preempted by federal law.
- (2.) The Contractor and any principals of the Contractor certify that an affiliate or principal of the Contractor and any agent acting on behalf of the Contractor or on behalf of an affiliate or principal of the Contractor, except for de minimis and nonsystematic violations,
- (a.) has not violated the terms of IC §24-4.7 in the previous three hundred sixty-five (365) days, even if IC §24-4.7 is preempted by federal law; and
  - (b.) will not violate the terms of IC §24-4.7 for the duration of this Contract Agreement even if IC §24-4.7 is preempted by federal law.

**7.) Confidentiality of NEINW Information:** The Contractor understands and agrees that data, materials, and information disclosed to Contractor may contain confidential and protected information. The Contractor covenants that data, material and information gathered, based upon or disclosed to the Contractor for the purpose of this Contract, will not be disclosed to or discussed with third parties without the prior written consent of NEINW.

The Contractor will abide by all applicable statutes, regulations, directives and mandates to protect the privacy rights and interests of individuals who apply for employment and training and related services. The Contractor specifically agrees to adhere to the provisions of IC 22-4-19-6 and IC 4-1-6-1 et seq. Contractor recognizes that it is subject to the penalties for disclosure of protected information under IC 5-14-3-10.

The parties acknowledge that the services to be performed by Contractor for NEINW under this Contract may require or allow access to data, materials, and information containing Social Security numbers or other personal information maintained by NEINW in its computer system or other records. In addition to the covenant made above in this section and pursuant to 10 IAC 5-3-1(4), the Contractor and NEINW agree to comply with the provisions of IC 4-1-10 and IC 4-1-11. If any Social Security number(s) is/are disclosed by Contractor, Contractor agrees to pay the cost of the notice of disclosure of a breach of the security of the system in addition to any other claims and expenses for which it is liable under the terms of this Contract.

**8.) Debarment and Suspension:**

- A. The Contractor certifies, by entering into this Contract Agreement, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into this Contract Agreement by any federal agency or by any department, agency or political subdivision of the State of Indiana. The term "principal" for purposes of this Contract Agreement means an officer, director, owner, partner, key employee, or other person with primary management or supervisory responsibilities, or a person who has a critical influence on, or substantive control over, the operations of the Contractor.
- B. The Contractor certifies that it has verified the state and federal suspension and debarment status for all subcontractor receiving funds under this Contract Agreement and shall be solely responsible for any recoupment, penalties or costs that might arise from use of a suspended or debarred subcontractor. The Contractor shall immediately notify NEINW if any subcontractors becomes debarred or suspended, and shall, at NEINW's request, take all steps required by NEINW to terminate its contractual relationship with the subcontractor for work to be performed under this Contract Agreement.

**9.) Drug-Free Workplace Certification:** As required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana, the Contractor hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. The Contractor will give written notice to NEINW within ten (10) days after receiving actual notice that the Contractor, or an employee of the Contractor in the State of Indiana, has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of grant payments, termination of the Contract and/or debarment of grant opportunities with Northeast Indiana Works or the State of Indiana for up to three (3) years.



In addition to the provisions of the above paragraphs, if the total amount set forth in this Contract Agreement is in excess of \$25,000.00, the Contractor certifies and agrees that it will provide a drug-free workplace by:

- A. Publishing and providing to all of its employees a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; and
- B. Establishing a drug-free awareness program to inform its employees of (1) the dangers of drug abuse in the workplace; (2) the Contractor's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace; and
- C. Notifying all employees in the statement required by subparagraph (A) above that as a condition of continued employment the employee will (1) abide by the terms of the statement; and (2) notify the Contractor of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction; and
- D. Notifying in writing NEINW within ten (10) days after receiving notice from an employee under subdivision (C)(2) above, or otherwise receiving actual notice of such conviction; and
- E. Within thirty (30) days after receiving notice under subdivision (C)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency; and
- F. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (A) through (E) above.

10.) **Employment Eligibility Verification:** As required by IC §22-5-1.7, the Contractor hereby swears or affirms under the penalties of perjury that:

- A. The Contractor has enrolled and is participating in the E-Verify program;
- B. The Contractor has provided documentation to NEINW that it has enrolled and is participating in the E-Verify program;
- C. The Contractor does not knowingly employ an unauthorized alien.
- D. The Contractor shall require its contractors who perform work under this Contract Agreement to certify to Contractor that the contractor does not knowingly employ or contract with an unauthorized alien and that the contractor has enrolled and is participating in the E-Verify program. The Contractor shall maintain this certification throughout the duration of the term of a contract with a contractor.

NEINW may terminate for default if the Contractor fails to cure a breach of this provision no later than thirty (30) days after being notified by NEINW.

11.) **Establishment and Maintenance of Records, Cost Documentation, Reports and Inspections:** The Contractor and/or its fiscal agent shall utilize fiscal control and accounting procedures that permit the preparation of all required reports and the tracing of expenditures adequate to establish compliance with all applicable requirements. The Contractor shall prepare required reports that are uniform in definition, reasonably accessible and comprehensible to all authorized parties, verifiable for monitoring, reporting, audit

and evaluation purposes, and in accordance with the specifications of the Statewide Management Information System as set forth by NEINW.

12.) **Funding Cancellation:** When the NEINW Chief Financial Officer (CFO) makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Contract Agreement, it shall be canceled. A determination by the NEINW CFO that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

13.) **General Assurances and Certifications:** The Contractor certifies that in connection with the activities undertaken pursuant to this Contract Agreement:

A. The Contractor shall modify employment and training services and activities as directed by NEINW or the DWD in the event statutes or regulations require such modification.

The Contractor shall comply with all applicable policy and directives issued by NEINW and the State.

B. The Contractor represents and warrants that it has a current Cost Allocation Plan. A Cost Allocation Plan is current when it addresses an entity-wide allocation of all funds awarded to the Contractor by NEINW and received from separate funding sources.

C. No funds made available under this Contract Agreement shall be used to promote religious or anti-religious activities in violation of 20 CFR 667.266.

D. No funds made available under this Contract Agreement may be used for lobbying activities in violation of 29 CFR 93.100 et seq., or used for political activities in violation of 5 U.S.C. 1501 et seq.

E. It shall establish safeguards adequate to prohibit employees or other persons from using their position with the Contractor for improper private gain for themselves or others. The Contractor will adopt corporate bylaws that establish procedures to avoid improper conflicts of interest.

F. It shall maintain an affirmative action plan, written personnel policies, and grievance procedures for complaints and grievances from applicants, participants and beneficiaries, subcontractors, employers, employees and other interested persons, all in accordance with all applicable statutes and regulations.

G. The Contractor will not violate the provisions of 18 USC 665, which defines criminal liability for individuals who steal, embezzle, or otherwise misuse funds under the WIA and agrees to educate all staff members on the requirements of this statutory provision.

H. In accordance with the Occupational Health and Safety Act of 1970, 29 USC 651 et seq., the Contractor will not expose participants to surroundings or working conditions which are unsanitary, hazardous or dangerous; participants employed or trained for inherently dangerous occupations shall be assigned to work in accordance with reasonable safety practices.

I. The Contractor agrees to comply with the provision of veteran's preference consistent with the applicable law at 38 USC 4215.

14.) **Governing Laws:** This Contract Agreement shall be governed, construed, and enforced in accordance with the laws of the State of Indiana, without regard to its conflict of laws rules. Suit, if any, must be brought in the State of Indiana.

15.) **Indemnification:** The Contractor shall indemnify, defend, save and hold harmless NEINW, its agents, officials, employees, customers, consultants, third-party service providers, (the Indemnities") from and

against all claims, allegations, causes of action, or demands that are presented to or brought against one or more of the Indemnities, and any losses, liabilities, damages, lost premium, fines, penalties, assessments and/or related costs and/or expenses (including, but not limited to, reasonable attorneys' fees, expert fees, court costs, reasonable costs of investigation, litigation, settlement, judgment, appeal, interest, and/or penalties to enforce any right under this Agreement) (the "Losses") arising out of, in connection with or relating to any act or omission of the Contractor and its fiscal agent if procured by the Contractor, regional operator, or service providers. The Contractor agrees to repay to NEINW, from non-federal funding sources, the costs determined by law to be disallowed in accordance with applicable federal, state or local laws, including rules or regulations. NEINW shall not provide such indemnification to the Contractor.

16.) **Independent Contractor:** Both parties hereto, in the performance of this Contract Agreement, will be acting in an individual capacity and not as agents, employees, partners, joint ventures or associates of one another. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purposes whatsoever. Neither party will assume any liability for any injury (including death) to any persons, or any damage to any property arising out of the acts or omissions of the agents, employees, or subcontractors of the other party.

The Contractor shall be responsible for providing all necessary unemployment and workers' compensation insurance for its employees.

17.) **Insurance and Bonding:**

A. The Contractor shall secure and keep in force during the term of this Contract Agreement, the following insurance coverages, covering the Contractor for any and all claims of any nature which may in any manner arise out of or result from Contractor's performance under this Contract Agreement.

(1.) The Contractor shall, at its sole cost and expense, provide comprehensive and general public liability insurance against claims for personal injury, death or property damage occurring in connection with the Contract. The limits of such insurance shall not be less than \$700,000 combined single limit per occurrence, \$5,000,000 aggregate, and shall contain a deductible clause not greater than Ten Thousand Dollars (\$10,000). All insurance required hereunder shall be with a responsible carrier acceptable to NEINW and shall name Northeast Indiana Works as an additional insured. Contractor shall, upon request, provide NEINW with a Certificate evidencing such insurance. Failure to maintain such insurance shall result in the termination of this Contract.

(2.) The Contractor shall provide crime insurance including fidelity coverage in the amount of (i.) \$100,000, or (ii.) the highest single total disbursement planned pursuant to this Contract Agreement and all other NEINW contracts outstanding to Contractor, whichever is higher, and covering all persons responsible for or handling funds received or disbursed under this Contract. This bond must show Northeast Indiana Works as the obligee. It shall be the Contractor's responsibility to see that all persons handling funds under this Contract Agreement are bondable. Failure to provide such evidence to NEINW shall result in termination of this Contract Agreement and any funds awarded hereunder.

(3.) If the Contractor is a department, division or agency of the State of Indiana, or of a county, municipal or local government, the foregoing insurance coverages shall not be required; however, Contractor may elect to provide such coverages.

B. The Contractor's insurance coverage must meet the following additional requirements:

- (1.) The insurer must have a certificate of authority issued by the Indiana Department of Insurance.
- (2.) Any deductible or self-insured retention amount or other similar obligation under the insurance policies shall be the sole obligation of the Contractor.
- (3.) NEINW will be defended, indemnified and held harmless to the full extent of any coverage actually secured by the Contractor in excess of the minimum requirements set forth above. The duty to indemnify NEINW under this Contract shall not be limited by the insurance required in the Contract.
- (4.) The insurance required in the Contract, through a policy or endorsement(s), shall include a provision that the policy and endorsements may not be canceled or modified without thirty (30) days' prior written notice to the undersigned.

Failure to provide insurance as required in the Contract may be deemed a material breach of contract entitling NEINW to immediately terminate this Contract.

18.) **Licensing Standards:** The Contractor, its employees and any subcontractors shall comply with all applicable licensing standards, certification standards, accrediting standards and any other laws and regulations governing services to be provided by the Contractor pursuant to this Contract Agreement. NEINW will not pay the Contractor for any services performed when the Contractor, its employees or subcontractors are not in compliance with such applicable standards, laws, rules or regulations. If any license, certification or accreditation expires or is revoked, or any disciplinary action is taken against an applicable license, certification or accreditation, the Contractor shall notify NEINW immediately and NEINW, at its option, may immediately terminate this Contract.

19.) **Lobbying Activities:**

A. Pursuant to 31 USC §. 1352, and any regulations promulgated there under, the Contractor hereby assures and certifies, and will require any subcontractor to assure and certify, that no federally appropriated funds have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in conjunction with the awarding of any federal grant, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan or cooperative agreement.

B. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this grant, the Contractor and any subcontractor shall complete and submit "Standard Form LLL" ("Disclosure Form to Report Lobby").

20.) **Modification:** For budget modification changes to wages, benefits and customer related expenses, requests must be submitted in writing and approved by NEINW. For budget changes, other than wages, benefits and customer related expenses that are greater than 10% per line item, must be submitted in writing and approved by NEINW.

The parties shall modify or extend this Agreement consistent with applicable law, NEINW and DWD policy. All modifications and extensions shall be made by mutual written agreement of the parties and subsequent approval by NEINW and Contractor no later than April 30<sup>th</sup> within the contract year.

21.) **Monitoring and Compliance:** NEINW shall monitor the Contractor's compliance with the terms and conditions of the Contract Agreement including all applicable statutes, regulations, directives and mandates.

The Contractor shall provide NEINW reasonable and adequate opportunity to conduct this monitoring, including providing the opportunity to review and audit all relevant documents, forms, reports or any other records at any time during the term of this Contract Agreement and after the Expiration Date as may be reasonably necessary to monitor compliance with this Contract Agreement. The Contractor will be responsible for on-site monitoring of any sub-recipient.

22.) **Nondiscrimination:** Pursuant to the Indiana Civil Rights Law, specifically including IC 22-9-1-10, and in keeping with the purposes of the federal Civil Rights Act of 1964, the Age Discrimination in Employment Act, and the Americans with Disabilities Act, the Contractor covenants that it shall not discriminate against any employee or applicant for employment relating to the Contract with respect to the hire, tenure, terms, conditions or privileges of employment or any matter directly or indirectly related to employment because of the employee or applicant's : race, color, national origin, religion, sex, age, disability, ancestry, status as a veteran, or any other characteristic protected by federal, state, or local law ("Protected Characteristics"). Furthermore, the Contractor certifies compliance with applicable federal laws, regulations, and executive orders prohibiting discrimination based on the Protected Characteristics in the provision of services.

The Contractor understands that NEINW is a recipient of federal funds, and therefore, where applicable, the Contractor and any subcontractors agree to comply with requisite affirmative action requirements, including reporting, pursuant to 41 CFR Chapter 60-1.1 et seq., as amended, and Section 202 of Executive Order 11246.

- A. **Equal Opportunity Assurances:** The parties to this Contract Agreement assure that each will fully comply with the nondiscrimination and equal opportunity provisions of Section 188 of WIA and its implementing regulations. These regulations prohibit discrimination because of race, color, religion, sex, national origin, age, disability, or political affiliation or belief in both participation and employment. In the case of participants only, it prohibits discrimination based on citizenship, or his or her participation in any WIOA Title I-financially assisted program or activity.
- B. **Discrimination Complaint Procedures:** The parties to this Contract Agreement will assure those complaints alleging discrimination on any of the above bases will be processed in accordance with applicable WIOA regulations and DWD policy 2012-04 and 2012-05, as well as any subsequent DWD policy which rescinds and replaces these, developed pursuant to this section and approved by the U.S. Department of Labor's Civil Rights Center.
- C. **Accessibility and Reasonable Accommodation:** Pursuant to applicable WIOA regulations, the parties to this Contract Agreement will assure that the following is provided in the One-Stop delivery systems:
  - (1.) Facilities and programs which are architecturally and programmatically accessible;
  - (2.) Reasonable accommodations for individuals with disabilities;
  - (3.) Cost allocation method for making reasonable accommodations (i.e., shared or paid by one entity).
- D. **Obligation to Provide Notice:** The parties to this Contract Agreement will provide ongoing and continuing notification that it does not discriminate on any of the prohibited basis in accordance with applicable regulations for Section 188 of WIOA.

23.) **Notices:** Whenever any notice, statement or other communication shall be sent to any party, it shall be sent to the following addresses, unless otherwise specifically advised.

- A. **Notices to Northeast Indiana Works shall be sent to:**
  - Kathleen Randolph
  - Northeast Indiana Works
  - 200 E Main St, Ste. 910
  - Fort Wayne, IN 46802
- B. **Notifications and payments for the Contractor shall be sent to:**
  - Steve Hoffman
  - Brightpoint
  - 227 E Washington Blvd, #1
  - Fort Wayne, IN 46802

24.) **Order of Precedence:** Any inconsistency or ambiguity in this Contract Agreement shall be resolved by giving precedence in the following order: (1) Requirements imposed by applicable federal law or other controlling document described in Exhibit A; (2) This Contract Agreement; (3) Exhibits prepared by NEINW; (4) Exhibits prepared by the Contractor; (5) Invitation to Apply for Contract (if applicable); and (6) The Contract Application (if applicable).

25.) **Payment of Contract Funds by NEINW:** Payment of Contract funds by NEINW to the Contractor shall be made in accordance with the following schedule and conditions:

- A. This Contract Agreement must be fully executed.
- B. No funds that are transferred under this Contract Agreement shall be disbursed by the Contractor to another person to act as its agent or employee in performing the terms and conditions of this Contract Agreement without a written financial grant between the Contractor and that person.
- C. All payments by NEINW to the Contractor for services rendered pursuant to this Contract Agreement shall be made on accrual basis and shall be accompanied with financial reports that are required by NEINW. No cost shall be accrued prior to the starting date of this Contract.
- D. All payments by NEINW are subject to the encumbrance of monies, to the prohibition against advance payments under IC 4-13-2-20, and to all of the NEINW's fiscal policies and procedures.
- E. NEINW reserves the right not to honor requests for payment received more than 90 days after the Expiration Date. NEINW also reserves the right to withhold final payment until agency-required reports are received and accepted.
- F. Failure to complete the activities described in this Contract Agreement and the strategic plan and to expend the funds in accordance with this Contract Agreement may be considered a material breach of this Contract Agreement and shall entitle NEINW to impose sanctions against the Contractor including, but not limited to, suspension of all grant programs and/or suspension of the Contractor's participation in grant programs until such time as all material breaches are cured to the NEINW's satisfaction. Sanctions may also include repayment of all funds expended for activities which are not in the scope of the Contract Agreement or the Budget. The remedies described in this subparagraph are in addition to any other remedies NEINW may have at law or equity.
- G. All payments shall be made in arrears in conformance with NEINW fiscal policies and procedures and, as required by IC 4-13-214.8, by electronic funds transfer to the financial institution designated by the Contractor in writing unless a specific waiver has been obtained from the Auditor of State.

