Employment & Training Program (ETP) Division

# Modification Request

for

# Project Start-ups

# Mass Layoff Projects

# State Dislocated Worker

# WIOA Dislocated Worker

# WIOA Adult

## Introduction

The Minnesota Department of Employment and Economic Development (DEED) administers the federal Workforce Innovation and Opportunity Act (WIOA) Adult, the WIOA Dislocated Worker program, and the State Dislocated Worker program. These programs serve unemployed and underemployed adult jobseekers by providing one-to-one career counseling, job search assistance, training, and support services. The programs also benefits employers who are looking for skilled workers. Program staff and partners ensure that Minnesota’s workers are able to secure permanent jobs in high-demand occupations. Participants must be found eligible prior to program enrollment.

## Authorization of Funds

The WIOA Adult program is authorized by the Workforce Innovation and Opportunity Act (WIOA). The Dislocated Worker Program is authorized by Minn. Stat. 116L.17 and WIOA. Program funds are released each fiscal year and are dependent on state and federal legislative approval.

## Technical Assistance

Requests for technical assistance with the planning documents or grant requirements should be directed to the DW grants specialists:

[Rita.Apaloo@state.mn.us](mailto:Rita.Apaloo@state.mn.us)

Rita Apaloo, Grants Specialist Senior, Dislocated Worker and Federal Adult Programs

[Sou.Thao@state.mn.us](mailto:Sou.Thao@state.mn.us)

Sou Thao, Grants Specialist Senior, Dislocated Worker and Federal Adult Programs

[Frederick.Nah@state.mn.us](mailto:Frederick.Nah@state.mn.us)

Frederick Nah, Grants Specialist Senior, DW and Federal Adult Programs

[Enock.Kakuuku@state.mn.us](mailto:Enock.Kakuuku@state.mn.us)

Enock Kakuuku, Grants Coordinator, DW and Federal Adult Programs

Performance and data questions should be directed to the Performance and Data Coordinator:

[Amy.Carlson@state.mn.us](mailto:Amy.Carlson@state.mn.us)

Amy Carlson, State Program Administrator Coordinator

All other questions can be addressed to the DW Program Supervisor:

[Lensa.Idossa@state.mn.us](mailto:Lensa.Idossa@state.mn.us)

Lensa Idossa, Program Manager

## Submitting to DEED

The information you provide to the questions and in the tables below will become part of your contract. Before submitting to DEED, we recommend the following:

* Review:
* **Appendix A: Grant Requirements**
* **Appendix B: Relevant Policies**
* **Appendix C: General Definitions**
* Remember to follow cost category limitations, particularly the 10% cap on Administrative Costs. We recommend budgeting slightly under 10%.
  + State funds cost category limitations: [State Dislocated Worker Cost Category Definition and Waiver Policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=506)
* Use the tables provided. Do not copy tables into the document.
* Double check the numbers in the participant, activity, and budget plans to ensure they align with each other. It can slow down the review process if there are errors.
  + *Tip:* To ensure the math in the budget table is correct, paste the numbers into Excel and use the AutoSum feature to ensure a correct total for each column.
* Send the body of the form as a Word document, but convert the signature page to a PDF document. This will allow us to expedite the review process and easily double check numbers in Excel.
* Email the documents (Word and PDF) to the grants specialists listed above.

## Organization and Grant Information Signature Page

**Table 1: Organization and Grant Information**

|  |  |  |  |
| --- | --- | --- | --- |
| Organization Name: |  | | |
| Director Name and Title: |  | Primary Contact Name and Title: |  |
| Phone: |  | Phone: |  |
| Email: |  | Email: |  |
| Address: |  | Address: |  |
| Program Name: |  | | |
| Grant ID Number: |  | | |
| Modification Number: |  | | |
| Grant Start Date: |  | | |
| Grant End Date (current not requested): |  | | |

**Authorized Representative:** I certify that the information contained herein is true and accurate to the best of my knowledge and that I am authorized to submit these planning documents on behalf of the organization.

|  |  |
| --- | --- |
| Name and Title (print): |  |
| Signature: |  |
| Date: |  |

## Description of Modification Attachment 1: Work Plan Modification \_\_

**Instructions:**

* Select the type of modification you’re requesting below (select all that apply).
* Briefly describe the request after each checked box. For example, for an increase in participants: “100 to 150 participants.”

New end date (project funds only). Requested date: Click here to enter a date.

Increase or decrease in total participants (briefly describe): Click here to enter text.

Increase or decrease in total allocation (briefly describe): Click here to enter text.

Cost category change (briefly describe): Click here to enter text.

Subcontractor award (briefly describe): Click here to enter text.

