Northwest Private Industry Council
November Meeting
Tuesday, November 1, 2016 5:30 PM (CDT)
NWRDC Office - Warren, MN

I. Introductions of Members & Guests

II. Additions/Deletions to the Agenda

III. Review Minutes of May 3, 2016 Meeting

IV. Local and Regional Planning

WIOA mandates that planning activities take place, including a new requirement for regional planning.

A. State Response to Local Plan

This was the response from DEED to the Local Plan submitted by NWPIC. The plan was approved, but the state has asked for clarifying information.

B. State Response to Regional Plan

The State did not approved the regional plan, however, none of the the six Regional Plans in the state were approved.

C. Ongoing Regional Planning

The Regional Team will meet on Thursday, November 10, in Mahomen to discuss next steps for Regional Planning and coordinating a response to the State's request. All LEO members are welcome to attend.

V. PY16 Budget

This Budget was approved by the Workforce Development Board on August 4, 2016. The budget also needs approval of the Joint Powers Board.

VI. Program Updates

A. State Monitoring Reports

These monitoring reports are done by the Minnesota Department of Employment and Economic Development.

B. Incumbent Worker Grant Program

The NWPIC Board authorized the use of 20% of the State DW PY15 training dollars to create an Incumbent Worker Grant program to assist businesses with the cost to train their existing workforce.

NORTHWEST PRIVATE INDUSTRY COUNCIL
LOCAL ELECTED OFFICIALS BOARD
May 3, 2016

Call to Order

The Local Elected Official Board meeting was called to order by Chairperson, Dr. Joe Bouvette at the Northwest Regional Development Commission in Warren, MN on Tuesday, May 3, 2016 at 5:33 P.M.

Attendance

LEO members present were Warren Strandell – Polk County Commissioner, John Lerohl, Red Lake County Commissioner, Oliver "Skip" Swanson – Pennington County, Gary Kiesow – Marshall County Commissioner, Dr. Joe Bouvette – Kittson County Commissioner; and Kimberly Johnson, NWRDC Board Member. Guests present were Kristine Anderson, NWPIC Executive Director, Carol Sorensen, NWRDC Financial Officer, and Cameron Fanfulik, NWRDC Executive Director.

Minutes

LEO Members reviewed the minutes from the February 2, 2016, meeting. A motion to approve the minutes was made by John Lerohl, and seconded by Warren Strandell, with all other LEO members in attendance approving this motion.

Workforce Innovation and Opportunity Act (WIOA) Updates

Kristine reviewed some of the major changes to the federal Workforce Development programs since the enactment of WIOA in the summer of 2014. Kristine reported on the Regional Planning Meeting between the NWPIC Board and the Board of Rural Minnesota Concentrated Employment Program which was held on March 3, 2016, in Mahnomen. This will be the first of multiple meetings related to regional planning over the course of the coming year.

Workforce Council Membership

Kristine explained the changes to the federal law and how that impacts board designation. She stated that there were three spots on the Workforce Development Board that need formal LEO approval. These names include: Edie Ramstad to represent Norman County Private Sector. Mrs. Ramstad is owner and President of We've Got Mallie, in Ada, MN. In addition, the newly designated positions representing Organized Labor and Apprenticeships is proposed to be filled by Erik Shulind, a Membership Development Representative for Local Union 1426 International Brotherhood of Electrical Workers, AFL-CIO. The third and final member for approval is Carey Castle, the Vice President at Northland Community and Technical College in Thief River Falls.

A motion to approve these positions as presented was made by Gary Kiesow. A second to this motion was made by Skip Swanson with all other LEO members in attendance approving this motion.

Update on Joint Power Agreements with County Boards

Kristine reviewed the exiting MOU with each of the seven counties and also reviewed the proposed changes for the Joint Powers agreement. These changes reflect naming changes, updates due to the WIOA legislation, and slight changes to the approval and nomination methodology. Kristine also presented the schedule for the upcoming visits to the County Board for their consideration of the Joint Powers Agreement. A motion to approve these documents as presented was made by John Lerohl. A second to this motion was made by Gary Kiesow with all other LEO members in attendance approving this motion

Local and Regional Plans

Kristine reviewed the final draft the 2016 local and regional plans. She explained that this plan is due to the State on May 13, 2016. A motion to approve these plans as presented was made by John Lerohl. A second to this motion was made by Skip Swanson with all other LEO members in attendance approving this motion

Adjourn

A motion to adjourn was made by Skip Swanson and the meeting was adjourned by Chairperson Dr. Joe Bouvette at 5:47pm.

Respectfully submitted,

Kristine Anderson
NWPIC Executive Director

Minnesota
Department of Employment and Economic Development

August 9, 2016

Mr. Leo Olson, Chair LWDB
310 Broadway NW
PO Box 190
McIntosh, MN 56556-0114

Dear Mr. Olson:

This letter serves as notification that your Local Plan for Program Years 2016 and 2017 has been provisionally approved. The provisional approval means that modifications are required and that funding is presently authorized. The provisional status will be removed after submission and acceptance of the modifications to the Local Plan as detailed in this letter.