26.) **Penalties, Interest and Attorney Fees:** NEINW will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest, or attorney's fees, except as permitted by Indiana law, in part, IC 5-17-5, IC 34-54-8, and IC 34-13-1.

Notwithstanding the provisions contained in IC 5-17-5, the parties stipulate and agree that any liability resulting from NEINW's failure to make prompt payment shall be based solely on the amount of funding originating from NEINW and shall not be based on funding from federal or other sources.

27.) **Property Management:** Title to all non-expendable personal property acquired with funds provided herein shall immediately become the property of NEINW upon delivery of such property by the vendor in accordance with the applicable Federal OMB circulars and IDWD's Property Management/Surplus Property Policy. The Contractor shall be responsible for the management and control of such property as defined in the IDWD's Property Management/Surplus Property Policy.

28.) **Repayment:** The Contractor and, if applicable, its Guarantor are responsible for the repayment of costs determined to be disallowed in accordance with applicable statutes, regulations, directives or mandates. Repayment of such costs shall be made within thirty (30) calendar days of the final audit determination and, unless agreed to in writing by NEINW, shall be repaid from non-Federal funds. Responsibility of the Contractor, as set forth herein, shall not release any insurer or bonding company from any contractual duty to reimburse the insured, NEINW, or the obligee.

29.) **Retention of Records:** The Contractor shall retain and make available all financial records, supporting documentation, statistical records, evaluation data, member information and personnel records for three (3) years from the final Expiration Date of this Contract Agreement. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

30.) **Special Requirements for Conferences and Conference Space:** The Contractor must request NEINW to obtain prior approval from United States Department of Labor (USDOL) before holding any conference (which includes meeting, retreat, seminar, symposium, training activity or similar event held in either Federal or non-Federal space), or any activity related to holding a conference, including, but not limited to, obligating or expending federal funds, signing contracts for space or services, announcing the USDOL's involvement in any conference, and using USDOL official's name or USDOL's name or logo. NEINW retains the right to obtain information from the Contractor about any conference that is funded in whole or in part with these funds.

31.) **Case Management System:** All Contractors and subcontractors are required to and hereby agree and consent to, use of Indiana's statewide case management system and Jobs for America's Graduates electronic data management system in accordance with NEINW and IDWD policies herein incorporated by reference.

32.) **Statutory Authority of Contractor:** The Contractor expressly warrants to NEINW that it is statutorily eligible to receive the funds granted herein, and it expressly agrees to repay all monies paid to it under this Contract Agreement should a legal determination of its ineligibility be made by any court of competent jurisdiction.

33.) **Taxes.** NEINW is exempt from state, federal and local taxes. NEINW will not be responsible for any taxes levied on the Contractor as a result of this Contract.

34.) **Termination for Convenience:** This Contract Agreement may be terminated, in whole or in part, by NEINW whenever, for any reason, NEINW determines that such termination is in the best interest of NEINW. Termination shall be effected by delivery to the Contractor of a Termination Notice, specifying the extent to which such termination becomes effective. The Contractor shall be compensated for completion of the contract properly done prior to the effective date of termination. NEINW will not be liable for work on the contract after the effective date of termination. In no case shall total payment made to the Contractor exceed the original grant.


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**Non-Collusion and Acceptance**

The undersigned attests, subject to the penalties for perjury that the undersigned is the Contractor, or that the undersigned is the properly authorized representative, agent, member or officer of the Contractor. Further, to the undersigned's knowledge, neither the undersigned nor any other member employee, representative, agent or officer of the Contractor, directly or indirectly, has entered into or has been offered any sum of money or other consideration for the execution of this Contract other than that which appears upon the face hereof.

**In Witness Whereof**, Contractor and NEINW have, through their duly authorized representatives, entered into this Agreement. The parties, having read and understanding the foregoing terms of this Agreement, do by their respective signatures dated below hereby agree to the terms thereof.

**Northeast Indiana Works:**

  
\_\_\_\_\_  
Kathleen Randolph, President and CEO  
*Edwards & Kelcey, COO*

10/20/16  
Date

  
\_\_\_\_\_  
Beth Suman Senior, Executive VP and CFO

10/20/16  
Date

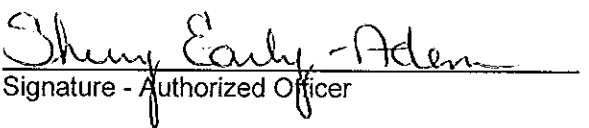
**Brightpoint**

Stephen T. Hoffman  
\_\_\_\_\_  
Printed Name - Authorized Officer

  
\_\_\_\_\_  
Signature - Authorized Officer

10/18/16  
Date

Sherry Early Aden  
\_\_\_\_\_  
Printed Name - Authorized Officer

  
\_\_\_\_\_  
Signature - Authorized Officer

18 Oct. 16  
Date



**EXHIBIT A**  
**APPLICABLE STATUTES AND REGULATIONS**

- Workforce Innovation and Opportunity Act, 29 USC §3101 et seq. *PL 113-128*;
- Workforce Innovation and Opportunity Act regulations as promulgated;
- Wagner-Peyser Act, 29 USC 49 et seq.; as amended by PL 113-128, Sec 301 et seq.;
- Establishment and Functioning of State Employment Services, *20 CFR Part 652.1*;
- Nondiscrimination and Equal Opportunity provisions of the Workforce Innovation and Opportunity Act;
- Job Counseling, Training and Placement Services for Veterans, *38 USC §4100 et seq.*;  
*Employment and Training of Veterans, 38 USC §4211 et seq.*;
- Fair Labor Standards Act 29 USC §201 et seq.;
- Department of Workforce Development, IC 22-4.1 et seq. and accompanying rules, regulations and policy directives;
- Trade Act of 1974, as amended, 19 USC 2771 et seq.;
- Trade Adjustment Assistance Regulations. 20 CFR 617. et seq. and 618.890;
- Office of Management and Budget Uniform Guidance 2 CFR 1.100; 2 CFR 2900 et seq. and
- Indiana H.E.A. 1001 – State Biennial Budget.

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**EXHIBIT B**  
**Statement of Work**

Contractor agrees to administer the Jobs for America's Graduates (JAG) program in Economic Growth Region 3. The Contractor agrees to:

- 1) Comply with all applicable federal and state laws, regulations and policies.
- 2) Enroll participants and expend funding granted to the Contractor in a manner consistent with the approved regional plan.
- 3) Develop and provide innovative workforce development services.
- 4) Implement, manage and provide oversight of the Jobs for America's Graduates program to be compliant based on the JAG Model Standards at the following schools (and any additional schools that may be added by Northeast Indiana Works (NEINW)):
  - a) DeKalb High School (DeKalb County)
  - b) East Allen Heritage Jr/Sr High School (Allen County)
  - c) East Noble High School (Noble County)
  - d) Fort Wayne Northrop High School (Allen County)
  - e) Fort Wayne North Side High School (Allen County)
  - f) Fort Wayne Snider High School (Allen County)
  - g) Fort Wayne South Side High School (Allen County)
  - h) Fort Wayne Wayne High School (Allen County)
  - i) Garrett High School (DeKalb County)
  - j) Huntington North High School (Huntington County)
  - k) Impact Institute (Noble County)
  - l) Marion High School (Grant County)
  - m) New Haven High School (Allen County)
  - n) North Manchester High School (Wabash County)
- 5) Student selection and eligibility determinations are made through joint collaboration of the school-specific JAG Advisory Committee, consisting of:
  - a) The JAG Program Manager
  - b) The JAG Specialist
  - c) School guidance counselors
  - d) A School administrator
  - e) A school core course teacher (math, science, language or social studies)
  - f) A school vocational teacher (if applicable)
  - g) Community member
- 6) Follow all in-school youth applicable eligibility and data validation guidance and policies published by the Indiana Department of Workforce Development (DWD) and Northeast Indiana Works.
- 7) Ensure all males 18 years of age or older are registered, or will be registered, for selective service prior to being enrolled. Ensure any male who turns 18 years old during participations registers for selective service.

- 8) Ensure programmatic enrollment at each individual school reaches 40-45 participants annually, unless otherwise authorized by Northeast Indiana Works.
- 9) Ensure all 37 JAG Core Competencies are presented through classroom instruction to first year JAG participants and additional competencies are covered as needed.
- 10) Brightpoint will incorporate the fourteen (14) Workforce Innovation and Opportunity Act (WIOA) elements as part of the youths' skill development through in house application as well as referrals to outside organizations.
  - a. Tutoring and studying skills will be addressed in the JAG classroom through academic remediation where students are provided additional instruction time in a concentrated subject area they are struggling in. Students will also be connected to organizations such as Sylvan Learning Center for more comprehensive instruction as needed.
  - b. Alternate secondary school services and dropout recovery services will be used as a last resort with JAG students and Brightpoint will work with the school system to connect the youth to the HSE site that will foster the success of the youth graduating or receiving their HSE.
  - c. Paid and Unpaid work experiences will be provided through Brightpoint. Youth will participate in a 12-week paid or unpaid internship within their community in a career area that matches their ICE assessment and high-growth industries when possible. The work experiences will be ongoing throughout the calendar year.
  - d. Occupational skill training is handled through referral to Work One for workshops and training. In addition, Brightpoint developed the Brightpoint Career Academy, in partnership with Blue Jacket, which is an employment opportunity institution. We provide training in resume writing, interviewing, and other soft skills. The Brightpoint Career Academy will provide services to JAG students as well.
  - e. Workforce preparation activities will be offered in tandem with the internships. Each youth will be required to attend a workshop that will focus on work readiness skills. Workshops will be offered in three (3) locations in Allen, Huntington and Noble counties. WIN programming will be used as part of the training curriculum. WIN is an online career readiness program that provides soft skills training.
  - f. Leadership development opportunities are addressed by the youth forming and participating in the Career Association and Leadership Conference. The Career Association is a student-led organization within the JAG program. Youth attend the Regional Leadership Development conference coordinated by the JAG Community Outreach Coordinator. The Leadership Conference details instruction and training through break-out sessions and keynote speakers to mold and enhance the great leadership skills in our youth. And finally, through classroom competition, seven youth representatives from each of the 14 high schools will attend the Regional Career Development Competition, to highlight their employment skills learned through participation in the JAG program. Winners at the Regional level will then advance to the State competition in Indianapolis for a chance to win scholarship dollars for post-secondary educational expenses. Youth from Region 3 earned nine awards from this year's State competition.
  - g. Support Services are provided for students via attendance incentives, transportation, clothing, and more. These services are provided through Brightpoint. Brightpoint also has funding from the United Way of Allen County for Y-CAP. Y-CAP is set aside for each student to help him/her with key expenses like school supplies, college application fees, clothing for interviews, etc. Brightpoint is also able to provide child care, energy assistance, and other services to JAG families.
  - h. Adult mentoring is provided to the students in different ways. The first is through the internship program, where students are matched with an employer for a 12-week period. Second is a new Mentoring program where we identify three (3) males and three (3) females

- in the community to meet on a monthly basis with students and help guide and coach them on life skills, career and educational development, personal wellness, and goal achievement.
- i. Follow-up services are provided for one year post graduation and/or exiting from the JAG program. Specialists maintain contact with students at a minimum of one time per month until exit and then once per quarter for a full calendar year.
  - j. Comprehensive guidance and counseling will be provided through the youth's participation and enrollment in JAG. Additional support is provided through relationships developed through post- secondary institutions and community-based services via the Community Outreach Coordinator. In the event students need mental health counseling, Brightpoint has partnerships with many mental health professionals throughout our service area.
  - k. Financial Literacy has been added to the JAG curriculum within our region through the FDIC Money Matters program. Students are guided through each module and participate in hands on activities. Through the Brightpoint Development Fund team, an individual will be designated to JAG to go into each classroom to teach the financial literacy component. With United Way funds, Brightpoint offers matched saving accounts referred to as Youth Individual Development Accounts (Y-IDA) to help them with savings and building relationships with banks. If students deposit money into a Y-IDA, Brightpoint matches his/her contribution 1:1, up to \$100.00. These funds are used to offset post- secondary expenses.
  - l. Entrepreneurial skills training is provided by community partners. Currently we are working with Growing Minds, Lewis Influence, My Community My Vision through the Indiana Housing Commission and various guest speakers on a weekly basis within the classroom.
  - m. The Career Association, which is a student-led organization within the JAG program, is used as preparation for youth to meet the relevant demands of the workforce. Specialists provide unique opportunities for youth to hold positions as officers, participate on committees, and engage in community service projects. To encourage participation, the Specialists offer guidance and instruction to improve individual and group performance through motivation, pride of membership and involvement, and recognition.
  - n. Activities that help youth prepare for and transition to post-secondary education and training are built into the 37 core competencies that the students receive daily through instruction from their Specialist. JAG partners with Ivy Tech for a JAG Fair where students visit the campus, attend workshops, and sit with a panel of college experts to answer questions and advise them on college and training related concerns. Various guest speakers from colleges and universities as well as apprenticeship programs are in the JAG classrooms on a weekly basis throughout the school year to provide students information to help them make informed decisions regarding their future.
- 11) An Academic & Career Plan is completed for each participant and documented in the DWD management information system (MIS), as well as the JAG paper file.
  - 12) Ensure all daily-recorded JAG National Model program services are identified using the competency codes provided by the JAG National Curriculum in the JAG Specialist Handbook are entered in the JAG electronic National Data Management System (eNDMS).
  - 13) Prior to eNDMS entries, participant enrollment and eligibility information must be entered into the DWD management information system.
  - 14) All JAG students must have all applicable and required services and case notes entered into the MIS. All JAG students must have the JAG/WIOA service identifier for JAG WIOA eligible students and SJAG for JAG expansion eligible students.

- 15) A student-led Career Association and its corresponding activities are scheduled as defined by the JAG Specialist Handbook and detailed in the Career Association Handbook.
- 16) An Employer Marketing and Job Development Plan is created, documented and implemented by the JAG Specialists with assistance from the from the JAG Program Manager and the student-led Career Association.
- 17) Accurate and timely recording in the in eNDMS. Inclusive of:
  - a) Annual program rosters
  - b) Participant information (profiles, barriers, testing & employment)
  - c) Daily model services
  - d) Monthly follow-up entries
  - e) Progress reports
  - f) Graduation information
  - g) Return to school information for all participating non-seniors
- 18) All JAG sites participate in the National Accreditation Review Process with JAG National Reviewers at participating schools, as requested by JAG National.
- 19) Hire or maintain current JAG coordinator positions(s) and hire or maintain one, full-time JAG Specialist per JAG program site.
- 20) Each JAG Program will send JAG staff and students to participate in the:
  - a) Regional Career Development Conference;
  - b) State Career Development Conference; and
  - c) the Department of Workforce Development organized Leadership Development Conference.
- 21) All JAG staff will attend in-state training offered by the DWD as needed.
- 22) Send one (1) or more staff to the annual JAG National Training Seminar at the location designated by JAG National. This will be a collaborative decision between Northeast Indiana Works and Brightpoint and will be pending available funding.
- 23) A Memorandum of Understanding/agreement with affiliated sites will be obtained annually and submitted to Northeast Indiana Works for submission to the DWD.
- 24) JAG Specialists should familiarize students with services available through WorkOne career centers. WorkOne staff should be invited to present to students in the classroom to assist in facilitating the relationship and build the WorkOne system as a lifelong resource.

The Subcontractor agrees that the JAG Coordinator will:

1. Advance the level of business engagement by partnering with regional businesses and/or their representatives to act as guest speakers, internship host sites and provide mentorship with their local JAG program(s).
2. Secure and maintain at least two (2) faith based-based partnerships in each county that hosts a JAG program.

3. Provide connections between post-secondary institutions and JAG participants with the local community college, at minimum, through guest speaking, presentation and/or site visits.
4. Coordinate a minimum of one college fair annually.
5. Submit the monthly Coordinator report to NEINW and the DWD.
6. Provide access to applicable Brightpoint programs.

### **Program Goals**

Brightpoint ensures services are designed to meet quality standards established by the Department of Labor. Below is a list of the standards and Brightpoint's plan to meet or exceed them:

- a. Placement in Employment or Education: The JAG model is designed to move youth to employment based on their skill development with the option to select post-secondary education to further develop work-related skills. We work closely with companies in our seven (7) high-growth industries that can provide work experience opportunities for the JAG students. The JAG Community Outreach Coordinator serves as a liaison between post-secondary institutions and JAG youth to ensure smooth progression after high school.
  - 68% 2<sup>nd</sup> quarter after exit
  - 69% 4<sup>th</sup> quarter after exit
- Attainment of Degree or Certificate: JAG targets juniors and seniors working toward their high school diploma. Brightpoint continues to meet the outcome of graduating over 90% of JAG seniors.
  - 58% During program or within one year of exit
- b. Median Earnings: 2<sup>nd</sup> quarter after exit
  - Baseline
- c. Skill Gain: Through the use of the JAG curriculum, Brightpoint makes available supplemental reading and math curricula that meet Indiana Education State Standards. The curricula serve as a tool to assist youth with basic skills deficiencies to increase both math and reading scores.
  - Baseline
- d. For all sites, 20% of JAG classroom activities per school year must include guest speakers and/or field trips with area businesses;
- e. All JAG participants register with and submit a resume in Indiana Career Connect;
- f. For all sites, 10% of JAG classroom time must be spent on community service per month;
- g. Ensure a minimum of \$102,700 will be used for the development and implementation of work experiences for WIOA funded participants. The expectation is that at least \$90,370 will be spent directly on participants.
- h. Ensure a minimum of \$382,603 will be used for the development and implementation of work experiences for non-WIOA participants. The expectation is that at least \$257,930 will be spent directly on participants.
- i. 85% of seniors will have a pin and complete the online FAFSA by March 1<sup>st</sup>, annually;
- j. 85% of seniors will have completed two post-secondary applications by May annually;
- k. 85% of seniors will have taken the ACT, SAT or other post-secondary/certification assessment by may annually;
- l. 100% of JAG sites will participate in a college fair by May annually;

- m. 100% of JAG sites will have visited a college campus by May annually;
- n. 90% Graduation/HSED completion rate by the close of the 12 month follow-up period, per program year;
- o. 80% of the graduates will achieve a positive outcome (as defined by JAG National) by the close of the 12 month follow period, per program year;
- p. 60% of the graduates will be full time or part time (as defined by JAG National) by the close of the 12 month follow up period, per program year;
- q. 60% of the graduates will be employed full time (as defined by JAG National) by the close of the 12 month follow up period, per program year;
- r. 80% of the graduates will be engaged in full time activities (as defined by JAG National) by the close of the 12 month follow up period, per program year; and
- s. Maintain an unable to contact rate of less than 5% for all participants in the 12 month follow up period, per program year.