* If you’re modifying the budget, complete **Table 2: Current Budget vs Requested** below.
* Check the recent RPR/FSR to be sure none of the modification amounts are less than what your agency has expended.

**Table 2: Current Budget vs Requested**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Category | Current Total Allocations | Percent of Total | Modified Total Allocations | Percent of Total | Variance ($) |
| (833) Administration |  |  |  |  |  |
| (857) Career Services |  |  |  |  |  |
| (895) Transitional Jobs |  |  |  |  |  |
| (838) Direct Customer Training Services |  |  |  |  |  |
| (896) Incumbent Worker Training |  |  |  |  |  |
| (828) Support Services |  |  |  |  |  |
| **Total** |  |  |  |  |  |
| **Cost Per Participant** |  | |  | |  |

## Narrative Attachment 1: Work Plan Modification \_\_

**Instructions:**

* If you’re modifying a Project Start-up Grant, skip to sections **3a and 3b**.
* If you’re modifying a Mass Layoff Project, State DW, WIOA DW or Adult DW grant, please answer the questions below:
* Is this modification request the result of a monitoring visit?  Yes  No
* What factors are contributing to this modification request?Please be specific and describe why changes to the work plan and/or budget are needed.

Click here to enter text.

## 3a. Description of Project Attachment 1: Work Plan Modification\_\_

**Instructions:**

* If you’re modifying a Project Start-up Grant, please answer the questions below:
  + Project Organization/Company Name: Click here to enter text.
  + Local Address: Click here to enter text.
  + Headquarters address (if different): Click here to enter text.
  + Industry: Click here to enter text.
  + Union(s): Click here to enter text.
  + Congressional district # of layoff/plant closing site (found here: <http://www.gis.leg.mn/OpenLayers/districts/>): Click here to enter text.
  + Legislative district # of layoff/plant closing site: Click here to enter text.
  + Plant Closing: ☐ Yes ☐ No
  + Permanent Layoffs: ☐ Yes ☐ No
  + Location of Layoff(s): Click here to enter text.
  + Reason for Closing/layoff: Click here to enter text.
  + Did the company move? ☐ Yes ☐ No
    - If yes, where to and why? Click here to enter text.
* Did company assist in this project? ☐ Yes ☐ No
  + - If yes, how so? Click here to enter text.
* Is this layoff project TAA-certified? ☐ Yes ☐ No ☐ Pending

## 3b. Supplemental Project Questions Attachment 1: Work Plan Modification \_\_

**Instructions:**

* If you’re modifying a Project Start-up Grant, please answer the questions below:
* Demographics. Include age group, gender, education level, skill level, and English language proficiency (LEP) of the laid off workers.

Click here to enter text.

* Outreach plan. How will the plan be tailored to address the unique needs of the workers as described in the response to question 1?

Click here to enter text.

* Service plan. How will the Career Services and Training activities be tailored to address the unique needs of the workers as described in the response to question 1? If the population has barriers to employment, how do you plan to assist them? Provide specific examples of the services.

Click here to enter text.

* Support Services plan. How will Support Services be used to address the unique needs of the workers?

Click here to enter text.

* Case management and follow-up plan. How will cases be followed-up and resolved?

Click here to enter text.

## Participant Plan Attachment 1: Work Plan Modification \_\_

**Instructions:**

* Complete **Table 4: Participant Plan** on the next page.
* Select an end date and provide a plan for every applicable quarter.
* For the current and remaining quarters, list the planned enrollments.
* For the previous 4 quarters (if applicable), list the actual enrollments as reported in Workforce One (WF1).
* Run reports as “Funding Stream Level” in WF1. Examples of how funding streams appear are below: (See **Appendix C: How to Pull Quarterly Participant Data from WF1** for detailed instructions.)
* Provider name WDA-xx 9xx3100 WIOA Adult Formula PY22
* Provider name WDA-xx 9xx8000 WIOA DW Formula PY22
* Provider name 9xx8500 State DW Formula PY22
* Mass Layoff Project name
* Complete the plan in cumulative fashion.

**Table 3: Participant Plan** Attachment 1: Work Plan Modification \_\_

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Category:** | Q1  **End date:**  Click here to enter a date. | Q2  **End date:**  Click here to enter a date. | Q3  **End date:**  Click here to enter a date. | Q4  **End date:**  Click here to enter a date. | Q5  **End date:**  Click here to enter a date. | Q6  **End date:**  Click here to enter a date. | Q7  **End date:**  Click here to enter a date. | Q8  **End date:**  Click here to enter a date. |
| A. Total Enrollments (participants served with this grant) |  |  |  |  |  |  |  |  |
| B. Exits to Employment (participants no longer served with this grant) |  |  |  |  |  |  |  |  |
| C. All Other Exits |  |  |  |  |  |  |  |  |
| D. Total Exits (B+C) |  |  |  |  |  |  |  |  |
| **E. Current Enrollment (A-D) (participants currently being served)** |  |  |  |  |  |  |  |  |

**4a. Participant Plan – Additional Information (Optional)**

Please let us know if there is anything else you’d like us to consider about your participant plan, such as the plan for the entire program (PY20 and PY21 State DW) versus the specific grant (PY20 State DW) when we review the modification request(s).