The modifications to the Local Plan are due by October 14, 2016. Technical assistance will be provided upon request. Technical assistance requests should be address to Rick Roy at rick.roy@state.mn.us or (651) 259-7544.

Below you will find comments and specific detail regarding the requested changes that are due by October 14, 2016:

Section B:
Question 5: Please include youth in your response. In addition, also include information regarding your strategic approach.

Question 7: Please describe the coordination strategy outside of ICCC and the other community action organizations, i.e. counties, tribal institutions, etc.

Question 16C: State strategy is pending.

Question 16B: The response talks about needs. How will the needs be addressed?

Question 17: Include more information in regard to connecting the populations and types of services that the individuals need, using the labor market information.

Question 19: Please provide information on adult services.

Question 21: How will support services be coordinated?

Question 22: How will the coordination take place?

Question 23: How will the coordination of activities take place?

Question 28: Please provide information that addresses the coordination element of the question.

Question 30: Minnesota is compliant with an integrated technology-enabled case management information system.

Section C:

Question 3: Please include whether the DEED policy requirement "to identify the need for support services on the Individual Employment Plan and that support services are made available during the 12 month follow up period" are adhered to.

Section D: Questions 6 to 11: New guidance identifies a distinction between using the terms 'DVOPs' and/or 'LVERs". The term 'Veteran Staff' is no longer acceptable. In resubmitting, the suggested responses below have been approved by U.S. Department VETS. In addition, attached are two documents for your reference.

Question 6: The Minnesota Veterans Questionnaire is used to identify Veterans. We ask all customers that come to the WorkForce Center (WFC) if they ever served in the US Military. If the answer is yes, we ask them to complete the Veterans Questionnaire. Non-JVSG staff do the initial assessment/review of the questionnaire, and make appropriate referrals based on the responses on the questionnaire.

On-site signage helps the customers to self-identify themselves as U.S. Military members.

Question 7: Signage in the WFC advises Veterans and other eligible persons of Veterans Priority of Service (POS). Information on Priority of Service is also provided during various program orientations, from staff, and during workshops. LVER staff train and update local staff and management on the provisions of POS and PL 107-288.

Question 8: All websites associated with the WFCs provide information on and notice of Veterans Priority of Service.

Question 9: The Minnesota Veterans Questionnaire, a DOL approved standard process, is used to identify Veterans with a significant barrier to employment (SBE). The questionnaire identifies DOL designated SBE's per VPL 03-14, including change 2.

Question 10: This local area has identified partner staff (in each WFC) to provide services (including intensive services) to SBE Veterans in the absence of a DVOP. These staff have had training on serving Veterans via the NVTI Webinar "Helping Veterans to Meaningful Careers", and from LVER staff one on one, and during staff and partner meetings.

Section D:

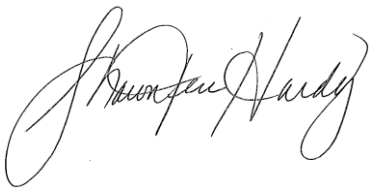
Questions 4 and 5: Local area does not need to wait for final WIOA regulations to have their Discrimination or Program Complaint process in place.

In addition to the abovementioned, please submit an updated WIOA Membership Roster. Please resubmit your local plan by October 14, 2016 to WSCO.Notifications@state.mn.us. Please note that Regional Plan actions will be provided in a separate communication.

The development of strong local WIOA plans is an integral component of implementing Minnesota's WIOA goals to expand career pathways, reduce employment disparities, and build industry-led sector partnerships. In order for Minnesota's workforce development system to meet the demands of our economy and move more people into prosperity, it must change and reform. Implementing WIOA presents a real opportunity to drive innovation and reform within Minnesota's workforce development system. We look forward to working with you to ensure your plan is the best it can be.

Thank you for your timely participation and cooperation throughout the planning process. The DEED team looks forward to working with you to move this work forward.

Sincerely,



Shawntera Hardy
Commissioner, MN Department of Employment and Economic Development

Cc: Dr. Joseph Bouvette, Kittson County Commissioner
Kristine Anderson, Workforce Development Area Director
Julie Sachs, JS Field Operations Area Manager
Roland Root, VRS Regional Manager - North

Minnesota
Department of Employment and Economic Development

August 9, 2016

Dr. Joe Bouvette
Board Chairperson, Northwest Regional Development Commission
Kittson County Board of Commissioners
127 5th Street NE
Hallock, MN 52277

Ms. Janet Green, Chair
Administrator
Emmanuel Community
1415 Madison Avenue
Detroit Lakes, MN 56501

Dear Region 1 Chief Elected Official(s):

Thank you for your leadership in the development and submission of a first-of-its-kind regional workforce development plan, as required by the Workforce Innovation and Opportunity Act (WIOA). It is clear that much work has been accomplished in the design of this draft plan that will help both your region and the state better meet the needs of Minnesota's jobseekers and businesses.