**Program Outcomes  
Youth Production Schedule for PY16-17**

**Planned Number of Active Youth to Serve**

	<b>1st Quarter July – Sept 2016</b>	<b>2nd Quarter Oct – Dec 2016</b>	<b>3rd Quarter Jan – Mach 2017</b>	<b>4th Quarter Apr – June 2017</b>	<b>Total for Year</b>
<b>Planned Youth Enrollments</b>	<b>50</b>	<b>244</b>	<b>73</b>	<b>0</b>	<b>367</b>
<b>Planned Active Youth to serve from previous program year</b>	<b>193</b>				<b>193</b>
<b>Total Active Youth to be served throughout the year</b>					<b>560</b>

Organization Name: BRIGHTPOINT  
 Number of Younger Youth to be served: 560  
 From: 07/01/16 To: 06/30/17

A. Salaries & Fringe Benefits	Salaries				Fringe Benefits		Total Budget
	Total Hours	Hourly Rate	% of Time	Total Salary	% Benefits	Total Benefits	
1 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
2 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
3 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
4 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
5 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
6 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
7 JAG SPECIALIST	2,080.00	\$ 17.36	100.00%	\$36,108.80	23.00%	\$8,305.02	\$44,413.82
8 JAG SPECIALIST	2,080.00	\$ 18.78	100.00%	\$39,062.40	23.00%	\$8,984.35	\$48,046.75
9 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
10 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
11 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
12 JAG SPECIALIST	2,080.00	\$ 18.85	100.00%	\$39,208.00	23.00%	\$9,017.84	\$48,225.84
13 JAG SPECIALIST	2,080.00	\$ 17.13	100.00%	\$35,630.40	23.00%	\$8,194.99	\$43,825.39
14 JAG SPECIALIST	2,080.00	\$ 17.36	100.00%	\$36,108.80	23.00%	\$8,305.02	\$44,413.82
15 SUBSTITUTE TEACHERS	539.00	\$ 16.10	100.00%	\$8,677.90	0.00%	\$0.00	\$8,677.90
16 POST SECONDARY COORDINATOR	2,080.00	\$ 17.62	100.00%	\$36,649.60	23.00%	\$8,429.41	\$45,079.01
17 QUALITY ASSURANCE COORDINATOR	2,080.00	\$ 17.62	100.00%	\$36,649.60	23.00%	\$8,429.41	\$45,079.01
18 WORK EXPERIENCE COORDINATOR	2,080.00	\$ 17.62	100.00%	\$36,649.60	23.00%	\$8,429.41	\$45,079.01
19 ASSISTANT PROGRAM MANAGER	2,080.00	\$ 22.83	100.00%	\$47,486.40	23.00%	\$10,921.87	\$58,408.27
20 PROGRAM MANAGER	2,080.00	\$ 26.78	100.00%	\$55,702.40	23.00%	\$12,811.55	\$68,513.95
21 VICE PRESIDENT OF COMMUNITY SERVICES	2,080.00	\$ 44.57	8.00%	\$7,416.45	23.00%	\$1,705.78	\$9,122.23
22 ACCOUNTING MANAGER	2,080.00	\$ 30.61	10.50%	\$6,685.22	23.00%	\$1,537.60	\$8,222.82
23 SENIOR ACCOUNTANT	2,080.00	\$ 26.13	14.30%	\$7,772.11	23.00%	\$1,787.59	\$9,559.70
24 ACCOUNTANT	2,080.00	\$ 21.65	14.25%	\$6,417.06	23.00%	\$1,475.92	\$7,892.98
25 ACCOUNTING ASSISTANT	2,080.00	\$ 17.91	14.50%	\$5,401.66	23.00%	\$1,242.38	\$6,644.04
26 COMPUTER SYSTEMS/SUPPORT SPECIALIST	2,080.00	\$ 22.43	14.25%	\$6,648.25	23.00%	\$1,529.10	\$8,177.35
27 HUMAN RESOURCES MANAGER	2,080.00	\$ 24.59	12.00%	\$6,137.66	23.00%	\$1,411.66	\$7,549.32
28 PRESIDENT & CEO	2,080.00	\$ 53.90	4.50%	\$5,045.04	23.00%	\$1,160.36	\$6,205.40
29				\$0.00		\$0.00	\$0.00
30				\$0.00		\$0.00	\$0.00
31				\$0.00		\$0.00	\$0.00
32				\$0.00		\$0.00	\$0.00
<b>Total Page 1</b>							<b>\$957,565.12</b>







BRIGHTPOINT

From: 07/01/16 To: 06/30/17

Line Item Description	Total Budget
A. Salaries & Fringe Benefits	\$957,565.12
B. Communications	\$14,808.60
C. Equipment	\$46,480.40
D. Equipment Maintenance	\$3,740.00
E. Premise Rent	\$12,879.11
F. Utilities	\$0.00
G. Supplies	\$4,559.72
H. Insurance	\$3,348.00
I. Professional Fees	\$5,136.00
J. Mileage	\$21,118.40
K. Other Staff Related Costs	\$54,040.00
L. Outreach and Recruitment	\$2,406.45
M. Participant Related Expenses	\$426,825.40
<b>TOTAL BUDGET</b>	<b>\$1,552,907.20</b>

Number of Younger Youth to be Served	560
Unit Cost per Younger Youth Served	\$2,773
Percentage of Participant Related Expenses	96%

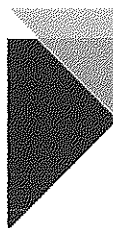
Additional funds to support the program include \$10,000 from the United Way of Allen County for IDAs and YCAP. Other services provided by Brightpoint such as Energy Assistance (EAP), Weatherization, Child Care assistance, etc. total ~\$25,000.

BRIGHTPOINT

Line Item Description	Total Budget	Total WIOA BUDGET	Total EXPANSION BUDGET
A. Salaries & Fringe Benefits	\$957,565.12	\$137,609.09	\$819,956.03
B. Communications	\$14,808.60	\$2,961.72	\$11,846.88
C. Equipment	\$44,823.00	\$1,676.79	\$43,146.21
D. Equipment Maintenance	\$5,397.40	\$347.00	\$5,050.40
E. Premise Rent	\$12,879.11	\$2,575.80	\$10,303.31
F. Utilities	\$0.00	\$0.00	\$0.00
G. Supplies	\$4,559.72	\$911.94	\$3,647.78
H. Insurance	\$3,348.00	\$669.60	\$2,678.40
I. Professional Fees	\$5,136.00	\$1,027.20	\$4,108.80
J. Mileage	\$21,118.40	\$4,223.68	\$16,894.72
K. Other Staff Related Costs	\$54,040.00	\$7,778.30	\$46,261.70
L. Outreach and Recruitment	\$2,406.45	\$336.80	\$2,069.65
M. Participant Related Expenses	\$426,825.40	\$99,349.28	\$327,476.12
<b>TOTAL BUDGET</b>	<b>\$1,552,907.20</b>	<b>\$259,467.20</b>	<b>\$1,293,440.00</b>

**WORKFORCE INNOVATION  
AND OPPORTUNITY ACT**

**NORTHEAST  
INDIANA  
WORKS**



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**CONTRACT AGREEMENT**

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**Between**

**Northeast Indiana Works**

**and**

**SCAN, Inc.**

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**July 1, 2016 – June 30, 2017**

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**Contract No. Youth-2016-SCAN-01  
CFDA 17.259**

This Contract Agreement, entered into by and between **Northeast Indiana Works** ("NEINW") and **SCAN** (hereinafter the "Contractor") is executed pursuant to IC 22-4-18-1(b)(4) and the terms and conditions set forth herein. In consideration of those mutual undertakings and covenants, the parties agree as follows:

**1.) Applicable Law, Purpose and Funding Source:**

- A. Applicable Law: The applicable federal and state statutes, rules and regulations, as the same may be amended from time to time, for the Contract funds are set forth in **Exhibit A**, attached hereto and incorporated fully herein. This Contract shall be used exclusively in accordance with the provisions contained in this Contract Agreement, and in the applicable federal and state statutes, rules and regulations and applicable Office of Management and Budget (OMB) circular.
- B. Purpose: The purpose of this Contract Agreement is to implement youth programs and/or services described in the "Statement of Work", attached hereto as **Exhibit B**, and incorporated fully herein ("The Statement of Work").
- C. Funding Source: The funding source to support this Contract are funds made available pursuant to the federal Workforce Innovation and Opportunity Act (WIOA), 29 USC 2801 et seq., H.E.A. 1001 and any amendments thereto; which is incorporated herein and made a part hereof by reference.

**2.) Term:** The term of this Contract Agreement shall be from July 1, 2016 until June 30, 2017 (the "Expiration Date"). In no event shall payments be made for work done or services performed after the Expiration Date. The Contractor may request in writing that the Expiration Date only of this Contract Agreement be extended. If a request for extension is granted, the extension shall be made by written agreement of the parties and subsequent approval by all appropriate NEINW officials or their designees.

**3.) Consideration:** The Project Budget is set forth in **Exhibit C**, attached hereto and incorporated fully herein (the "Budget"). Maximum payment is limited to the lesser of:

- A. **\$840,000**, as specified in the Budget; or
- B. The actual cost of performing the services and activities described in this Contract Agreement.

**4.) Audits:**

- A. The Contractor shall submit to an audit of funds paid through this Contract Agreement, and shall make all books, accounting records and other documents available at all reasonable times during the term of this Contract Agreement and for a period of three (3) years after final payment for inspection by NEINW or its authorized designee. Copies shall be furnished to NEINW at no cost.
- B. If required by applicable provisions of the Office of Management and Budget's Uniform Guidance, 2 CFR 200, following the expiration of this Contract Agreement, the Contractor shall arrange for a financial and compliance audit of funds provided by NEINW pursuant to this Contract Agreement. Such audit is to be conducted by an independent public or certified public accountant (or as applicable, the Indiana State Board of Accounts), and performed in accordance with Indiana State Board of Accounts publication entitled "Uniform Compliance Guidelines for Examination of Entities Receiving Financial Assistance from Governmental Sources," and applicable provisions of the Office of Management and Budget Uniform Guidance, 2 CFR 200. The Contractor is responsible for ensuring that the audit and any management letters are completed and forwarded to NEINW in accordance with the terms of this Contract Agreement. Audits conducted pursuant to this paragraph must be submitted no later than nine (9) months following the close of the Contractor's fiscal year. The Contractor agrees to provide Northeast Indiana Works an original of all financial and compliance audits. The audit shall be an audit of the actual entity, or distinct portion thereof that is the Contractor, and not of a parent, member, or Subsidiary Corporation of the Contractor, except to the extent such an expanded audit may be determined by the Indiana State Board of Accounts or NEINW to be in the best interests of the NEINW. The audit shall include a statement from the Auditor that the Auditor has reviewed this Contract Agreement and that the Contractor is not out of compliance with the financial aspects of this Contract Agreement.

5.) **Authority to Bind Contractor:** The signatory for the Contractor represents that he/she has been duly authorized to execute this Contract Agreement on behalf of the Contractor and has obtained all necessary or applicable approval from the Contractor to make this Contract Agreement fully binding upon the Contractor when his/her signature is affixed, and accepted by NEINW.

6.) **Compliance with Laws:**

- A. The Contractor shall comply with all applicable federal, state and local laws, rules, regulations and ordinances, and all provisions required thereby to be included herein are hereby incorporated by reference. The enactment or modification of any applicable state or federal statute or the promulgation of rules or regulations thereunder after execution of this Contract shall be reviewed by NEINW and the Contractor to determine whether the provisions of this Contract require formal modification.
- B. The Contractor and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with NEINW, as set forth in Indiana Code § 4-2-6 *et seq.*, IC § 4-2-7, *et seq.*, the regulations promulgated thereunder. If NEINW is not familiar with these ethical requirements, the Contractor should refer any questions to the Indiana State Ethics Commission, or visit the Inspector General's website at <http://www.in.gov/ig/>. If the Contractor or its agents violate any applicable ethical standards, NEINW may, in its sole discretion, terminate this Contract immediately upon notice to the Contractor. In addition, the Contractor may be subject to penalties under IC § 4-2-6, 4-2-7, 35-44.1-1-4, and under other applicable laws.
- C. The Contractor certifies by entering into this Contract, that neither it nor its principal(s) is presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to NEINW. The Contractor agrees that any payments currently due to NEINW may be withheld from payments due to the Contractor. Additionally, payments may be withheld, delayed, or denied and/or this contract suspended until the Contractor is current in its payments and has submitted proof of such payment to NEINW.
- D. The Contractor warrants that it has no current, pending or outstanding criminal, civil, or enforcement actions initiated by NEINW or the State of Indiana, and agrees that it will immediately notify NEINW of any such actions. During the term of such actions, the Contractor agrees that NEINW may suspend funding for this Contract. If a valid dispute exists as to the Contractor's liability or guilt in any action initiated by NEINW, and NEINW decides to suspend funding to the Contractor, the Contractor may submit, in writing, a request for review to the Indiana Department of Workforce Development (IDWD). A determination by IDWD shall be binding on the parties. Any disbursements that NEINW may delay, withhold, deny, or apply under this section shall not be subject to penalty or interest.
- E. The Contractor warrants that the Contractor and its subcontractors performing work in connection with this Contract shall obtain and maintain all required permits, licenses, registrations, and approvals, and shall comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for NEINW. Failure to do so may be deemed a material breach of this grant and grounds for immediate termination of this Contract Agreement and denial of grant opportunities with NEINW.
- F. The Contractor affirms that if it is an entity described in IC Title 23, it is properly registered and owes no outstanding reports to the Indiana Secretary of State.
- G. As required by IC §5-22-3-7:
  - (1.) The Contractor and any principals of the Contractor certify that:
    - (a.) The Contractor, except for de minimis and nonsystematic violations, has not violated the terms of:
      - (i.) IC §24-4.7 [Telephone Solicitation of Consumers];
      - (ii.) IC §24-5-12 [Telephone Solicitations]; or

- (iii.) IC §24-5-14 [Regulation of Automatic Dialing Machines]; in the previous three hundred sixty-five (365) days, even if IC 24-4.7 is preempted by federal law; and
  - (b.) The Contractor will not violate the terms of IC §24-4.7 for the duration of this Contract Agreement, even if IC §24-4.7 is preempted by federal law.
- (2.) The Contractor and any principals of the Contractor certify that an affiliate or principal of the Contractor and any agent acting on behalf of the Contractor or on behalf of an affiliate or principal of the Contractor, except for de minimis and nonsystematic violations,
- (a.) has not violated the terms of IC §24-4.7 in the previous three hundred sixty-five (365) days, even if IC §24-4.7 is preempted by federal law; and
  - (b.) will not violate the terms of IC §24-4.7 for the duration of this Contract Agreement even if IC §24-4.7 is preempted by federal law.

**7.) Confidentiality of NEINW Information:** The Contractor understands and agrees that data, materials, and information disclosed to Contractor may contain confidential and protected information. The Contractor covenants that data, material and information gathered, based upon or disclosed to the Contractor for the purpose of this Contract, will not be disclosed to or discussed with third parties without the prior written consent of NEINW.

The Contractor will abide by all applicable statutes, regulations, directives and mandates to protect the privacy rights and interests of individuals who apply for employment and training and related services. The Contractor specifically agrees to adhere to the provisions of IC 22-4-19-6 and IC 4-1-6-1 et seq. Contractor recognizes that it is subject to the penalties for disclosure of protected information under IC 5-14-3-10.

The parties acknowledge that the services to be performed by Contractor for NEINW under this Contract may require or allow access to data, materials, and information containing Social Security numbers or other personal information maintained by NEINW in its computer system or other records. In addition to the covenant made above in this section and pursuant to 10 IAC 5-3-1(4), the Contractor and NEINW agree to comply with the provisions of IC 4-1-10 and IC 4-1-11. If any Social Security number(s) is/are disclosed by Contractor, Contractor agrees to pay the cost of the notice of disclosure of a breach of the security of the system in addition to any other claims and expenses for which it is liable under the terms of this Contract.