Click here to enter text.

**5. Activity Plan** Attachment 1: Work Plan Modification \_\_

**Instructions:**

* Complete **Table 5: Activity Plan** on the next page.
* Select a quarter end date and provide a plan for every applicable quarter.
* Every participant should receive an Individual Plan Development, Staff Assisted Job Search, and Career Counseling.
* The activity plan should align with the participant plan. For example, if you plan to recruit participants from Q1–Q6, an activity plan should be listed for Q1–Q6.
* Complete the plan in cumulative fashion.

**Table 4: Activity Plan** Attachment 1: Work Plan Modification \_\_

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Category** | Q1  **End date:**  Click here to enter a date. | Q2  **End date:**  Click here to enter a date. | Q3  **End date:**  Click here to enter a date. | Q4  **End date:**  Click here to enter a date. | Q5  **End date:**  Click here to enter a date. | Q6  **End date:**  Click here to enter a date. | Q7  **End date:**  Click here to enter a date. | Q8  **End date:**  Click here to enter a date. |
| **Career Services** |  |  |  |  |  |  |  |  |
| (857) Individual Plan Development |  |  |  |  |  |  |  |  |
| (857) Staff Assisted Assessments |  |  |  |  |  |  |  |  |
| (857) Staff Assisted Job Search |  |  |  |  |  |  |  |  |
| (857) Career Counseling |  |  |  |  |  |  |  |  |
| (857) Work Experience |  |  |  |  |  |  |  |  |
| (857) Pre-Vocational Services |  |  |  |  |  |  |  |  |
| (857) Work Readiness Services |  |  |  |  |  |  |  |  |
| (895) Transitional Jobs |  |  |  |  |  |  |  |  |
| **Direct Customer Training** |  |  |  |  |  |  |  |  |
| (838) Non-Credentialed Training |  |  |  |  |  |  |  |  |
| (838) Classroom Training (Credentialed) |  |  |  |  |  |  |  |  |
| (838) Customized Training |  |  |  |  |  |  |  |  |
| (838) CLIMB Training (State ONLY) |  |  |  |  |  |  |  |  |
| (896) Incumbent Worker Training |  |  |  |  |  |  |  |  |
| (838) OJT Public or Private |  |  |  |  |  |  |  |  |
| (838) Apprenticeships |  |  |  |  |  |  |  |  |

## 5. Subcontractor Information Attachment 1: Work Plan Modification \_\_

**Instructions:**

* Complete **Table 5: Subcontractor Information** on the next page.
* Do not include vendors.
* Any services provided by subcontractors not listed on this work plan, or costs incurred above the approved amount, are subject to being disallowed.
* If a provider intends to add or remove a subcontractor during the grant period, they must submit a modification to their work plan and budget.
* The subcontractor contracts will be reviewed as part of the monitoring process per the Uniform Guidance and Minnesota Office of Grants Management policies: [Monitoring Requirements](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=558).

**Table 5: Subcontractor Information** Attachment 1: Work Plan Modification \_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name and Address of Organization** | **Key Contact Person at Service Location and Phone Number** | **All Addresses Providing Case Mgmt. Services** | **Services Provided** | **Total Funds Awarded** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Total:** | | | |  |

**6. Cost Category Waivers (State DW ONLY)** Attachment 2: Budget Modification \_\_

**Instructions:**

* Read each question on the next page and select your answer.
* For new waiver requests or to change original waivers, provide a 1-2 paragraph description.
* For existing waivers that will not be changed, copy over the original waiver language.