**8.) Debarment and Suspension:**

- A. The Contractor certifies, by entering into this Contract Agreement, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into this Contract Agreement by any federal agency or by any department, agency or political subdivision of the State of Indiana. The term "principal" for purposes of this Contract Agreement means an officer, director, owner, partner, key employee, or other person with primary management or supervisory responsibilities, or a person who has a critical influence on, or substantive control over, the operations of the Contractor.
- B. The Contractor certifies that it has verified the state and federal suspension and debarment status for all subcontractor receiving funds under this Contract Agreement and shall be solely responsible for any recoupment, penalties or costs that might arise from use of a suspended or debarred subcontractor. The Contractor shall immediately notify NEINW if any subcontractors becomes debarred or suspended, and shall, at NEINW's request, take all steps required by NEINW to terminate its contractual relationship with the subcontractor for work to be performed under this Contract Agreement.

**9.) Drug-Free Workplace Certification:** As required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana, the Contractor hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. The Contractor will give written notice to NEINW within ten (10) days after receiving actual notice that the Contractor, or an employee of the Contractor in the State of Indiana, has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of grant payments, termination of the Contract and/or debarment of grant opportunities with Northeast Indiana Works or the State of Indiana for up to three (3) years.



In addition to the provisions of the above paragraphs, if the total amount set forth in this Contract Agreement is in excess of \$25,000.00, the Contractor certifies and agrees that it will provide a drug-free workplace by:

- A. Publishing and providing to all of its employees a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; and
- B. Establishing a drug-free awareness program to inform its employees of (1) the dangers of drug abuse in the workplace; (2) the Contractor's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace; and
- C. Notifying all employees in the statement required by subparagraph (A) above that as a condition of continued employment the employee will (1) abide by the terms of the statement; and (2) notify the Contractor of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction; and
- D. Notifying in writing NEINW within ten (10) days after receiving notice from an employee under subdivision (C)(2) above, or otherwise receiving actual notice of such conviction; and
- E. Within thirty (30) days after receiving notice under subdivision (C)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency; and
- F. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (A) through (E) above.

10.) **Employment Eligibility Verification:** As required by IC §22-5-1.7, the Contractor hereby swears or affirms under the penalties of perjury that:

- A. The Contractor has enrolled and is participating in the E-Verify program;
- B. The Contractor has provided documentation to NEINW that it has enrolled and is participating in the E-Verify program;
- C. The Contractor does not knowingly employ an unauthorized alien.
- D. The Contractor shall require its contractors who perform work under this Contract Agreement to certify to Contractor that the contractor does not knowingly employ or contract with an unauthorized alien and that the contractor has enrolled and is participating in the E-Verify program. The Contractor shall maintain this certification throughout the duration of the term of a contract with a contractor.

NEINW may terminate for default if the Contractor fails to cure a breach of this provision no later than thirty (30) days after being notified by NEINW.

11.) **Establishment and Maintenance of Records, Cost Documentation, Reports and Inspections:** The Contractor and/or its fiscal agent shall utilize fiscal control and accounting procedures that permit the preparation of all required reports and the tracing of expenditures adequate to establish compliance with all applicable requirements. The Contractor shall prepare required reports that are uniform in definition, reasonably accessible and comprehensible to all authorized parties, verifiable for monitoring, reporting, audit

and evaluation purposes, and in accordance with the specifications of the Statewide Management Information System as set forth by NEINW.

12.) **Funding Cancellation:** When the NEINW Chief Financial Officer (CFO) makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Contract Agreement, it shall be canceled. A determination by the NEINW CFO that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

13.) **General Assurances and Certifications:** The Contractor certifies that in connection with the activities undertaken pursuant to this Contract Agreement:

- A. The Contractor shall modify employment and training services and activities as directed by NEINW or the DWD in the event statutes or regulations require such modification.

The Contractor shall comply with all applicable policy and directives issued by NEINW and the State.

- B. The Contractor represents and warrants that it has a current Cost Allocation Plan. A Cost Allocation Plan is current when it addresses an entity-wide allocation of **all funds** awarded to the Contractor by NEINW and received from separate funding sources.
- C. No funds made available under this Contract Agreement shall be used to promote religious or anti-religious activities in violation of 20 CFR 667.266.
- D. No funds made available under this Contract Agreement may be used for lobbying activities in violation of 29 CFR 93.100 et seq., or used for political activities in violation of 5 U.S.C. 1501 et seq.
- E. It shall establish safeguards adequate to prohibit employees or other persons from using their position with the Contractor for improper private gain for themselves or others. The Contractor will adopt corporate bylaws that establish procedures to avoid improper conflicts of interest.
- F. It shall maintain an affirmative action plan, written personnel policies, and grievance procedures for complaints and grievances from applicants, participants and beneficiaries, subcontractors, employers, employees and other interested persons, all in accordance with all applicable statutes and regulations.
- G. The Contractor will not violate the provisions of 18 USC 665, which defines criminal liability for individuals who steal, embezzle, or otherwise misuse funds under the WIA and agrees to educate all staff members on the requirements of this statutory provision.
- H. In accordance with the Occupational Health and Safety Act of 1970, 29 USC 651 et seq., the Contractor will not expose participants to surroundings or working conditions which are unsanitary, hazardous or dangerous; participants employed or trained for inherently dangerous occupations shall be assigned to work in accordance with reasonable safety practices.
- I. The Contractor agrees to comply with the provision of veteran's preference consistent with the applicable law at 38 USC 4215.

14.) **Governing Laws:** This Contract Agreement shall be governed, construed, and enforced in accordance with the laws of the State of Indiana, without regard to its conflict of laws rules. Suit, if any, must be brought in the State of Indiana.

15.) **Indemnification:** The Contractor shall indemnify, defend, save and hold harmless NEINW, its agents, officials, employees, customers, consultants, third-party service providers, (the **Indemnities**) from and

against all claims, allegations, causes of action, or demands that are presented to or brought against one or more of the indemnities, and any losses, liabilities, damages, lost premium, fines, penalties, assessments and/or related costs and/or expenses (including, but not limited to, reasonable attorneys' fees, expert fees, court costs, reasonable costs of investigation, litigation, settlement, judgment, appeal, interest, and/or penalties to enforce any right under this Agreement) (the "Losses") arising out of, in connection with or relating to any act or omission of the Contractor and its fiscal agent if procured by the Contractor, regional operator, or service providers. The Contractor agrees to repay to NEINW, from non-federal funding sources, the costs determined by law to be disallowed in accordance with applicable federal, state or local laws, including rules or regulations. NEINW shall not provide such indemnification to the Contractor.

16.) **Independent Contractor:** Both parties hereto, in the performance of this Contract Agreement, will be acting in an individual capacity and not as agents, employees, partners, joint ventures or associates of one another. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purposes whatsoever. Neither party will assume any liability for any injury (including death) to any persons, or any damage to any property arising out of the acts or omissions of the agents, employees, or subcontractors of the other party.

The Contractor shall be responsible for providing all necessary unemployment and workers' compensation insurance for its employees.

**17.) Insurance and Bonding:**

A. The Contractor shall secure and keep in force during the term of this Contract Agreement, the following insurance coverages, covering the Contractor for any and all claims of any nature which may in any manner arise out of or result from Contractor's performance under this Contract Agreement.

(1.) The Contractor shall, at its sole cost and expense, provide comprehensive and general public liability insurance against claims for personal injury, death or property damage occurring in connection with the Contract. The limits of such insurance shall not be less than \$700,000 combined single limit per occurrence, \$5,000,000 aggregate, and shall contain a deductible clause not greater than Ten Thousand Dollars (\$10,000). All insurance required hereunder shall be with a responsible carrier acceptable to NEINW and shall name Northeast Indiana Works as an additional insured. Contractor shall, upon request, provide NEINW with a Certificate evidencing such insurance. Failure to maintain such insurance shall result in the termination of this Contract.

(2.) The Contractor shall provide crime insurance including fidelity coverage in the amount of (i.) \$100,000, or (ii.) the highest single total disbursement planned pursuant to this Contract Agreement and all other NEINW contracts outstanding to Contractor, whichever is higher, and covering all persons responsible for or handling funds received or disbursed under this Contract. This bond must show Northeast Indiana Works as the obligee. It shall be the Contractor's responsibility to see that all persons handling funds under this Contract Agreement are bondable. Failure to provide such evidence to NEINW shall result in termination of this Contract Agreement and any funds awarded hereunder.

(3.) If the Contractor is a department, division or agency of the State of Indiana, or of a county, municipal or local government, the foregoing insurance coverages shall not be required; however, Contractor may elect to provide such coverages.

B. The Contractor's insurance coverage must meet the following additional requirements:

- (1.) The insurer must have a certificate of authority issued by the Indiana Department of Insurance.
- (2.) Any deductible or self-insured retention amount or other similar obligation under the insurance policies shall be the sole obligation of the Contractor.
- (3.) NEINW will be defended, indemnified and held harmless to the full extent of any coverage actually secured by the Contractor in excess of the minimum requirements set forth above. The duty to indemnify NEINW under this Contract shall not be limited by the insurance required in the Contract.
- (4.) The insurance required in the Contract, through a policy or endorsement(s), shall include a provision that the policy and endorsements may not be canceled or modified without thirty (30) days' prior written notice to the undersigned.

Failure to provide insurance as required in the Contract may be deemed a material breach of contract entitling NEINW to immediately terminate this Contract.

**18.) Licensing Standards:** The Contractor, its employees and any subcontractors shall comply with all applicable licensing standards, certification standards, accrediting standards and any other laws and regulations governing services to be provided by the Contractor pursuant to this Contract Agreement. NEINW will not pay the Contractor for any services performed when the Contractor, its employees or subcontractors are not in compliance with such applicable standards, laws, rules or regulations. If any license, certification or accreditation expires or is revoked, or any disciplinary action is taken against an applicable license, certification or accreditation, the Contractor shall notify NEINW immediately and NEINW, at its option, may immediately terminate this Contract.

**19.) Lobbying Activities:**

A. Pursuant to 31 USC §. 1352, and any regulations promulgated there under, the Contractor hereby assures and certifies, and will require any subcontractor to assure and certify, that no federally appropriated funds have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in conjunction with the awarding of any federal grant, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan or cooperative agreement.

B. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this grant, the Contractor and any subcontractor shall complete and submit "Standard Form LLL" ("Disclosure Form to Report Lobby").

**20.) Modification:** For budget modification changes to wages, benefits and customer related expenses, requests must be submitted in writing and approved by NEINW. For budget changes, other than wages, benefits and customer related expenses that are greater than 10% per line item, must be submitted in writing and approved by NEINW.

The parties shall modify or extend this Agreement consistent with applicable law, NEINW and DWD policy. All modifications and extensions shall be made by mutual written agreement of the parties and subsequent approval by NEINW and Contractor no later than April 30<sup>th</sup> within the contract year.

**21.) Monitoring and Compliance:** NEINW shall monitor the Contractor's compliance with the terms and conditions of the Contract Agreement including all applicable statutes, regulations, directives and mandates.

The Contractor shall provide NEINW reasonable and adequate opportunity to conduct this monitoring, including providing the opportunity to review and audit all relevant documents, forms, reports or any other records at any time during the term of this Contract Agreement and after the Expiration Date as may be reasonably necessary to monitor compliance with this Contract Agreement. The Contractor will be responsible for on-site monitoring of any sub-recipient.

22.) **Nondiscrimination:** Pursuant to the Indiana Civil Rights Law, specifically including IC 22-9-1-10, and in keeping with the purposes of the federal Civil Rights Act of 1964, the Age Discrimination in Employment Act, and the Americans with Disabilities Act, the Contractor covenants that it shall not discriminate against any employee or applicant for employment relating to the Contract with respect to the hire, tenure, terms, conditions or privileges of employment or any matter directly or indirectly related to employment because of the employee or applicant's : race, color, national origin, religion, sex, age, disability, ancestry, status as a veteran, or any other characteristic protected by federal, state, or local law ("Protected Characteristics"). Furthermore, the Contractor certifies compliance with applicable federal laws, regulations, and executive orders prohibiting discrimination based on the Protected Characteristics in the provision of services.

The Contractor understands that NEINW is a recipient of federal funds, and therefore, where applicable, the Contractor and any subcontractors agree to comply with requisite affirmative action requirements, including reporting, pursuant to 41 CFR Chapter 60-1.1 et seq., as amended, and Section 202 of Executive Order 11246.

- A. **Equal Opportunity Assurances:** The parties to this Contract Agreement assure that each will fully comply with the nondiscrimination and equal opportunity provisions of Section 188 of WIA and its implementing regulations. These regulations prohibit discrimination because of race, color, religion, sex, national origin, age, disability, or political affiliation or belief in both participation and employment. In the case of participants only, it prohibits discrimination based on citizenship, or his or her participation in any WIOA Title I-financially assisted program or activity.
- B. **Discrimination Complaint Procedures:** The parties to this Contract Agreement will assure those complaints alleging discrimination on any of the above bases will be processed in accordance with applicable WIOA regulations and DWD policy 2012-04 and 2012-05, as well as any subsequent DWD policy which rescinds and replaces these, developed pursuant to this section and approved by the U.S. Department of Labor's Civil Rights Center.
- C. **Accessibility and Reasonable Accommodation:** Pursuant to applicable WIOA regulations, the parties to this Contract Agreement will assure that the following is provided in the One-Stop delivery systems:
  - (1.) Facilities and programs which are architecturally and programmatically accessible;
  - (2.) Reasonable accommodations for individuals with disabilities;
  - (3.) Cost allocation method for making reasonable accommodations (i.e., shared or paid by one entity).
- D. **Obligation to Provide Notice:** The parties to this Contract Agreement will provide ongoing and continuing notification that it does not discriminate on any of the prohibited basis in accordance with applicable regulations for Section 188 of WIOA.

23.) **Notices:** Whenever any notice, statement or other communication shall be sent to any party, it shall be sent to the following addresses, unless otherwise specifically advised.

- A. Notices to Northeast Indiana Works shall be sent to:  
Kathleen Randolph  
Northeast Indiana Works  
200 E Main St, Ste. 910  
Fort Wayne, IN 46802
- B. Notifications and payments for the Contractor shall be sent to:  
Rachel Tobin-Smith  
SCAN, Inc.  
500 West Main Street  
Fort Wayne, IN 46802-1406

24.) **Order of Precedence:** Any inconsistency or ambiguity in this Contract Agreement shall be resolved by giving precedence in the following order: (1) Requirements imposed by applicable federal law or other controlling document described in Exhibit A; (2) This Contract Agreement; (3) Exhibits prepared by NEINW; (4) Exhibits prepared by the Contractor; (5) Invitation to Apply for Contract (if applicable); and (6) The Contract Application (if applicable).

25.) **Payment of Contract Funds by NEINW:** Payment of Contract funds by NEINW to the Contractor shall be made in accordance with the following schedule and conditions:

- A. This Contract Agreement must be fully executed.
- B. No funds that are transferred under this Contract Agreement shall be disbursed by the Contractor to another person to act as its agent or employee in performing the terms and conditions of this Contract Agreement without a written financial grant between the Contractor and that person.
- C. All payments by NEINW to the Contractor for services rendered pursuant to this Contract Agreement shall be made on accrual basis and shall be accompanied with financial reports that are required by NEINW. No cost shall be accrued prior to the starting date of this Contract.
- D. All payments by NEINW are subject to the encumbrance of monies, to the prohibition against advance payments under IC 4-13-2-20, and to all of the NEINW's fiscal policies and procedures.
- E. NEINW reserves the right not to honor requests for payment received more than 90 days after the Expiration Date. NEINW also reserves the right to withhold final payment until agency-required reports are received and accepted.
- F. Failure to complete the activities described in this Contract Agreement and the strategic plan and to expend the funds in accordance with this Contract Agreement may be considered a material breach of this Contract Agreement and shall entitle NEINW to impose sanctions against the Contractor including, but not limited to, suspension of all grant programs and/or suspension of the Contractor's participation in grant programs until such time as all material breaches are cured to the NEINW's satisfaction. Sanctions may also include repayment of all funds expended for activities which are not in the scope of the Contract Agreement or the Budget. The remedies described in this subparagraph are in addition to any other remedies NEINW may have at law or equity.
- G. All payments shall be made in arrears in conformance with NEINW fiscal policies and procedures and, as required by IC 4-13-214.8, by electronic funds transfer to the financial institution designated by the Contractor in writing unless a specific waiver has been obtained from the Auditor of State.

26.) **Penalties, Interest and Attorney Fees:** NEINW will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest, or attorney's fees, except as permitted by Indiana law, in part, IC 5-17-5, IC 34-54-8, and IC 34-13-1.

Notwithstanding the provisions contained in IC 5-17-5, the parties stipulate and agree that any liability resulting from NEINW's failure to make prompt payment shall be based solely on the amount of funding originating from NEINW and shall not be based on funding from federal or other sources.

27.) **Property Management:** Title to all non-expendable personal property acquired with funds provided herein shall immediately become the property of NEINW upon delivery of such property by the vendor in accordance with the applicable Federal OMB circulars and IDWD's Property Management/Surplus Property Policy. The Contractor shall be responsible for the management and control of such property as defined in the IDWD's Property Management/Surplus Property Policy.

28.) **Repayment:** The Contractor and, if applicable, its Guarantor are responsible for the repayment of costs determined to be disallowed in accordance with applicable statutes, regulations, directives or mandates. Repayment of such costs shall be made within thirty (30) calendar days of the final audit determination and, unless agreed to in writing by NEINW, shall be repaid from non-Federal funds. Responsibility of the Contractor, as set forth herein, shall not release any insurer or bonding company from any contractual duty to reimburse the insured, NEINW, or the obligee.

29.) **Retention of Records:** The Contractor shall retain and make available all financial records, supporting documentation, statistical records, evaluation data, member information and personnel records for three (3) years from the final Expiration Date of this Contract Agreement. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

30.) **Special Requirements for Conferences and Conference Space:** The Contractor must request NEINW to obtain prior approval from United States Department of Labor (USDOL) before holding any conference (which includes meeting, retreat, seminar, symposium, training activity or similar event held in either Federal or non-Federal space), or any activity related to holding a conference, including, but not limited to, obligating or expending federal funds, signing contracts for space or services, announcing the USDOL's involvement in any conference, and using USDOL official's name or USDOL's name or logo. NEINW retains the right to obtain information from the Contractor about any conference that is funded in whole or in part with these funds.