**Reminders:**

* A grantee must apply for a waiver to spend outside of a cost category limit for State DW programs: [State Dislocated Worker Cost Category Definition and Waiver Policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=506)
* This includes requests to spend:
* More than 40% in Career Services
* Less than 50% in Direct Customer Training. Cannot go below 30%. Only TAA-certified mass layoff projects can go below 30%.
* More than 15% in Support Services. Cannot go above 20%.
* Administrative costs cannot exceed 10% of expenditures and are not eligible for waivers.
* Justifications for waivers may include:
* Demographics of the workers
* Staffing concerns (for example, increased caseloads, staff professional development/promotions, significant case transfers from other providers)
* Significant co-enrollment/cross-training of participants
* Disruptions in service (for example, school/training provider or provider closures)
* Increased outreach and service of at-risk or priority populations per WIOA (including Veterans, and Dislocated Workers with Barriers to Employment) compared to area demographics, leading to demonstrated excellence in performance outcomes for these populations

Attachment 2: Budget Modification \_\_\_

**1. Did you request a waiver(s) with the original contract?**

Yes, move to Question 2

No, skip to Question 3

**2. Are you modifying an existing waiver(s)?**

Yes, describe the requested changes below (1-2 paragraphs)

For example, “Agency Workforce is requesting a waiver to spend 45% in Career Services and 35% in Training for the following reasons [list reasons for waivers].

No, paste the original waiver language below

1. **Are you requesting a waiver(s) with this modification request?**

Yes, describe the need for the waiver(s) below (1-2 paragraphs)

No

**Table 6: Waivers for State Dislocated Worker Funds**

|  |  |
| --- | --- |
| **Career Services and/or Direct Customer Training Waiver:** | Click here to enter text. |
| **Support Services Waiver:** | Click here to enter text. |

## 7. Budget Plan Attachment 2: Budget Modification \_\_\_

**Instructions:**

* Complete **Table 7: Budget Plan** on the next page.
* Select an end date and provide a plan for every applicable quarter.
* For current and remaining quarters, list the planned values.
* For the previous 4 quarters, list the actual expenditures (per the RPR/FSR).
  + For example, if it’s currently Q6, list planned values for Q6 and on, list actuals for Q2 - Q5.
* Complete the plan in cumulative fashion.
* Use whole numbers with planned values. Please don’t include cents (only allowed for actuals).
* The budget should align with the participant and activity plans. For example, if you plan to recruit participants from Q1–Q6, activity and budget plans should be provided for Q1–Q6.
* If applicable, the modified values should match the modified values in **Table 2: Current Budget vs Requested** above and waivers should be reflected.
* Check the recent RPR/FSR to be sure none of the modification amounts are less than what your agency has already expended.
  + For example, you want to decrease Support Services from $4,500 to $3,500, but the recent RPR shows your agency has been reimbursed a total of $3,900. You can only decrease to $3,900 or you can submit a revised RPR.

**Reminders:**

* For WIOA and State funds, a maximum of 10% can be used for Administrative Costs. We recommend budgeting slightly under 10%.
* Any unexpended funds exceeding 20% of the total allocation by the end of Q4 may be recaptured and reallocated.
* For definitions of terms and cost category limitations, see **Appendix D: General Definitions.**
* State funds cost category limitations: [State Dislocated Worker Cost Category Definition and Waiver Policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=506)

**Table 7: Budget Plan** Attachment 2: Budget Modification \_\_

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Category** | Q1  **End date:**  Click here to enter a date. | Q2  **End date:**  Click here to enter a date. | Q3  **End date:**  Click here to enter a date. | Q4  **End date:**  Click here to enter a date. | Q5  **End date:**  Click here to enter a date. | Q6  **End date:**  Click here to enter a date. | Q7  **End date:**  Click here to enter a date. | Q8  **End date:**  Click here to enter a date. | Percent of Total\*\* |
| (833) Administrative Costs |  |  |  |  |  |  |  |  |  |
| (857) Career Services\* |  |  |  |  |  |  |  |  |  |
| (895) Transitional Jobs |  |  |  |  |  |  |  |  |  |
| (838) Direct Customer Training |  |  |  |  |  |  |  |  |  |
| (896) Incumbent Worker Training |  |  |  |  |  |  |  |  |  |
| (828) Support Services |  |  |  |  |  |  |  |  |  |
| **Total** |  |  |  |  |  |  |  |  |  |
| **Cost Per Participant** |  | | | | | | |  | |
| \*For WDAs who participate in a Cost Allocation Plan / Infrastructure Funding Agreement (IFA), list the total amount of Career Services obligated in the IFA for PY22 for this funding stream: **$ \_\_\_\_\_\_\_\_\_\_\_**  \*\*For State funds, include waivers and follow the limitations for each cost category: [State Dislocated Worker Cost Category Definition and Waiver Policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=506). | | | | | | | | | |

## 

## Appendix A: Grant Requirements

**Tax IDs and DUNS Number**

All grant agreements entered into with DEED require both state and federal tax identification numbers and a valid DUNS number issued by Dun & Bradstreet. A DUNS number is a unique nine-digit identification number for each physical location of your business. [Number assignment is free for all businesses required to register with the government for contracts or grants and can be obtained via the Dun & Bradstreet website linked here](https://fedgov.dnb.com/webform/CCRSearch.do?val=1).

**SWIFT Vendor Number**

The State of Minnesota’s accounting and procurement system is called State-Wide Integrated Financial Tools (SWIFT). Every organization doing business with the state is considered a vendor. Vendors must be registered with the State of Minnesota. Vendors can interact with the state through the [Supplier Portal](http://supplier.swift.state.mn.us/), which is part of SWIFT. The Supplier Portal allows vendors to login and view payment detail as well as maintain address and contact information related to their vendor record.

**Reporting & Monitoring**

Submission of Local Unified Plan Supplemental Information or Annual Assessment: DEED requires that all grantees have submitted an updated Local Unified Plan Supplemental Information document or Annual Assessment before awarding any new grants. DEED will provide the template for these documents.

Program Reporting: DEED will work with all grantees to identify data collection requirements and measurable outcomes for reporting. Grantees providing direct services to individuals must use Workforce One, Minnesota’s client data tracking system. If they do not already use Workforce One, grantees must learn and commit to using the applicable system. DEED staff will provide training on utilizing the system.

Financial Reporting: Each month, grantees must prepare and submit Reimbursement Request Forms (RPRs) or Financial Status Reports (FSRs) to a grant administrator within DEED. RPRs or FSRs must accurately reflect expenditures, accruals and obligations consistent with rates of participation which grant administrators will be able to track.

Quarterly Progress Reports: Grantees are required to submit written progress reports quarterly until all grant funds have been expended and all of the terms in the grant agreement have been met, per [Office of Grants Management (OGM) Policy 08-09](https://mn.gov/admin/assets/grants_policy_08-09_tcm36-207116.pdf). Grant payments cannot be made on grants with past due progress reports unless DEED has given the grantee a written extension. A grant progress report summarizes grant activities and outcomes for each quarter. The progress report will include a written narrative, performance and financial elements, including goals and objectives, activities, outcomes, challenges, lessons learned and financial information. DEED will provide the template for these progress reports.

Fiscal & Program Monitoring: Annual monitoring reviews, including financial reconciliations, are required for grants per Office of Grants Management (OGM) policy [(Policy & Procedure Number 08-10)](https://mn.gov/admin/assets/08%2010%20grants%20policy%20revision%20Dec%202016%20final_tcm36-265657.pdf). DEED will contact the grantee (if needed) to alert if a follow up annual review is required. This may be a desk review by reviewing the previous electronic monitoring guide and report narrative, program outcomes, other changes, etc.

Closeout Reporting and Performance: DEED will generate a grant closeout evaluation for each grant, which will be made public under [Minnesota Statute 13.599](https://www.revisor.mn.gov/statutes/?id=13.599). DEED is required to consider a grant applicant’s past performance before awarding subsequent grants to them based on the data available for review in the grant closeout evaluation, per [Office of Grants Management (OGM) policy 08-13](https://mn.gov/admin/assets/grants_policy_08-13_tcm36-207120.pdf).

**Other Requirements:**

Applicants must also comply with all State and Federal requirements including but not limited to:

* Worker’s compensation,
* Affirmative action,
* Data privacy,
* Equal Employment Opportunity and
* The Americans with Disabilities Act (ADA), among other requirements
* Organizations receiving DEED funds may be assessed on whether or not unemployment insurance debt is owed

## APPENDX B: Relevant Policies

Employment and Training Division Policies are available at [DEED’s Policy and Guidance](https://apps.deed.state.mn.us/ddp/PolicyList.aspx) webpage. Please see the Adult (WIOA), Dislocated Worker and WIA Adult, Multi-Program Administration, and Administration and Operations sections for relevant program policies. Please also see the [U.S. Department of Labor’s WIOA Final Rules Resources](https://www.doleta.gov/wioa/Final_Rules_Resources.cfm) page for a list of relevant federal laws, guidance (TEGLs) and helpful information.

## APPENDIX C: General Definitions

**Administrative Costs:** Administrative costs are defined by WIOA Final Rules and Regulations ([20 CFR 683.215](https://www.law.cornell.edu/cfr/text/20/683.215)) and are generally associated with the expenditures related to the overall operation of the employment and training system. Administrative costs are associated with functions not related to the direct provision of services to program participants. These costs can be both personnel and non-personnel and both direct and indirect. Administrative costs should be reported using cost category 833 on RPRs/FSRs.

Specifically, the following are considered administrative costs:

* Accounting, budgeting, financial and cash management functions;
* Procurement and purchasing functions;
* Property management functions;
* Personnel management functions;
* Payroll functions;
* Audit functions;
* Incident reports response functions;
* General legal service functions;
* Costs of goods and services required for the administrative functions of the program including such items as rental/purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space;
* Systems and procedures required to carry out the above administrative functions including necessary monitoring and oversight; and,
* Travel costs incurred for official business related to the above administrative functions.