31.) **Case Management System:** All Contractors and subcontractors are required to and hereby agree and consent to, use of Indiana's statewide case management system and Jobs for America's Graduates electronic data management system in accordance with NEINW and IDWD policies herein incorporated by reference.

32.) **Statutory Authority of Contractor:** The Contractor expressly warrants to NEINW that it is statutorily eligible to receive the funds granted herein, and it expressly agrees to repay all monies paid to it under this Contract Agreement should a legal determination of its ineligibility be made by any court of competent jurisdiction.

33.) **Taxes.** NEINW is exempt from state, federal and local taxes. NEINW will not be responsible for any taxes levied on the Contractor as a result of this Contract.

34.) **Termination for Convenience:** This Contract Agreement may be terminated, in whole or in part, by NEINW whenever, for any reason, NEINW determines that such termination is in the best interest of NEINW. Termination shall be effected by delivery to the Contractor of a Termination Notice, specifying the extent to which such termination becomes effective. The Contractor shall be compensated for completion of the contract properly done prior to the effective date of termination. NEINW will not be liable for work on the contract after the effective date of termination. In no case shall total payment made to the Contractor exceed the original grant.

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**Non-Collusion and Acceptance**

The undersigned attests, subject to the penalties for perjury that he/she is the representative, agent, member or officer of the Contractor, that he/she has not, nor has any other member, employee, representative, agent or officer of the Contractor, directly or indirectly, to the best of his/her knowledge, entering into or offered to enter into any combination, collusion or agreement to receive or pay, and that he/she has not received or paid any sum of money or other consideration for the execution of this Agreement other than that which appears upon the face hereof.

**In Witness Whereof**, Contractor and NEINW have, through their duly authorized representatives, entered into this Agreement. The parties, having read and understanding the foregoing terms of this Agreement, do by their respective signatures dated below hereby agree to the terms thereof.

**Northeast Indiana Works**

Kathleen Randolph  
Authorized Signature  
Kathleen Randolph  
Authorized Printed Name  
10/5/2016  
Date

Beth Sumar  
Authorized Signature  
Beth Sumar  
Authorized Printed Name  
10/7/16  
Date

**SCAN, Inc.**

[Signature]  
Authorized Signature  
RACHEL TOBIN SMITH MSW, LCSW  
Authorized Printed Name  
9-30-16  
Date

\_\_\_\_\_  
Authorized Signature  
\_\_\_\_\_  
Authorized Printed Name  
\_\_\_\_\_  
Date



**EXHIBIT A  
APPLICABLE STATUTES AND REGULATIONS**

- Workforce Innovation and Opportunity Act, 29 USC §3101 et seq. *PL 113-128*;
- Workforce Innovation and Opportunity Act regulations as promulgated;
- Wagner-Peyser Act, 29 USC 49 et seq.; as amended by PL 113-128, Sec 301 et seq.;
- Establishment and Functioning of State Employment Services, 20 *CFR Part 652.1*;
- Nondiscrimination and Equal Opportunity provisions of the Workforce Innovation and Opportunity Act;
- Job Counseling, Training and Placement Services for Veterans, 38 USC §4100 et seq.; *Employment and Training of Veterans, 38 USC §4211 et seq.*;
- Fair Labor Standards Act 29 USC §201 et seq.;
- Department of Workforce Development, IC 22-4.1 et seq. and accompanying rules, regulations and policy directives;
- Trade Act of 1974, as amended, 19 USC 2771 et seq.;
- Trade Adjustment Assistance Regulations. 20 CFR 617. et seq. and 618.890;
- Office of Management and Budget Uniform Guidance 2 CFR 1.100; 2 CFR 2900 et seq.; and
- Job Counseling, Training and Placement Services for Veterans, 38 USC 4100-4214.

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**EXHIBIT B**  
**Statement of Work**

Contractor agrees to operate the BeSomeOneNow (BSON) program, providing an innovative workforce program for disadvantaged out-of-school youth in Economic Growth Region 3 (counties of LaGrange, Steuben, Noble, DeKalb, Whitley, Allen, Wabash, Huntington, Wells, Adams and Grant). The Contractor agrees to:

1. Comply with all applicable federal and state laws, regulations and policies (including the Workforce Innovation and Opportunity Act (WIOA)).
2. Enroll participants and expend funding granted to the Contractor in a manner consistent with the approved regional plan.
3. Meet or exceed the performance measures noted below. Performance measures are subject to change pending final performance measures negotiated by the Department of Labor (DOL) and Indiana Department of Workforce Development (IDWD).

<b>Performance Measures/Outcomes</b>	<b>Organizational Goal as a %</b>
Placement in Education or Employment <ul style="list-style-type: none"> <li>• Second quarter after exit</li> <li>• Fourth quarter after exit</li> </ul>	68% 69%
Attainment of Degree/Certificate (during program or within one year of exit)	58%
Median earnings	<b>Baseline</b>
Skills gain	<b>Baseline</b>

4. Ensure that 50% of the program participants enrolled from the counties of LaGrange, Steuben, Noble, DeKalb and Whitley will not be residents of Noble County. Ensure that 50% of the program participants enrolled from the counties of Wabash, Huntington, Wells, Adams and Grant will not be residents of Grant County.
5. Ensure a minimum of \$160,000 will be used for the development and implementation of work experiences. The expectation is that at least \$120,000 will be spent directly on participants.
6. Contractor will ensure the BSON program incorporates four critical program components. The critical program components are:
  - a. Pre-enrollment assessments, testing, activities and career plan development;
  - b. A service delivery, focusing on workforce development skills and educational attainment;
  - c. Work experience and/or assistance enrolling in postsecondary education; and
  - d. A 12 month follow-up and case management period.
7. Unique services will include:
  - a. In-home case management support
  - b. Transportation of youth when needed & gas vouchers (per availability)
  - c. Vouchers for child care, pending enrollment in the Networks for Safe Families Program (supported independently of WIOA Youth funding)

## 8. Plan of work

SCAN will serve 150 WIOA OSY, aged 16-24. SCAN's goal is to serve 70 high school dropouts, 5 individuals with disabilities, 10 individuals that are subject to the juvenile or adult justice system, 30 pregnant or parenting, 15 former or currently in foster care, 15 homeless, and 5 individuals that are both low income and basic skills deficient or English language learners.

SCAN will provide services in each of the 11 counties: Adams, Allen, DeKalb, Grant, Huntington, LaGrange, Noble, Steuben, Wabash, Wells, and Whitley. To best serve all 11 counties SCAN will divide the region into 3 smaller sub-regions: North: DeKalb, LaGrange, Noble, Steuben, and Whitley counties; South: Adams, Grant, Huntington, Wabash, and Wells counties; and, Allen County as a standalone sub-region.

### SERVICE DELIVERY

SCAN will provide a comprehensive workforce development program, targeted to disadvantaged youth. These youth will be 16-24 years of age, out of school and have a significant, qualifying barrier to employment. The following is a depiction of the intensive programming that participants will undergo.

The WIOA fourteen (14) program elements will be offered to OSY participants:

1. Assistance with secondary school completion assistance, such as tutoring, study skills, alternative education programming and obtaining a high school equivalency diploma, and direction and support in completing other recognized post-secondary credentials.
2. Upon referral to BSON, the Intake Specialist will execute referrals for appropriate youth back into secondary school services, alternative school or dropout recovery services. SCAN works with the school systems, runaway and truancy agents and homeless liaisons to assist referrals in gaining resources to return to school.
3. Paid and Unpaid Work Experiences will be offered and encouraged for participants in BSON programming. This will be facilitated by a designated full-time staff of the BSON team (Work Experience Coordinator) as well as the Program Manager, who seek out appropriate placements, coordinate with employers, provide assistance to the participant in accessing necessary items for the job (clothing, interview coaching, coordination of interview, etc.) Many partners have been established for these placements and have agreed to provide the support and supervision necessary to partner in work experiences. Some of the types of work experience include:
  - o On-the-Job Training periods in which financial support is provided to the employer training organization that has taken on a program participant as one of their own employees.
  - o Pre-Apprenticeships in which participants are placed in a field of interest that aligns with their designated career pathway to assist them in gaining experience and training to attain a job in their career field.
  - o Paid Work Experiences in which participants work up to 25 hours a week, concurrently with other educational or vocational training, not necessarily within their career field, but nonetheless learning the responsibility, accountability and reward (financially and in self-value) of working.
  - o Unpaid Internships and Volunteer Opportunities are available with advocate supervision to introduce participants to key concepts of responsibility, accountability and the value of their labors.
4. Occupational Skills Training will be offered only for high-demand, high-growth industries in EGR3. As mentioned in a section above, SCAN will rely on information provided by the Northeast Indiana Regional Partnership, Northeast Indiana Works and regional feedback for establishing what career pathways and certifications are in high-demand in EGR3 and which of these are appropriate for each individual served by OSY funds. YAAs and all members of the BSON team will be working with youth throughout the programming and work-based learning experiences to assist youth in being placed in

long-term employment. YAAs provide guidance on high-growth, high-demand industries and work with youth on pairing their MBTI scores and their education levels to seek out appropriate trainings to fit their long term career goals.

5. Educational services will be offered concurrently with workforce preparation settings. Referrals to programming that have initiated the Adult Basic Education (ABE) or other OSY approved educational objectives will be considered as high priority for collaboration with providers to assure educational objectives are met by participants in BSON before fully immersing into cohorts and professional development programming. Dual enrollment in ABE and BSON is meant to assist with test-preparation and completion and not meant in any way to detract from the completion of the High School Equivalency Diploma.
  6. Leadership and Professional Development will be provided on an ongoing basis in one-on-ones with participants and their YAAs and comprehensively in the Cohort-Based 10-week Professional Development Sessions, which integrate exposure to business professionals, career field exposure, employability skills, interviewing skills, and leadership style and development, among other aspects of developing employees.
  7. Supportive Services are provided to participants through professional development, intensive case management and follow-up services in SCAN's BSON program from enrollment through follow-up. Some supportive services that will be provided to youth in BSON are as follows:
    - o Transportation assistance, i.e. gas cards and bus
    - o Work Attire Assistance
    - o HSED Testing Fee Assistance
    - o TB/Physical Exam for Training or Work Experience
    - o Youth Incentives for performance outcome achievements
    - o Youth Incentives for attendance at Professional Development Sessions
    - o Text-book and required supplies for Post-Secondary
  8. Adult Mentoring services will be provided by various partners of SCAN. Participants have a potential to connect with volunteers, agency support staff and other team members that they find they can feel comfortable opening up about their goals and aspirations for mentoring. SCAN facilitates initiating mentoring agreements and encourages both youth and their mentors to check in with each other, especially if they have not connected recently. Mentoring is associated with increased job satisfaction, higher salary, faster promotion and firmer career plans (Wright and Wright, 1987<sup>1</sup>); and according to a study by Dubois and Silverthorn, 2004<sup>2</sup> those who reported a mentoring relationship were more likely to exhibit favorable outcomes relating to education/work, such as completing high school and reduced problem behavior, such as gang membership and risk taking; all of which benefits the BSON target population.
  9. Follow-up Services will be provided to all program participants for 12 months after completion of the program. These services will be provided regardless of the nature of the type of program exit. Youth can access various services through WorkOne, guidance and counseling regarding job and career acquisition, career advancement and post-secondary education.
  10. Comprehensive Guidance and Counseling for long range planning, career advancement, and career pathways in high-growth, high-demand industry fields will be integrated in the enrollment, assessment, career development and career pathway process in BSON. Guidance, counseling and referral to services for psychosocial mental health and well-being are also a natural process within BSON programming. The Program Manager of BSON is a Licensed (master's level) Social Worker, the Supervisor is Master of Science in Psychology and many of the YAAs have degrees in social
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work, sociology and other related fields.

11. Financial Literacy will be an ongoing service provided to youth through assistance with basic needs, budgeting and career pathway development. Purdue University Extension Office is contracted to provide a comprehensive financial literacy program for participants that allows for a full assessment of their financial needs and capabilities, along with tools both online and in person to assist in making good decisions for long term financial success. Financial Literacy programming contains SMART financial goal setting, Adding up the Extras activities, Spending and Savings Plans, FAFSA completion for post-secondary education and training, and Financial Aid Information and Assistance, among other topics.
12. Entrepreneurial Skills Training will be provided throughout BSON programming in various ways. Through professional development training, youth are exposed to tools and attributes that facilitate an entrepreneurial spirit. The primary presenter for the BSON sessions is a former Human Resources Director, turned self-made business man, John Dortch. Mr. Dortch starts Professional Development sessions discussing what it takes to overcome barriers to become an independent, reliable, professional worker. He tells his story and introduces youth to the concept of exposing some of themselves to eliminate some of the barriers that face participants in the BSON program. Mr. Dortch emphasizes personal growth, work ethic, boundaries, confidence and many other employability skills that you need to be a successful entrepreneur.

An aspect of programming that will be introduced this program year is an Entrepreneurial Session (ES), which will be held in May and June and will have a special element for participants in the program that need an extra edge in completing BSON. While all cohorts will undergo a 10-Week Professional Development Series, the ES will focus on similar curricula to what is discussed in the traditional cohort session, but in a more condensed manner to accommodate youth that were either working full time and unable to attend session, or those that were removed from session for behavior, attendance or other issues that needed time to resolve. This programming was designed by Mr. Dortch to reach the harder-to-reach population within the enrollees of the program. It focuses on really encouraging participants to move beyond their barriers and troubles to BSON, or as Mr. Dortch puts it: Be a Star. Once a participant has been enrolled in this special session, they will be required to complete these sessions or risk losing full support of their advocates in the program. Participants are always encouraged to move towards their goals, but some need the extra small group mentoring to inspire their success. The STAR program, presented and facilitated by John Dortch of Preston Joan Group will focus on development the participants' entrepreneurial skills and specific traits that will assist in developing them into functioning, productive young adults.

13. Labor Market and Employment Information, paired with personality and skills testing will help participants identify a career pathway that aligns with their ability, motivation and personality to promote career development, rather than job acquisition. Labor market information is discussed regularly with information from the Hoosier Top 50 Job Listing, information provided in the Indiana Department of Workforce Development, Research and Analysis, Local Area Unemployment Statistics and Statistical Data Reports. Participants will be exposed employment listings, pay ranges, appropriate certifications and educated on the short-term and long-term benefits of accessing career fields in high-growth, high-demand industries in Economic Development Region 3 (EDR3).
14. Post-secondary education and training preparation support is provided to participants throughout programming. BSON staff prepare participants for long term growth in their careers from industry-recognized credentials through the application support for post-secondary degrees. SCAN will partner with Ivy Tech Community College to provide youth in the program with information on degree programs and certificates available at each campus (Fort Wayne and Marion). Participants are assisted in completing college and financial aid applications. Both Ivy Tech Fort Wayne and Ivy Tech Marion will partner with SCAN to provide facilitators and instructors for career exploration experiences to participants. Local businesses, working with Ivy Tech and other training facilities, have agreed to expose participants of SCAN programs to provide tours of their facilities, job shadows

for qualified youth, and potentially work experiences for qualified, interested youth.

Cohorts will be determined based on youth's enrollment date. Cohorts will have 3 months of individual assessment, enrollment, group professional development and individual intensive home-based case management.

Career pathways are ranked in demand, opportunity and longevity of growth for the target population. The Northeast Indiana Regional Partnership has identified nine industry career pathways based on the research and supporting efforts throughout the region on workforce and economic development. Targeted high-growth areas will be presented in intensive case management and in professional development to program participants in three specific pathways early in programming, to assist participants in choosing their career.

## **INTAKE, ELIGIBILITY & ASSESSMENT PROCEDURE**

**Intake Screening:** SCAN believes the most appropriate steps to identifying appropriate youth who will benefit most from the OSY program is to use screening, assessment, and goal planning tools. SCAN's screening process for youth interested in the BSON is multi-step. After a referral has entered the referral system, the Intake Coordinator will reach out to the referral source and individual being referred to explain the BSON program, requirements, commitment and structure. The Intake Coordinator will assist the caller in making a decision regarding set up of an Intake Appointment with a YAA and will assist with referrals for other needs, if necessary. The potential participant will set up a time with the Intake Coordinator to meet with the YAA they will be assigned and provide them with a list of items to bring to their intake appointment. Youth are screened first for program eligibility and then selected based on their barrier reduction and employment needs. Services include: a preliminary assessment of a youth's skill levels, aptitudes, abilities, and support service needs. Youth will be provided with information on area education and training service providers, receive help filing claims for unemployment insurance as needed, job search and placement assistance, as well as career counseling. The program application helps to ensure YAAs are enrolling youth with the greatest need, who are eligible, and who are willing to do the work it takes to be successful in the program.