Assessments**:** Standardized academic assessments that meet the guidelines of the Minnesota Department of Education (MDE), ABE Office; and Minnesota State College and University System. ABE has approved the use of Test of Adult Basic Education (TABE) and the Comprehensive Adult Student Assessment System (CASAS). Minnesota State has approved the use of the Accuplacer and the ESL Accuplacer. All participants with less than a Bachelor's Degree must complete a math and reading assessment before being enrolled in training. In addition, all participants must complete skills and interest assessments before being enrolled in training. Assessments, whether staff-assisted or provided through a workshop, should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs. For more information, please see DEED’s [Assessment Requirements](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=431) policy.

**Career Services:** Career Services are defined by WIOA Final Rules and Regulations ([20 CFR 678.430](https://www.law.cornell.edu/cfr/text/20/678.430) and [20 CFR 680.100 – 195](https://www.law.cornell.edu/cfr/text/20/680.100)) and include eligibility determination, outreach and intake, initial skill assessments, job search and placement assistance, career counseling, workshops, recruitment, coordination of activities with other programs, job vacancy listings, work experience/internships, prevocational activities and work readiness activities. Career services include Basic Career Services, Individualized Career Services, and Follow-up Services. All types of career services should be reported together using cost category 857 on RPRs/FSRs. See DEED’s [Allowable Activities policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=495) for more information. Career Services activities include:

***Individual Plan Development***: The individual employment plan (IEP) is an individualized career service, under WIOA sec. 134(c)(2)(A)(xii)(II), that is developed jointly by the participant and career planner when determined appropriate for program participation. The plan is an ongoing strategy to identify employment goals, achievement objectives, and an appropriate combination of services for the participant to achieve the employment goals. Service providers must keep IEPs current to ensure all parties involved are accountable for their responsibilities. Training, support services, and individualized services cannot be incurred, obligated, or distributed until after the participant is enrolled AND the participant and employment counselor have signed and dated the IEP. Individual Plan Development should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs. Please see DEED’s [Individual Employment Plan (IEP) policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=411) for other requirements.

***Staff Assisted Assessments (also see “Assessments”)***: All participants with less than a Bachelor's Degree must complete a math and reading assessment before being enrolled in training. In addition, all participants must complete skills and interest assessments before being enrolled in training. Assessments should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs. For more information, please see DEED’s [Assessment Requirements](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=431) policy.

***Staff Assisted Job Search***: A counselor may assist the participant with job search and placement, including providing information on in-demand industry sectors and occupations and information on non-traditional employment. Staff Assisted Job Search should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs.

***Career Counseling***: Facilitated exploration of occupational and industry information that will lead to a first, new, or better job for the job seeker. This can include career planning, case management, individual or group mentoring performed by the counselor, and other one-on-one services to assist a participant during program participation. Career Counseling should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs.

***Work Experience***: An internship or work experience is a planned, structured learning experience that takes place in a workplace for a limited period of time. Internships and other work experience may be paid or unpaid, as appropriate and consistent with other laws, such as the [Fair Labor Standards Act](https://www.dol.gov/whd/regs/compliance/hrg.htm). An internship or other work experience may be arranged within the private for profit sector, the non-profit sector, or the public sector. Labor standards apply in any work experience setting where an employee/employer relationship, as defined by the Fair Labor Standards Act, exists. Work Experience should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs.

***Transitional Jobs*:** Transitional Jobs are a type of work experience, and provide a time-limited work experience, that is wage-paid and subsidized, and is in the public, private, or non-profit sectors for those individuals with barriers to employment who are chronically unemployed or have inconsistent work history, as determined by the provider. These jobs are designed to enable an individual to establish a work history, demonstrate work success in an employee-employer relationship, and develop the skills that lead to unsubsidized employment. Transitional Jobs are a type of Career Service, but are limited to 10% of a WDA’s total annual federal allocation (WIOA Dislocated Worker plus WIOA Adult), or 10% of the total yearly grant amount for SLIGs. Transitional jobs must be combined with comprehensive career services and supportive services. Transitional Jobs should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs.

***Pre-Vocational Services****:* Short-term services including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct services to prepare individuals for unsubsidized employment or training. In some instances pre-apprenticeship programs may be considered as short-term pre-vocational services. Workshops covering topics such as resume writing, interviewing techniques, online job searches, LinkedIn, networking, career exploration or interest assessments are examples of pre-vocational services. Job Clubs and Career Fairs are also considered pre-vocational services. Pre-vocational services should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs.