**Intake Appointment:** A YAA meets potential participant (and parent if under 18) at WorkOne center or other agreed upon location and the parties will go over the Pre-Enrollment Checklist, Eligibility, Documentation and Consents. The potential participant will complete 4 assessments: 12-Item GRIT Scale, Meyers-Briggs Type Indicator (MBTI), Adverse Childhood Experiences Survey (ACE), and the Devereaux Adult Resiliency Scale (DARS) during this appointment. Eligibility determination for the BSON program, provided by SCAN, will be completed during the initial intake a YAA conducts with an individual youth. SCAN will ensure youth eligibility requirements: Must be between the ages of 16-24; considered out-of-school by the State of Indiana, and must meet at least one of the following barriers to employment: Youth that Have Dropped Out of High School, 2. Pregnant or Parenting Youth, 3. Foster or Homeless Youth, 4. Youth with Documented Disabilities that impede their employability, 5. Youth that are Subject to the Juvenile or Adult Justice System, 7. *Youth that are Low Income and an English Language Learners* or 8. *Youth that are Low Income and Basic Skills Deficient*. Each YAA will be responsible for ensuring eligibility determination and intake procedures are met before a youth is submitted to the supervisor for approval. SCAN will require that all eligibility guidelines for enrollment must be documented. In making the initial determination of eligibility for youth, staff must maintain a copy of the documentation used to verify a youth's: Name; Date of Birth; Social Security Number; Citizenship; Selective Service Status (for males 18 years of age or older); Family Income (if applicable); and, Proof of Residence. All youth must have at least one barrier documented with a copy of appropriate documentation in their file. Once a youth has completed all of the eligibility paperwork and prior to enrollment in the program, all youth must be pre-approved by the Program Supervisor.

**Enrollment Appointment:** All paperwork signed and completed at the second appointment, documented as the *enrollment appointment*. YAAs will then initiate the Academic Career Plan (ACP)/Individual Employment Plan (IEP), by completing Indiana Career Explorer (ICE) to begin the process of career exposure and pathway determination; the MBTI results gained from the intake and from an in-depth participant interview will also contribute to the ACP/IEP.

**Assessments:** All participants in the BSON program face a significant barrier to employment. The role of YAAs and others in the program is more than to remove the barriers youth face with employment and education. The process of responding to youth's barriers to employment and education will always include attention to the strengths of the youth and their families. SCAN believes goal planning is an important step in assessing potential youth for appropriate fit in the BSON program. Given this, there are a number of assessments SCAN will utilize to assist youth in developing a goal plan. Appropriate referrals are given to youth that do not get enrolled into programming, as the program is intensive and not for everyone.

**ACP/IEP:** Every enrolled youth will complete and have an updated ACP/IEP. The ACP/IEP is a plan identifying the employment goals, educational objectives, and appropriate services for each youth's individual service strategy. The ACP/IEP will be developed jointly by the youth and their YAA. Youth will receive a copy of the plan that they have signed and also includes the signature of their YAA. If and when the plan is significantly updated a new copy will be signed and provided to the youth. Youth enrolled in the program will also complete an Indiana Career Explorer assessment to identify career interests, explore career options related to those interests, investigate educational pathways related to different career areas, and search for specific colleges/universities.

**TABE:** All youth without a high school diploma or the equivalent will be required to have their literacy and numeracy skills assessed using the Test for Adult Basic Education (TABE). The TABE test will be completed during their adult education orientation and a subsequent TABE test assessment can be provided by their adult education provider or SCAN will have the ability to conduct online TABE testing when necessary. For non-ABE participants, SCAN will administer the TABE either at SCAN or another SCAN site, such as DeKalb County WorkOne.

**DARS:** All enrolled youth will complete the Devereux Adult Resilience Survey (DARS). The DARS, a supplemental assessment used by SCAN, is a 23-item reflective checklist providing youth (and the youth's YAA) with information about their personal strengths. The information will be used to help youth build on strengths, such as creativity and setting limits, so that they may better cope with adversity and stresses of daily life. YAAs provide this assessment to youth before enrollment. This allows youth to be more aware of personal strengths and areas of need. During programming YAAs may use the *Building Your Bounce: Simple Strategies for a Resilient You Adult Journal*<sup>3</sup>, which provides suggested strategies for strengthening protective factors shown to support resilience.

**GRIT:** Recent research suggests that individuals high in grit are able to maintain their determination and motivation over long periods despite failure and adversity. Grit is the factor that pushes individuals to persevere towards goals despite obstacles. Research has found Grit to be an accurate predictor of long-term success, and because of this SCAN management and administration have encouraged YAAs to assess potential participants for Grit, using a 12 item scale. If applicants do not meet a GRIT core of 3.0 or above, they are encouraged to improve on their motivations before entering the program.

**MBTI:** The Myers-Briggs Type Indicator is a self-inventory assessment designed to identify a person's personality type, strengths and preferences. Based on the answers to the questions on the inventory, people are identified as having one of 16 personality types. The goal of providing youth the MBTI is to allow them to further explore and understand their own personalities including their likes, dislikes, strengths, weaknesses, possible career preferences and compatibility with other people. Enrolled youth are given multiple opportunities to complete the MBTI, and once completed, score sheets are returned and scored. The youth's advocate provides them with their personality types, along with detailed descriptions of their best potential job profile and how to work towards their strengths in career choice.

**ACES:** All participants in programming are administered the Adverse Childhood Experiences Survey upon enrollment into the program and needs and barriers are addressed immediately in areas of trauma, abuse, neglect, psychological disorder and distress, and other psychosocial needs. Research shows that individuals with higher ACES scores have lower graduation rates, lower academic achievement, lost time from work, more behavioral issues, such as smoking, alcoholism and drug use and ultimately diminished physical health, which all, of course leads to lower employability and job maintenance. When barriers are addressed and tools are provided to overcome those barriers as they arise, individuals have a higher chance to be successful in life (Ted Talk, Burke Harris, Nadine 2014<sup>4</sup> & CDC ACES 2016<sup>5</sup>).

FROG Case Management© program is used to identify needs and barriers and assist youth in providing concrete coping mechanisms for past and present negative experiences and anxieties. This is an educational program that empowers relationship building and learning coping skills with the self-mastery process of thought and emotional regulation.

**PLAN DEVELOPMENT - Case Management:**

The FROG Case Management program was developed initially for Big Brothers Big Sisters to assist “Bigs” in assisting their “Littles” in coping mechanisms for anxiety and prior traumas. The program was adapted specifically to serve the WIOA OYS target population being served by BSON. After participants are administered the ACE survey, YAAs implement FROG Case Management© programming, in which participants complete a workbook that gives them an avenue to discuss barriers, trauma, insecurities and anxieties with their advocate. This allows for YAAs to then work intensively with youth on Barrier Reduction and Elimination services. This includes, but is not limited to, the following:

- Establish an emotionally supportive, non-judgmental, trusting relationship with program participants to build rapport and trust;
- Assist the program participants in building coping skills for behavioral and mental health issues;
- Provide resources for basic needs, such as food, housing and transportation;
- Provide childcare resources and parenting skills to improve decision-making and supporting their family and children in a safe and productive way;
- Provide crisis intervention services for immediate need issues, such as suicidal ideations, domestic violence, incarceration or substance abuse;
- Write and re-write case management goals with objectives and activities to assist the program participant in becoming work-ready and steady in their everyday life

YAAs work with participants to plan, implement, monitor and amend individualized services that promote strengths, advance well-being, and help them to achieve their goals. These goals also must have specific, attainable, measurable objectives regarding their career pathways, life skills, and long term goals. YAAs will be responsible for assessments, youth engagement, and eliminating barriers that would hinder youth’s success in the program. YAAs are responsible for keeping youth engaged in programming and assisting participants in making connections between program activities and goals, including long-term and short-term employment goals. YAAs also work to help participants reach milestones in programming to gain incentives to push themselves to achieve their goals.

YAAs document any and all interactions with youth on their caseload using a Client Contact Log, which participants sign if the interaction is face-face. This form is turned in to the Supervisor each working Monday before 12pm. SCAN requires that each full-time YAA do 25 hours of client contact per week, and each part-time YAA do 12.5 hours of client contact per week, 60% of which must be face-face. These numbers are calculated weekly, reported to SCAN administration monthly, and taken into consideration during SCAN’s Annual Review process. Not all information on the Client Contact Log is recorded in Track One. YAAs will provide job coaching to any youth placed in employment for the first month of employment, and throughout the follow-up period. This will help ensure youth are discussing any work related issues that have come up, and gives them someone they trust to discuss possible resolutions. YAAs will provide coaching to participants enrolled in post-secondary schooling or training to identify any areas in which a youth is having difficulty and identify possible resources to assist with those areas. These difficulties range from informing youth of the services available at the post-secondary institution, such as math and writing labs to assisting youth in finding adequate childcare for their children while attending classes. All case notes and services are documented in TrackOne (or other identified documentation system) for any services a youth receives, both while actively enrolled and during follow-up.

YAAs will engage participants that have exited the program in individualized, follow-up services, as previously described. Follow-up services will initially occur on a monthly basis, or more regularly depending on the individual needs of the youth, and after occur on at least a quarterly basis for a period

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of 4 consecutive quarters after the quarter a youth has been exited. All of the case management services described above will be available for all youth enrolled in the program, regardless of services a youth needs.

SCAN will provide services that align with targeted high-growth, high-wage career pathways: A: Manufacturing, Logistics & Transportation; B. Health Delivery Services; & C. Food Services, Processing & Customer Service.

Specific strategies will be used to ensure that youth are continuously engaged in WIOA youth services until they have successfully transitioned to employment or more advanced training. SCAN ties incentives to participation in professional development sessions, paid work experience and meeting their outcome-aligned goals to provide a financially supportive aspect of programming for youth engagement and commitment to the program as a whole.

- o SCAN will provide participants \$40/session day as an incentive to participate in professional development sessions, as this is considered to be the core programming element that exposes youth to career fields, work ethic and accountability in the workplace.
- o SCAN will provide activities to build participants' GRIT, resilience and coping skills to build social and emotional learning.
- o SCAN will provide participants with an advocate (YAA) that is supportive, engaging and consistent.
- o SCAN will reward completion of outcome-aligned goals with incentive checks upon completions
- o SCAN will provide interested and eligible participants with paid and unpaid work based learning experiences.

These strategies will increase engagement and assist participants in obtaining employment and training; producing an environment in which SCAN will meet and exceed outcome measurements should the next contract be awarded. SCAN initiated three of the five performance measures as though the new WIOA legislation has taken full effect, which is not scheduled to be mandatory until July 1, 2016. SCAN's data collection systems are currently set up to record these performance measures and staff are at present operating on these premises. Should the Indiana Department of Workforce Development and the Department of Labor negotiate or change the performance requirements, SCAN will be accountable for meeting the DWD negotiated performance measures. Tracking includes:

- o Percentage of program participants who are in education or training services, or in unsubsidized unemployment during second and fourth quarter after exit
- o Percentage of participants who obtain a post-secondary credential or secondary school diploma or equivalent during participation or within one year after exit
- o Percentage of participants who are in education that leads to a recognized, post-secondary credential or employment during a program year, achieving measurable gains
- o Median earnings of participants in unsubsidized employment during the second quarter after exit: This information will be gained through follow-up services, which will be supported with Wage Reports obtained through the Workforce Development System.
- o Indicators of effectiveness in serving employers: These will be measured via community surveys of high-growth, high-demand industry partners that agree to work with SCAN to develop and employ participants of the OSY program.

### **12 MONTH FOLLOW UP**

Follow-up is conducted with all exited participants from the time of exit from the program for a minimum of four consecutive quarters after the quarter a youth has been exited. SCAN will use innovative techniques to ensure information is captured to reflect the successes youth have experienced as a result of BSON. Our innovative techniques are social media outreach, use of alternative contacts, through mentoring opportunities and through follow-up with placement locations case management period will be provided to all enrollments, through regular check-ins with youth via phone, email, social media messaging or drop-by visits at their homes and workplaces.

### WIOA Youth Production Schedule

#### Planned Youth Enrollments by Quarter

	1st Quarter July – Sept 2016	2nd Quarter Oct – Dec 2016	3rd Quarter Jan – Mach 2017	4th Quarter Apr – June 2017	Total for Year
Planned WIOA Youth Enrollments (# of youth to begin receiving services)	25	60	55	10	150

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Organization Name: SCAN INC

Number of Older Youth to be served: 150

From: 07/01/16 To: 06/30/17

A. Salaries & Fringe Benefits	Salaries				Fringe Benefits		Total Budget
	Total Hours	Hourly Rate	% of Time	Total Salary	% Benefits	Total Benefits	
1 Program Manager	2,080.00	\$ 28.28	80.00%	\$47,057.92	30.88%	\$14,531.49	\$61,589.41
2 Supervisor -	2,080.00	\$ 19.84	100.00%	\$41,267.20	30.88%	\$12,743.31	\$54,010.51
3 Young AdultAdvocate	2,080.00	\$ 19.16	100.00%	\$39,852.80	30.88%	\$12,306.54	\$52,159.34
4 Young AdultAdvocate	2,080.00	\$ 14.43	100.00%	\$30,014.40	30.88%	\$9,268.45	\$39,282.85
5 Young AdultAdvocate	2,080.00	\$ 15.35	100.00%	\$31,928.00	30.88%	\$9,859.37	\$41,787.37
6 Young AdultAdvocate	2,080.00	\$ 15.07	100.00%	\$31,345.60	30.88%	\$9,679.52	\$41,025.12
7 Young AdultAdvocate	2,080.00	\$ 15.12	100.00%	\$31,449.60	30.88%	\$9,711.64	\$41,161.24
8 MIS/Data Validation/Training Coordinator	2,080.00	\$ 17.19	100.00%	\$35,755.20	30.88%	\$11,041.21	\$46,796.41
9 Intake and	2,080.00	\$ 14.42	100.00%	\$29,993.60	30.88%	\$9,262.02	\$39,255.62
10 Work experience coordinator	2,080.00	\$ 18.27	100.00%	\$38,001.60	30.88%	\$11,734.89	\$49,736.49
11 Executive Director	2,080.00	\$ 62.50	3.78%	\$4,914.00	30.88%	\$1,517.44	\$6,431.44
12 Accounting Administrator	2,080.00	\$ 36.41	3.78%	\$2,862.70	30.88%	\$884.00	\$3,746.70
13 IS Tec	2,080.00	\$ 20.00	3.78%	\$1,572.48	30.88%	\$485.58	\$2,058.06
14 Other support staff (Accounting, maintenance, receptionist,etc)	2,080.00	\$ 180.00	3.78%	\$14,152.32	30.88%	\$4,370.24	\$18,522.56
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<b>Total Page 1</b>							<b>\$497,563.12</b>

SCAN INC

Line Item Description	Total Budget		Total Amount	
	%		%	
<b>B. Communications</b>				
Description	Cost per Month	No. of Mos		
Telephone 3.78% of agency budget	172.12	12	100.00%	\$2,065.44
Postage - 3.78% of agency budget	100.22	12	100.00%	\$1,202.64
Cell phones - 8 @ \$ 50 month	400	12	100.00%	\$4,800.00
	0	0	0.00%	\$0.00
	0	0	0.00%	\$0.00
	0	0	0.00%	\$0.00
<b>C. Equipment (List and indicate whether item is leased, rented or purchased.)</b>				
Description	Quantity	Unit Price		
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
<b>D. Equipment Maintenance</b>				
Description	Quantity	Unit Price		
Computers, printers, file servers, etc 3.78% of agency budget \$ 43,000.00	0	\$ -	100.00%	\$1,655.50
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
	0	\$ -	0.00%	\$0.00
<b>E. Premise Rent</b>				
Address	Annual Rent	Cost per Month	No. of Mos	
Occupancy Cost, 500 W Main, Ft Wayne, IN 3.78% of agency	\$ 12,000.00	\$ 1,000.00	12	\$12,000.00
	\$ -	\$ -	0	\$0.00
<b>F. Utilities</b>				
Description	Cost per Month	No. of Sites	No. of Mos	
Electric, gas, water, sewer 3.78% of agency	\$ 150.00	1	12	\$1,800.00
	\$ -	0	0	\$0.00
	\$ -	0	0	\$0.00
	\$ -	0	0	\$0.00
	\$ -	0	0	\$0.00
	\$ -	0	0	\$0.00
<b>Total Page 2</b>				<b>\$23,523.58</b>