***Work Readiness Services/Workforce Preparation Activities****:* Are designed to help an individual acquire a combination of basic academic, critical thinking, digital literacy, and self-management skills. These include services that build competencies in:

* Utilizing resources;
* Using information;
* Working with others;
* Understanding systems;
* Skills necessary for successful transition into and completion of postsecondary education or training, or employment; and
* Other employability skills that increase an individual’s preparation for the workforce

Work Readiness Services are considered Career services unless they are part of an Integrated Education and Training Program, which is a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation for the purpose of educational and career advancement. Work Readiness Services include OSHA 10 trainings, CPR/First Aid classes, ServSafe® courses, basic computer classes, and other short-term courses that do not end in a credential and are not industry-specific. Work Readiness Services should be coded as Individualized Career Services and should be reported using cost category 857 on RPRs/FSRs.

**Cost per Participant:** Of those enrolled in the grant, the average cost for each participant in this grant. (Total Grant Amount / Total Participants)

**Direct Customer Training Services:** Training services, when determined appropriate, must be provided either through an Individual Training Account (ITA) or through a separate training contract. Training services must be provided by a provider listed on the [State Eligible Training Provider and Program List (ETPL)](https://mn.gov/deed/data/data-tools/career-education-explorer/) for federal funds, or must be Office of Higher Education (OHE)-compliant for state funds, unless the training is on-the-job training, customized training, and incumbent worker training, which are excluded under federal law and state policy. If any WIOA funds are used for any of participant’s activities, even if they are accessing state funds for training and WIOA funds for other services, the training must be listed on the ETPL per federal requirements. Direct Customer Training costs include any tuition, books, fees, on-the-job training reimbursements, participant wages & fringes, and other training services provided directly on the participant’s behalf. Staff costs cannot be paid for using Direct Customer Training cost code 838 and should be included under Career Services cost code 857 on RPRs/FSRs. See DEED’s [Allowable Activities policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=495) for additional requirements. Direct Customer Training Activities include:

***Classroom (Credentialed) Training*:** An organized program or course of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels and results in an industry-recognized credential when successfully completed. Credentials must recognize technology or industry/occupational skills for the specific industry/occupation rather than general skills related to safety, hygiene, etc., even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment. Classroom training should be coded as Direct Customer Training using cost code 838 on FSRs/RPRs.

Examples of what would **NOT** count as an industry-recognized credential/Classroom (Credentialed) Training:

* Continuing Education Units (CEUs)
* Disability Skills Training (Sign language, Speech Reading, cognitive training/retraining)
* On-the-Job Training (OJT) (does not result in a credential but is still a training activity)
* Certificates of Completion
* Work readiness certificates (e.g. completion of soft skills training)
* Workforce Development Board awarded certificates
* General skill certificates related to safety or hygiene, etc. (e.g. CPR, OSHA, ServSafe®)

***Customized Training***: Training that is designed to meet the specific requirements of an employer (including a group of employers) that is conducted with a commitment by the employer to employ an individual upon successful completion of the training and for which the employer pays a significant portion of the cost of training according to several criteria. For more information and requirements of Customized Training, see DEED’s [Customized Training and On-the-Job Training (WIOA) Policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=427). Customized Training should be coded as Direct Customer Training using cost code 838 on FSRs/RPRs.

***Incumbent Worker Training*:** To qualify as an incumbent worker, the individual worker needs to be employed in a situation that meets the Fair Labor Standards Act requirements for an employer-employee relationship, and have an established employment history with the employer for 6 months or more (or be part of a cohort of employees where the majority meet the 6 month requirement). An incumbent worker does not have to meet the eligibility requirements for career and training services for Adults and Dislocated Workers under WIOA, unless they also are enrolled as a participant in the WIOA Adult or Dislocated Worker program. State Dislocated Worker program funds can be used (up to 20%) to provide Incumbent Worker Training. Providers cannot use more than 20% of combined WIOA Dislocated Worker and WIOA Adult funds on Incumbent Worker Training during any program year (for example, if a provider receives $1.5M in WIOA Dislocated Worker funds and $500,000 in WIOA Adult funds, they may use up to $400,000 on Incumbent Worker Training. This amount can be divided among the two funding streams in any combination, so long as it totals no more than $400,000). Incumbent Worker Training should be coded as Direct Customer Training using cost code 838 on FSRs/RPRs. Incumbent workers who are not eligible for WIOA DW or WIOA Adult are not eligible to receive Support Services.

***Non-Credentialed Training***: An organized program or course of study that provides occupationally-specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at intermediate or advanced levels but does not result in an industry-recognized credential when successfully completed. Examples include, but are not limited to, Project Management Bootcamps, Agile Project Management Training, AutoCAD/Revit, CCNA Bootcamp, and advanced computer training (such as Java, Oracle, SQL, Adobe, Business Analytics, etc.). Non-credentialed training differs from Work Readiness and Pre-Vocational services, which are Career Services, because it provides occupationally-specific upskilling or retraining. Non-credentialed training should be coded as Direct Customer Training using cost code 838 on FSRs/RPRs.

***OJT Public or Private***: On-the-Job Training (OJT) is primarily designed to provide a participant with the knowledge and skills necessary for the full performance of the job. An OJT provides knowledge or skills essential to the full and adequate performance of the job, provides reimbursement to the employer of up to a percentage of the wage rate of the participant for the extraordinary costs of providing the training and additional supervision related to the training; and is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate. For more information and requirements of an OJT, see DEED’s [Customized Training and On-the-Job Training (WIOA) Policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=427). The OJT contract needs to be completed and signed/dated prior to the participant’s first day on the job. OJT Public or Private should be coded as Direct Customer Training using cost code 838 on FSRs/RPRs.

***Registered Apprenticeships***: Registered Apprenticeships provide a unique combination of structured learning with on-the-job training from an assigned mentor. Related instruction, technical training or other certified training is provided by apprenticeship training centers, technical schools, community colleges, and/or institutions employing distance and computer-based learning approaches. Registered Apprenticeship Programs are high-quality work-based learning and post-secondary earn-and-learn models that meet national standards for registration with the U.S. Department of Labor (or federal recognized State Apprenticeship Agencies). Minnesota is federally recognized and the [Department of Labor and Industry (DOLI)](https://www.dol.gov/featured/apprenticeship/faqs) oversees Minnesota’s program. Registered Apprenticeships should be coded as Direct Customer Training using cost code 838 on FSRs/RPRs.

**Eligible Training Provider and Eligible Training Provider List (ETPL):** All WIOA-funded training, whether credentialed or non-credentialed (paid for under cost category 838 on RPRs/FSRs) must be listed on Minnesota’s [ETPL](https://apps.deed.state.mn.us/lmi/cpt/home). If any WIOA funds are used for any of participant’s activities, even if they are accessing state funds for training and WIOA funds for other services, the training must be listed on the ETPL per federal requirements. For more information and additional requirements of the ETPL, see DEED’s [Eligible Training Provider List and WIOA Certification for Training Programs Policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=420).

**Exit:** A program exit occurs when a participant does not receive a service funded by the program or funded by a partner program for 90 consecutive calendar days and is not scheduled for future services. Activities/services such as self-service, information-only services, activities or follow-up services are excluded from determining an exit. After 90 days of not receiving any services, the exit date is retroactive to the last date of service.

**Subcontractor/Subrecipient:** Federal Uniform Guidance ([§200.330](https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=5528d556ba449ed239ab74e1383de82a&mc=true&n=sp2.1.200.d&r=SUBPART&ty=HTML#sg2.1.200_1329.sg5)) defines a subcontractor or subrecipient relationship as one that is characterized by responsibility for:

Carrying out a portion of award for a public purpose as specified in the authorizing statute

Eligibility determination

Performance measured relative to the objectives of the program

Programmatic decision making

Adherence to Federal program requirements

**Contractor/Vendor:** Federal Uniform Guidance ([§200.330](https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=5528d556ba449ed239ab74e1383de82a&mc=true&n=sp2.1.200.d&r=SUBPART&ty=HTML#sg2.1.200_1329.sg5)) defines a contractor or vendor relationship as one that is characterized by provision of:

Goods and services within normal business operations

Similar goods or services to many different purchasers

Goods or services that are ancillary to the operation of the program.

In addition, contractors/vendors usually operate in a competitive environment. Vendor examples include a supplier of photocopying equipment and maintenance of the equipment; a provider of payroll services; audit or legal consultants; and similar services.

**Support Services:** Services such as transportation, child care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in program activities. Support services are payments made to or on behalf of eligible participants for one-time or temporary services required to support the individual’s Employment Plan. WIOA Adult will only pay for expenses incurred while a participant is enrolled in the program and actively participating in authorized activities. Invoices must include dates of services. Support Services are not intended to meet every need of a participant. Rather, they provide temporary assistance. See DEED’s [Allowable Activities policy](https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=495) for additional requirements. Support Services should be recorded as cost code 828 on FSRs/RPRs.

**Workforce Innovation and Opportunity Act** [(**WIOA**)](https://www.doleta.gov/wioa/Final_Rules_Resources.cfm) is the federal law that replaced the previous Workforce Investment Act of 1998 (WIA) as the primary federal workforce development legislation to bring about increased coordination among federal workforce development and related programs.