SCAN INC

Line Item Description	Total Budget				%	Total Amount
<b>G. Supplies</b>						
General office supplies 3.78% of agency \$ 264,936	Description	Cost per Month	No. of Mos			
		\$ 22,078.00	12		3.78%	\$10,014.59
		\$ -	0		0.00%	\$0.00
		\$ -	0		0.00%	\$0.00
<b>H. Insurance (General Liability/Workman's Compensation/Auto/Bonding)</b>						
Gen Liab/Property/Professional Liab/Auto/Bonding-Philadelphia Indemnity Policy PPK928670					3.78%	\$2,080.90
Worker's Comp - Liberty Mutual #WC6-641-443981-012/ Umbrella -Philadelphia #PHUB398592					3.78%	\$3,075.18
<b>I. Professional Fees (Legal/Technology/Payroll)</b>						
Independent Audit-A133; 403B Audit; Tax Form 990					3.78%	\$1,434.51
Contract Fiscal Administrator					3.78%	\$2,525.04
<b>J. Mileage</b>						
Miles per Week	Miles per Mos (4.3 wks.)	No. of Staff	Cost per Mile	No. of Mos		
197.14	847.702	6	\$ 0.400	12	100.00%	\$24,413.82
82	352.6	2	\$ 0.40	12	100.00%	\$3,384.96
0	0	0	\$ -	0	0.00%	\$0.00
<b>K. Other Staff Related Costs (Staff Development/Travel/Per Diem)</b>						
Staff Resiliency training, CPR; Case management training; Crisis Prevention Institute training (In-kind)					0.00%	\$0.00
Program manager - federal training (In-kind)					0.00%	\$0.00
<b>L. Outreach and Recruitment (Itemize)</b>						
Social Media Outreach, Community Outreach, Print Materials (In-Kind)					0.00%	\$0.00
					0.00%	\$0.00
<b>M. Participant Related Expenses</b>						
TRS Gas reimbursement [20 youth x \$10 (10+miles) x 10 weeks=2000] + [20 youth x \$5 (local) x 10 weeks					100.00%	\$3,000.00
TRS Bus passes (\$3 daily x 30 weeks x 40 youth)					100.00%	\$3,600.00
PD Food and snacks and sessions supplies for PD Sessions and other Participant Events (150 participants					100.00%	\$9,000.00
FAC Facilities - Northern 5 Counties - Impact Institute -facilities rental (annual facility rental \$250)					100.00%	\$250.00
FAC Facilities - Allen County - Courtyard Office and Conference Space (Sessions and Retention) (In-kind)					0.00%	\$0.00
EDU Facility Tours - College and Trade School Exposure - Quarterly (Ivy Tech FW & Ivy Tech Marion) (In-					0.00%	\$0.00
PD Financial Literacy (\$75 hour x 3 hours x 3 sessions) Purdue Extension Office					100.00%	\$675.00
PD Interviewing, Self-Preservation and Presentation (5/3 Bank, JCL and Falback Media)					100.00%	\$8,400.00
PD Work Ethics, Work Skills Classes (Preston Joan Group, Trine University, Ivy Tech Corporate College)					100.00%	\$11,100.00
PD Entrepreneurial Summer Session with Preston Joan Group - STAR Program 4 Weeks at \$600 per 6 ho					100.00%	\$2,400.00
PD Career Snapshots High-Growth High-Demand Fields					100.00%	\$2,625.00
EDU SAT Prep / HSED tutoring - Paid Tutoring - (\$15/hour x 60 hours)					100.00%	\$900.00
EDU HSED Testing Fees (\$90 x 45 youth)					100.00%	\$4,050.00
INC Youth Incentives					100.00%	\$22,500.00
INC Youth Incentive Professional Development (\$40/youth/development day x 40 youth x 3 cohorts =					100.00%	\$4,800.00
TUJ Tuition Assistance for post-secondary (\$1,920 x 20 youth)					100.00%	\$38,400.00
WBL On The Job Training (50% of employer payrate \$ 8.00 x 40 per week x 20=\$6,400/youth x 12 youth)					100.00%	\$76,800.00
WBL Work Experience (\$11.30/hour gross x 25 hours week x 12 weeks=\$3,390/youth x 23 youth)					100.00%	\$77,970.00
WBL Work Experience / On the Job Training (job related clothing/tools \$ 75 x 30 youth)					100.00%	\$2,250.00
WBL Drug Panel (free), TB Testing, Fingerprinting for each youth (\$217TB Test + \$39.45/Fingerprinting = \$80.45/you					100.00%	\$3,264.30
<b>Total Page 3</b>					<b>100.00%</b>	<b>\$823,373.65</b>

**Total Program Budget**

SCAN INC

From: 07/01/16 To: 06/30/17

Line Item Description	Total Budget
A. Salaries & Fringe Benefits	\$497,563.12
B. Communications	\$8,068.08
C. Equipment	\$0.00
D. Equipment Maintenance	\$1,655.50
E. Premise Rent	\$12,000.00
F. Utilities	\$1,800.00
G. Supplies	\$10,014.59
H. Insurance	\$5,156.08
I. Professional Fees	\$3,959.55
J. Mileage	\$27,798.78
K. Other Staff Related Costs	\$0.00
L. Outreach and Recruitment	\$0.00
M. Participant Related Expenses	\$271,984.30
<b>TOTAL BUDGET</b>	<b>\$840,000.00</b>

Number of Older Youth to be Served	150
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Unit Cost per Older Youth Served	\$5,600
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Percentage of Participant Related Expenses	32%
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**Region 3 Northeast Indiana Works Monitoring Report**  
**Community Action of Northeast Indiana (CANI)**  
**dba Brightpoint**

**Program Monitored:** WIA and JAG Expansion Youth Programs

**Review Date:** May 17, 2016

**Review Location:** Brightpoint Administration Office

Lyn's review was completed in our office

**Review conducted by:** Lyn Helvie, Beth Suman, Michael Scher and Lori Rice

**Purpose of Monitoring:**

The purpose of the monitoring visit was to evaluate the WIA and JAG Expansion Youth programs, both financially and programmatically.

**Monitoring Scope and Methodology:**

- Financial monitoring consisted of a review of the source documentation surrounding payments issued to Brightpoint. An assessment was made as to the appropriateness of these expenses to assure only reasonable and authorized disbursements were made and were charged to the correct cost categories and that expenses did not exceed any cost limitations.
- A review of 44 youth files was completed. Eligibility was tested, data entered on the application was reviewed and services received were assessed.

**Fiscal Monitoring Findings:**

- Personnel Action Forms not signed
- Payroll Documentation identified inadequate related to timesheet documentation. Instances noted of either employees signing, dating and submitting their timesheets before their last work day in the pay period or supervisors signing, dating and approving employee timesheets before the employee's last work day in the pay period. Despite proper time reporting and approval procedures specifically outlined in the Brightpoint handbook provided for monitoring review, employees and management appear to be out of compliance with their own internal policy.

**Fiscal Monitoring Observations:**

- CEO Personnel Action Form was signed by HR and Employee – It is recommended that the board approval be attached to the form.
- Customer Personnel Action Forms were not signed. Brightpoint's policy states the forms will be signed. It is recommended that Brightpoint make sure that policies are accurate and are followed.

**Program Monitoring Observations:**

- Selective Service Verification was missing from two files.
- Enrollment case note missing from one file.
- ACP case note missing from two files.
- TABE pre-test missing from one file.
- TABE post-test missing from seventeen files.
- ACP approval case note missing from one file.
- Credential not scanned into TrackOne file for two files.
- Monthly case notes were missing from thirteen files.



Northeast Indiana Works  
Economic Growth Region 3  
PY15 Monitoring Guide

## Overview

### Purpose and Scope of the Review

The purpose of this review is to ascertain that the contractor is administering its contract according to the administrative and financial management requirements that apply to these grants. The context of the review is to aid in achieving program objectives by assuring that the financial and administrative requirements add to, rather than detract from, achieving grant objectives.

The review will cover the organization's internal controls, accounting system, cash management system financial reporting, record keeping, subcontractor monitoring (if applicable), procurement (including financial assistance provided sub contractor), property management, and audits. Information is to be obtained from the examination of documents, reports, and records; direct observation; and discussions with key personnel.

The review report will be used to develop information about the contractor that may be the basis for corrective action, providing needed documents or technical assistance, discontinuing further financial assistance, or identifying exemplary practices that other contractors may adopt. Also, the report will be used in developing a body of information about the financial and administrative practices of contractors collectively with a view to correcting systemic weaknesses.

### Review Preparation

This monitoring guide is based upon DOL and OMB guidelines. Other programs to be monitored may require review of specific program guidelines found in the Federal Grants Management Handbooks. The reviewer should examine the following material before the comprehensive on-site review.<sup>1</sup>

- Contracts, including modifications thereto, and general and special provisions to determine the applicable administrative requirements.
- The contract agreement statement of work.
- Most recent Expenditure Report for the contractor.

Before going to on-site, the reviewer should complete the following desk review:

---

DESK REVIEW

**Contractor Identification:**

Name:  
Address:  
Name of Executive Director:  
Name of Fiscal Officer or Controller:  
Type of Contractor:  
Contract Period reviewed:

Prior to conducting the on-site review, obtain the following documents for review:

- Cost Allocation Plan
- Most recent audit report
- Financial/reporting policies and procedures
- Most recent expenditure reports
- Internal Control Matrix
- Organizational Chart
- Personnel Policies

Complete the following questions:

YES    NO   Have financial reports been submitted in a timely manner?  
 YES    NO   Are there any unique financial provisions in contract (other than the specific regulatory requirements):  
 YES    NO   Does contractor follow record retention requirements?  
 YES    NO   Previously monitored or audited:   Date: \_\_\_\_\_  
Were there any findings?  
If yes, what is the status of required collective action

List financial and participant reporting requirements stated in contract:

Contract funds are obtained by:    Advance    Reimbursement

Regulations/guides/instructions that have been delivered to the contractor: (This list will be used to verify, on site, whether the contractor has retained this information and refers to it when needed.)

Conclusions: (Also note any specific problem areas that will require follow-up during the on-site portion of the review):

## On-Site Review Procedures

### An Overview of Information Collection

The reviewer should interview the appropriate key staff. This can be accomplished by reviewing the entity's organizational chart to determine which key staff should be interviewed and reviewing the entity's functions statements (written and unwritten) to the extent time permits.

### Methodology

Each monitor is required to perform onsite reviews of *each contractor* responsible for administration of grant funds. The time and intensity of each review will vary depending upon the circumstances. However, certain subjects need to be completely covered in every case. If the monitor has recently conducted a review of other fiscal grant activity, it may be possible to use some of the information already collected to complete portions of the review guide. This may reduce some on-site review time. Certain areas of the guide need to be completed in all cases as follows.

- General Controls
- Disbursements
- Accounting System
- Budgeting
- Allowability of Costs
- Cost Limitations
- Personnel Cost Documentation
- Internal Cash Management
- Procurement Procedures
- Property Equipment and Supplies
- Record keeping

A report should be prepared based on the information in the completed guide and supporting documents.

The reviewer will complete appropriate sections of this guide based on oral interviews, a review of financial documents, and appropriate testing of the Contractors Administrative and Financial Management system.

### Testing the Administrative and Financial Management System

The reviewer should examine a representative sample of transactions to:

- Determine whether the transactions were recorded in the accounting system and properly classified, accumulated into activity and project totals, and included in financial reports.
- Identify charges that are potentially unallowable costs, if any, to the extent possible.
- Identify any unusual transactions such as large cash draw downs or inter-fund transfers of grant funds to ascertain that Federal funds were only used according to applicable requirements.
- Identify areas where internal controls are weak or do not exist, including adequate separation of duties, adequate procedures, adequate communication, adequate authorizations, adequate documentation and adequate authorizations for transactions.

The reviewer should analyze a selection of completed transactions by:

- Examining payment vouchers, related entries in the accounting records and canceled checks.
- Examining related obligating documents, i.e., purchase orders, contracts, etc.
- Tracing the selected transactions step-by-step through the entire accounting process (from obligation to the entries in the books of account and the financial reports).

The reviewer should determine whether the contractor is complying with financial reporting requirements by:

- Reviewing the reconciliation worksheets for accruals and other supporting source data or documentation used to prepare expenditure reports.
- Determining whether appropriate accruals have been used to prepare expenditure reports if the contractor accounts for expenditures using the cash basis of accounting.

The following are instructions for completing various worksheets that will aid in a systemic review of the contractor. Unless noted below, instructions are located on the individual worksheets.

## **ONSITE REVIEW GUIDE**

### **A. Internal Controls**

**Objective:** To ascertain whether the contractor has systems and procedures that provide reasonable assurance that grant funds and other resources are properly safeguarded and used according to applicable requirements.

The contractor shall provide a general description of the internal control system. Such a system should give management reasonable, but not absolute, assurance that: financial and other resources are safeguarded from unauthorized use or disposition; transactions are executed in accordance with authorizations; financial and statistical records and reports are reliable; there is adherence to applicable laws, regulations, and policies; and resources are efficiently and effectively managed. The system should ensure separation of duties and should include the following components:

- An accounting system that accurately accounts for the use and application of Federal and non-Federal funds.
- Accurate, complete, and accessible financial records of financial transactions recorded in the accounting system.
- Budgetary controls that reflect resources expected and received, and the status of approved plans for using the resources.
- A cash management system for controlling cash requests, receipts, deposits, and disbursements.
- Procurement procedures for obtaining property and services needed for the contractor's programs and activities.
- A property management system for controlling the acquisition, use and disposition of property acquired with Federal and non-Federal; and payroll and personnel activity distribution systems.

- YES     NO                    Does the contractor appear to have an adequate internal control system?
- YES     NO
- YES     NO                    Are there written policies / procedures for the internal control system?
- YES     NO                    Do the policies/procedures comply with applicable regulatory requirements?
- YES     NO                    Is there adequate separation of duties within the contractor's program functions?

**COMMENTS:**

**B. Disbursements**

Objective: To ascertain whether the contractor has established procedures and controls to prevent fraud and otherwise assure that grant cash payments are made only for authorized purposes.

- YES     NO                    Is there a division of responsibilities in the disbursement function?
- YES     NO                    Does the contractor use vouchers / contracts for placement services?
- YES     NO                    Are purchase orders, related vouchers, and checks pre-numbered?
- YES     NO                    Are checks drawn to cash prohibited?
- YES     NO                    Are procedures in place to prevent duplication of payments?
- YES     NO                    Are credit cards issued to staff?
- YES     NO                    Are personal charges allowed?
- YES     NO                    Are controls established?
- YES     NO                    Are numbers of purchase orders, related vouchers, and checks recorded in the accounting system?
- YES     NO                    Are the costs reviewed charged to correct cost categories?
- YES     NO                    Are cash disbursements supported and justified by adequate documentation?
- YES     NO                    Are the costs reviewed in the sample of transactions allowable costs?
- YES     NO                    Is the cost determined to be allowable before payment is made?
- YES     NO                    Are training costs paid by any other means than an ITA?
- YES     NO                    Who is responsible for ensuring that costs are allowable? \_\_\_\_\_

**COMMENTS:**

**C. Financial Reporting**

Objective: To determine whether grant financial reports accurately reflect the amount of all resources made available for grant activities, including Federal and non-Federal funds, program income, and in-kind matching, the use of the resources for grant costs and expenditures, unexpended amounts committed for future expenditures, and uncommitted amounts that are receivable from Department of Labor and other sources.

Contractors are required to submit expenditure reports on an accrual basis.

- YES     NO    Are monthly financial reports submitted timely?
- YES     NO    Are expenditures reported on an accrual basis?
- YES     NO    Is reported data extracted from the accounting system traceable to the general ledger?

**COMMENTS:**

**D. Accounting System**

Objective: If accounting records are not kept on an accrual basis, accruals must be developed for the expenditure reports from other information. The contractor must then prepare worksheets showing how grant accrued expenditures were determined. The worksheets and all supporting information must be retained in accordance with record keeping requirements.

- YES     NO    Are monthly trial balances of the books of account current and available for review?
- YES     NO    Is the general ledger supported with entry descriptions?
- YES     NO    Are journal entries periodically reviewed by the financial manager?
- YES     NO    Does the accrued expenditure sample balance with the books of account?
- YES     NO    Do financial reports submitted balance to the books of accounts?

**COMMENTS:**

**E. Administrative & Indirect Costs**

Objective: The major functions for which costs are considered administrative costs include: overall management and coordination; preparing program plans, budgets, and schedules; monitoring contractors and subs; procurement activities and the award of financial assistance to subs; design and operation of management information and Administrative and Financial Management Systems; and reporting. Many of these cost items require allocation. Ensure that the entity is allocating these costs to the appropriate cost objectives based on benefits received.

- YES     NO    Does the contractor have multiple grants or other funding sources?
- YES     NO    Does the contractor charge costs to the program fund based on a current indirect cost rate or cost allocation plan?
- YES     NO    Review the monthly allocations to determine compliance with plan.
- YES     NO    Does the sample allocation balance to the books of account?
- YES     NO    Are indirect costs identifiable to ensure that unallowable cost items are not included?

**COMMENTS:**

**F. Personnel Cost Documentation**

Objective: This section seeks to assure that charges for grant personnel costs and participant wages are allocated and documented according to applicable requirements. Time and attendance reports are records of how much time an employee spent at work. Activity reports are records of a staff member’s activities during a work day or work week which show how the employee’s time was distributed among activities, projects, and/or fund sources.

- YES     NO    Does the contractor have written policies/procedures for employee time and attendance records?
- YES     NO    Are payrolls initiated through the submittal of time and attendance reports showing the hours worked?
- YES     NO    Do procedures require the employee and the supervisor to sign the time sheet?
- YES     NO    Do time sheets reflect actual rather than planned activity?
- YES     NO    Are time sheets signed by the employee and the supervisor?

**COMMENTS:**

**I. Oversight/Audit**

Objective: To determine if contractor is complying with Federal, and State, audit requirements.

- Review contractor's prior year audit report to obtain the following information:
- YES     NO    Has prior year audit been completed?
  - YES     NO    Were there audit findings?
  - YES     NO    Has resolution been completed?
  - YES     NO    Was the audit report submitted to NEINWorks in a timely manner?
- Audit was conducted by?

**COMMENTS:**

**J. Procurement**

**Objective:** the term procurement means the acquisition of goods and services for the direct use and benefit of the contractor. Acquisitions must be conducted in accordance with DOL regulations, as applicable. Contractors may consider sub grants of financial assistance or other types of awards to be procurements, or to be subject to the same rules and procedures as procurements. In such cases, DOL procurement requirements apply to all actions which the contractor considers to be procurements. Contractors should apply the same principles to sub grant and contract awards wherever possible and appropriate.

- YES  NO Does the contractor have a current procurement policy ?
- Do the procurement procedures:***
- YES  NO Provide for a review of proposed procurement actions to avoid purchase of unnecessary or duplicate items?
- YES  NO Require an analysis of the lease versus purchase alternatives, and other appropriate analysis to determine the most economical approach?
- YES  NO Provide that awards will only be made to responsible contractors possessing the ability to perform successfully under the terms and conditions of the procurement?
- YES  NO Require that records be kept sufficient to detail the history of the procurement?
- YES  NO Require that records be kept sufficient to handle and resolve disputes?
- YES  NO Require that the contractor request prior approval for purchases when required by OMB Circulars?
- YES  NO Require all procurement transactions to be conducted in a manner providing full and open competition?
- YES  NO Ensure the use of noncompetitive sole source procurements are minimized?
- YES  NO Require written justification for all sole source procurements?
- YES  NO Require written prior approval for sole source procurements?
- Do the contractor's selection policies and procedures:***
- YES  NO Include a clear and accurate description of the technical requirements for the material, product, or service to be procured?
- YES  NO Identify all requirements the bidders must fulfill and all other factors to be used in evaluating bids/proposals?
- YES  NO Require that pre-qualified lists of persons, firms, or products are current and include enough qualified sources to ensure maximum open and free competition?
- YES  NO Ensure that the contractor will not preclude potential bidders from qualifying during the solicitation period?
- YES  NO Ensure that grant funds are not awarded to suspended or disbarred organizations?
- YES  NO Require that a cost or price analysis be performed for each procurement?
- YES  NO Require that profit be negotiated as a separate element in all contracts that allow for a profit?
- YES  NO Prohibit the use of the "cost plus a percentage of cost" method of contracting?
- YES  NO Does the contractor have a written code of conduct governing the performance of employees engaged in the award and administration of contracts?



- YES  NO Were any issues of noncompliance with code of conduct requirements found during this review?
- YES  NO Does the contractor standards appear to protect against conflict of interest, real or apparent, in its procurement process?
- YES  NO Is the contractor following their procurement policy?

**COMMENTS:**

**K. Property Management**

Objective: Capital expenditures are expenditures for real property, i.e. land, buildings, and permanent improvements to land and buildings; and other assets, mainly equipment, with an acquisition cost of the lower of \$5,000 or a lower amount established by the entity's financial policy, and a useful life of one year or more. Note: Use of funds to acquire real property is not provided for in the definition of administrative costs nor does spending funds for real property meet the intention of this grant.

- YES  NO Real Property  
Have program funds been used to acquire or make permanent improvements to real property?
- YES  NO Equipment and Supplies  
 YES  NO Has computer hardware/software been purchased with Grant funds?  
Is the computer equipment used solely for the Grant?  
(If NO, only the allocable percentage of the costs is to be paid with Grant funds.)
- YES  NO ***Does the property management system:***  
 YES  NO Track property items from acquisition until disposition?  
Require the use of identification tags?
- YES  NO ***Do property records contain:***  
 YES  NO A description of the property?  
 YES  NO Model numbers/serial numbers?  
 YES  NO Fund source?  
 YES  NO Acquisition date?  
 YES  NO Cost of property?  
 YES  NO Location of property?  
 YES  NO Condition of property?  
 YES  NO Disposition data, including the date of sale, loss, theft, etc.?  
 YES  NO Is there a control system to prevent loss, damage, or theft of the property?  
In the opinion of the monitor, does it appear the property management system is adequate?

**COMMENTS:**

**L. Record Keeping**

Objective: Select a sample of financial transactions for the period reviewed. Make sure all significant categories are included, e.g., payrolls, vendor payments, and payments to sub recipients.

- YES     NO    Do financial records appear current, accurate, organized, and complete?
- YES     NO    Does the contractor maintain adequate documentation to support and justify expenditures?
- YES     NO    Is the contractor in compliance with the three-year record retention requirement?
- YES     NO    In the opinion of the monitor, is the contractor in compliance with financial records requirements?

**COMMENTS:**

**Addendum:**

**COST ALLOCATION:**

1. How is cost allocation base determined? \_\_\_\_\_
2. How often is cost allocation reviewed? \_\_\_\_\_.
3. Additional Questions:
  - a. Where are the pools described in the plan?
  - b. Do you allocate using any other base than Salaries and Wages?

**Cost Allocation**

Is the Cost Allocation Plan (CAP) in writing? \_\_\_\_\_

Is the CAP compliant with Uniform Guidance? \_\_\_\_\_

Is the CAP reviewed and are appropriate revisions made at regular intervals? \_\_\_\_\_

If yes, how often? \_\_\_\_\_

Are cost pools used? \_\_\_\_\_

If yes, how many? \_\_\_\_\_

Does CAP include description of expenses included in each cost pool? \_\_\_\_\_

Is an indirect cost rate used?

---

If yes, has the rate been approved?

---

Does the subrecipient use actual totals as the basis of allocations in the CAP?

---

Does the subrecipient maintain documentation to support their allocations?

---

Is staff wages allocated based on a time distribution system?

---

If no, note basis: \_\_\_\_\_

Comments

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Northeast Indiana Works  
Economic Growth Region 3  
PY15 Monitoring Guide

## Overview

### Purpose and Scope of the Review

The purpose of this review is to ascertain that the contractor is administering its contract according to the administrative and financial management requirements that apply to these grants. The context of the review is to aid in achieving program objectives by assuring that the financial and administrative requirements add to, rather than detract from, achieving grant objectives.

The review will cover the organization's internal controls, accounting system, cash management system financial reporting, record keeping, subcontractor monitoring (if applicable), procurement (including financial assistance provided sub contractor), property management, and audits. Information is to be obtained from the examination of documents, reports, and records; direct observation; and discussions with key personnel.

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### Review Preparation

This monitoring guide is based upon DOL and OMB guidelines. Other programs to be monitored may require review of specific program guidelines found in the Federal Grants Management Handbooks. The reviewer should examine the following material before the comprehensive on-site review.<sup>1</sup>

- Contracts, including modifications thereto, and general and special provisions to determine the applicable administrative requirements.
- The contract agreement statement of work.
- Most recent Expenditure Report for the contractor.

Before going to on-site, the reviewer should complete the following desk review:

---

DESK REVIEW

**Contractor Identification:**

Name:  
Address:  
Name of Executive Director:  
Name of Fiscal Officer or Controller:  
Type of Contractor:  
Contract Period reviewed:

Prior to conducting the on-site review, obtain the following documents for review:

- Cost Allocation Plan
- Most recent audit report
- Financial/reporting policies and procedures
- Most recent expenditure reports
- Internal Control Matrix
- Organizational Chart
- Personnel Policies

Complete the following questions:

YES    NO   Have financial reports been submitted in a timely manner?  
 YES    NO   Are there any unique financial provisions in contract (other than the specific regulatory requirements):  
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Were there any findings?  
If yes, what is the status of required collective action

List financial and participant reporting requirements stated in contract:

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Regulations/guides/instructions that have been delivered to the contractor: (This list will be used to verify, on site, whether the contractor has retained this information and refers to it when needed.)

Conclusions: (Also note any specific problem areas that will require follow-up during the on-site portion of the review):

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- Property Equipment and Supplies
- Record keeping

A report should be prepared based on the information in the completed guide and supporting documents.

The reviewer will complete appropriate sections of this guide based on oral interviews, a review of financial documents, and appropriate testing of the Contractors Administrative and Financial Management system.

### Testing the Administrative and Financial Management System

The reviewer should examine a representative sample of transactions to:

- Determine whether the transactions were recorded in the accounting system and properly classified, accumulated into activity and project totals, and included in financial reports.
- Identify charges that are potentially unallowable costs, if any, to the extent possible.
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## **ONSITE REVIEW GUIDE**

### **A. Internal Controls**

**Objective:** To ascertain whether the contractor has systems and procedures that provide reasonable assurance that grant funds and other resources are properly safeguarded and used according to applicable requirements.

The contractor shall provide a general description of the internal control system. Such a system should give management reasonable, but not absolute, assurance that: financial and other resources are safeguarded from unauthorized use or disposition; transactions are executed in accordance with authorizations; financial and statistical records and reports are reliable; there is adherence to applicable laws, regulations, and policies; and resources are efficiently and effectively managed. The system should ensure separation of duties and should include the following components:

- An accounting system that accurately accounts for the use and application of Federal and non-Federal funds.
- Accurate, complete, and accessible financial records of financial transactions recorded in the accounting system.
- Budgetary controls that reflect resources expected and received, and the status of approved plans for using the resources.
- A cash management system for controlling cash requests, receipts, deposits, and disbursements.
- Procurement procedures for obtaining property and services needed for the contractor's programs and activities.
- A property management system for controlling the acquisition, use and disposition of property acquired with Federal and non-Federal; and payroll and personnel activity distribution systems.

- YES     NO                    Does the contractor appear to have an adequate internal control system?
- YES     NO
- YES     NO                    Are there written policies / procedures for the internal control system?
- YES     NO                    Do the policies/procedures comply with applicable regulatory requirements?
- YES     NO                    Is there adequate separation of duties within the contractor's program functions?

**COMMENTS:**

**B. Disbursements**

Objective: To ascertain whether the contractor has established procedures and controls to prevent fraud and otherwise assure that grant cash payments are made only for authorized purposes.

- YES     NO                    Is there a division of responsibilities in the disbursement function?
- YES     NO                    Does the contractor use vouchers / contracts for placement services?
- YES     NO                    Are purchase orders, related vouchers, and checks pre-numbered?
- YES     NO                    Are checks drawn to cash prohibited?
- YES     NO                    Are procedures in place to prevent duplication of payments?
- YES     NO                    Are credit cards issued to staff?
- YES     NO                    Are personal charges allowed?
- YES     NO                    Are controls established?
- YES     NO                    Are numbers of purchase orders, related vouchers, and checks recorded in the accounting system?
- YES     NO                    Are the costs reviewed charged to correct cost categories?
- YES     NO                    Are cash disbursements supported and justified by adequate documentation?
- YES     NO                    Are the costs reviewed in the sample of transactions allowable costs?
- YES     NO                    Is the cost determined to be allowable before payment is made?
- YES     NO                    Are training costs paid by any other means than an ITA?
- YES     NO                    Who is responsible for ensuring that costs are allowable? \_\_\_\_\_

**COMMENTS:**

**C. Financial Reporting**

Objective: To determine whether grant financial reports accurately reflect the amount of all resources made available for grant activities, including Federal and non-Federal funds, program income, and in-kind matching, the use of the resources for grant costs and expenditures, unexpended amounts committed for future expenditures, and uncommitted amounts that are receivable from Department of Labor and other sources.

Contractors are required to submit expenditure reports on an accrual basis.

- YES     NO    Are monthly financial reports submitted timely?
- YES     NO    Are expenditures reported on an accrual basis?
- YES     NO    Is reported data extracted from the accounting system traceable to the general ledger?

**COMMENTS:**

**D. Accounting System**

Objective: If accounting records are not kept on an accrual basis, accruals must be developed for the expenditure reports from other information. The contractor must then prepare worksheets showing how grant accrued expenditures were determined. The worksheets and all supporting information must be retained in accordance with record keeping requirements.

- YES     NO    Are monthly trial balances of the books of account current and available for review?
- YES     NO    Is the general ledger supported with entry descriptions?
- YES     NO    Are journal entries periodically reviewed by the financial manager?
- YES     NO    Does the accrued expenditure sample balance with the books of account?
- YES     NO    Do financial reports submitted balance to the books of accounts?

**COMMENTS:**

**E. Administrative & Indirect Costs**

Objective: The major functions for which costs are considered administrative costs include: overall management and coordination; preparing program plans, budgets, and schedules; monitoring contractors and subs; procurement activities and the award of financial assistance to subs; design and operation of management information and Administrative and Financial Management Systems; and reporting. Many of these cost items require allocation. Ensure that the entity is allocating these costs to the appropriate cost objectives based on benefits received.

- YES     NO    Does the contractor have multiple grants or other funding sources?
- YES     NO    Does the contractor charge costs to the program fund based on a current indirect cost rate or cost allocation plan?
- YES     NO    Review the monthly allocations to determine compliance with plan.
- YES     NO    Does the sample allocation balance to the books of account?
- YES     NO    Are indirect costs identifiable to ensure that unallowable cost items are not included?

**COMMENTS:**

**F. Personnel Cost Documentation**

Objective: This section seeks to assure that charges for grant personnel costs and participant wages are allocated and documented according to applicable requirements. Time and attendance reports are records of how much time an employee spent at work. Activity reports are records of a staff member’s activities during a work day or work week which show how the employee’s time was distributed among activities, projects, and/or fund sources.

- YES     NO    Does the contractor have written policies/procedures for employee time and attendance records?
- YES     NO    Are payrolls initiated through the submittal of time and attendance reports showing the hours worked?
- YES     NO    Do procedures require the employee and the supervisor to sign the time sheet?
- YES     NO    Do time sheets reflect actual rather than planned activity?
- YES     NO    Are time sheets signed by the employee and the supervisor?

**COMMENTS:**

**I. Oversight/Audit**

Objective: To determine if contractor is complying with Federal, and State, audit requirements.

- Review contractor's prior year audit report to obtain the following information:
- YES     NO    Has prior year audit been completed?
  - YES     NO    Were there audit findings?
  - YES     NO    Has resolution been completed?
  - YES     NO    Was the audit report submitted to NEINWorks in a timely manner?
- Audit was conducted by?

**COMMENTS:**

**J. Procurement**

**Objective:** the term procurement means the acquisition of goods and services for the direct use and benefit of the contractor. Acquisitions must be conducted in accordance with DOL regulations, as applicable. Contractors may consider sub grants of financial assistance or other types of awards to be procurements, or to be subject to the same rules and procedures as procurements. In such cases, DOL procurement requirements apply to all actions which the contractor considers to be procurements. Contractors should apply the same principles to sub grant and contract awards wherever possible and appropriate.

- YES  NO Does the contractor have a current procurement policy ?
- Do the procurement procedures:***
- YES  NO Provide for a review of proposed procurement actions to avoid purchase of unnecessary or duplicate items?
- YES  NO Require an analysis of the lease versus purchase alternatives, and other appropriate analysis to determine the most economical approach?
- YES  NO Provide that awards will only be made to responsible contractors possessing the ability to perform successfully under the terms and conditions of the procurement?
- YES  NO Require that records be kept sufficient to detail the history of the procurement?
- YES  NO Require that records be kept sufficient to handle and resolve disputes?
- YES  NO Require that the contractor request prior approval for purchases when required by OMB Circulars?
- YES  NO Require all procurement transactions to be conducted in a manner providing full and open competition?
- YES  NO Ensure the use of noncompetitive sole source procurements are minimized?
- YES  NO Require written justification for all sole source procurements?
- YES  NO Require written prior approval for sole source procurements?
- Do the contractor's selection policies and procedures:***
- YES  NO Include a clear and accurate description of the technical requirements for the material, product, or service to be procured?
- YES  NO Identify all requirements the bidders must fulfill and all other factors to be used in evaluating bids/proposals?
- YES  NO Require that pre-qualified lists of persons, firms, or products are current and include enough qualified sources to ensure maximum open and free competition?
- YES  NO Ensure that the contractor will not preclude potential bidders from qualifying during the solicitation period?
- YES  NO Ensure that grant funds are not awarded to suspended or disbarred organizations?
- YES  NO Require that a cost or price analysis be performed for each procurement?
- YES  NO Require that profit be negotiated as a separate element in all contracts that allow for a profit?
- YES  NO Prohibit the use of the "cost plus a percentage of cost" method of contracting?
- YES  NO Does the contractor have a written code of conduct governing the performance of employees engaged in the award and administration of contracts?

- YES  NO Were any issues of noncompliance with code of conduct requirements found during this review?
- YES  NO Does the contractor standards appear to protect against conflict of interest, real or apparent, in its procurement process?
- YES  NO Is the contractor following their procurement policy?

**COMMENTS:**

**K. Property Management**

Objective: Capital expenditures are expenditures for real property, i.e. land, buildings, and permanent improvements to land and buildings; and other assets, mainly equipment, with an acquisition cost of the lower of \$5,000 or a lower amount established by the entity's financial policy, and a useful life of one year or more. Note: Use of funds to acquire real property is not provided for in the definition of administrative costs nor does spending funds for real property meet the intention of this grant.

- YES  NO Real Property  
Have program funds been used to acquire or make permanent improvements to real property?
- YES  NO Equipment and Supplies  
 YES  NO Has computer hardware/software been purchased with Grant funds?  
Is the computer equipment used solely for the Grant?  
(If NO, only the allocable percentage of the costs is to be paid with Grant funds.)
- YES  NO ***Does the property management system:***  
 YES  NO Track property items from acquisition until disposition?  
Require the use of identification tags?
- YES  NO ***Do property records contain:***  
 YES  NO A description of the property?  
 YES  NO Model numbers/serial numbers?  
 YES  NO Fund source?  
 YES  NO Acquisition date?  
 YES  NO Cost of property?  
 YES  NO Location of property?  
 YES  NO Condition of property?  
 YES  NO Disposition data, including the date of sale, loss, theft, etc.?  
 YES  NO Is there a control system to prevent loss, damage, or theft of the property?  
In the opinion of the monitor, does it appear the property management system is adequate?

**COMMENTS:**

**L. Record Keeping**

Objective: Select a sample of financial transactions for the period reviewed. Make sure all significant categories are included, e.g., payrolls, vendor payments, and payments to sub recipients.

- YES     NO    Do financial records appear current, accurate, organized, and complete?
- YES     NO    Does the contractor maintain adequate documentation to support and justify expenditures?
- YES     NO    Is the contractor in compliance with the three-year record retention requirement?
- YES     NO    In the opinion of the monitor, is the contractor in compliance with financial records requirements?

**COMMENTS:**

**Addendum:**

**COST ALLOCATION:**

1. How is cost allocation base determined? \_\_\_\_\_
2. How often is cost allocation reviewed? \_\_\_\_\_.
3. Additional Questions:
  - a. Where are the pools described in the plan?
  - b. Do you allocate using any other base than Salaries and Wages?

**Cost Allocation**

Is the Cost Allocation Plan (CAP) in writing? \_\_\_\_\_

Is the CAP compliant with Uniform Guidance? \_\_\_\_\_

Is the CAP reviewed and are appropriate revisions made at regular intervals? \_\_\_\_\_

If yes, how often? \_\_\_\_\_

Are cost pools used? \_\_\_\_\_

If yes, how many? \_\_\_\_\_

Does CAP include description of expenses included in each cost pool? \_\_\_\_\_

Is an indirect cost rate used?

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If yes, has the rate been approved?

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Does the subrecipient use actual totals as the basis of allocations in the CAP?

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Does the subrecipient maintain documentation to support their allocations?

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Is staff wages allocated based on a time distribution system?

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If no, note basis: \_\_\_\_\_

Comments

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