Minnesota's workforce development system faces some significant economic and demographic challenges. In this context, the opportunity to strengthen our workforce is critical. In order to compete in a rapidly changing economy and help all Minnesotans become more prosperous, we must innovate and improve our workforce development programs to meet the needs of our state today and in the future. Central to this innovation is implementation of WIOA.

While much work has been done, more planning and immediate action is required. This letter serves as notification that the proposed Regional Plan by the NWPIC and Rural Minnesota CEP, Inc., is not approved, due to incomplete responses. Below is a summary of the work that needs to be completed within six months of the receipt of this letter in order for your plan to be approved. In the coming weeks, DEED will meet with your regional leadership to discuss a strategy for making these modifications and for providing additional technical support to help you modify your plan.

Modifications to your Regional Plan are due to DEED by January 14, 2017. Technical assistance will be provided upon request. Technical Assistance requests should be addressed to Rick Roy at rick.roy@state.mn.us or 651-259-7544.

Regional Leadership Approach Goal

To create a regional leadership oversight group, led by the local area boards that includes a broader range of system stakeholders that are needed to address sector strategies to engage business leaders; and that address educational and employment disparities through direct engagement of impacted communities. (Q1-Q3) Sec. 106(c)(2), Sec. 106(c)(1)(G) and (2), Sec. 2 (1).

Action Required:

Local Board members, plus

- 1 elected official that represents a major city or county that currently is not on the joint powers board or workforce development board.
- 1 representative of a philanthropic organization that funds workforce, economic or community development activities, not currently on the workforce development board.
- 1 or more representatives of organizations serving communities experiencing disparate impact in educational or employment outcomes.
- 1 representative from a tribal community, if present within the region.
- 1 regional economic development representative.

To have performance measures regionally negotiated, based on regression analysis data. (Q4) Sec. 106(c)(1)(H).

Action Required:

- Each region identifies the individuals who will assess and propose recommended performance levels for the region and local areas, based on the State's negotiated levels of performance.

To increase alignment of system services within each region to promote consistency and efficiency through shared policies, practices and cooperative service agreements. (Q6-Q7) Sec. 106(c)(1)(B), Sec. 106(c)(1)(E).

Action Required:

- The creation of a MOU for the regional oversight and planning
- Identifying 3 specific "alignment" goals for the first year that will result in new policies or cooperative service agreements between the local boards.

Regional Strategic Approach Goals

To utilize regional information to assess the economy, the workforce and the workforce development system toward the goal of understanding the needs for creating business led sector partnerships and addressing inequities in educational and employment outcomes. (Q8-Q11) Sec. 106(c)(1)(D).

Action Required:

- Identify/name 1-3 occupational career pathways that lead to family sustaining wages
- Identify/name the targeted populations experiencing inequities in educational and employment outcomes

Area 1 – Sector Partnerships

To create 1-3 business led sector partnerships that establish career pathways for occupations in demand that lead to family sustaining wages for individuals experiencing inequities in educational and employment outcomes. (Q12-Q14) Sec. 106(c)(1)(C).

Action Required:

- Identify/name specific businesses who will be engaged in the sector strategy
- Identify/name the organizations who will represent targeted populations in the sector partnerships.
- Identify/name specific entities for education, training, support and others engaged in pathway design

Area 2 – Stakeholder Engagement

To have proactive engagement of communities and organizations that reflect and serve populations experiencing inequities in educational and employment outcomes. (Q15-Q17) Sec. 106(c)(1)(C/F), Sec 2 (1)(6), Sec. 106(c)(1)(B/C).

Action Required:

- Outline the specific roles and responsibilities of the communities and organizations in designing career pathways within the selected sectors.
- Identify/name how the specific entities for education, training and support will incorporate design strategies that reflect the needs of the selected/targeted populations.

Area 3 – Employment & Training Program Design

To modify the alignment and delivery of employment and training services based on career pathways model, utilizing the assets of the region and through leveraging the strategies and approaches identified in Areas 1 and 2. (Q18-Q20) Sec. 106(c)(1)(B/C)

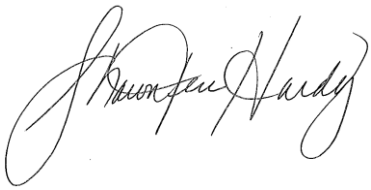
Action Required:

- Identify and articulate 1-3 strategies for improving the delivering “Career Services” among the one-stop system partners across the region.
- Identify and articulate 1-3 strategies for improving successful transitions to post-secondary education for the targeted populations.
- Identify and articulate 1-3 strategies for improving successful transitions to employment for the targeted populations.

The development of strong regional WIOA plans is an integral component of implementing Minnesota’s WIOA goals to expand career pathways, reduce employment disparities, and build industry-led sector partnerships. In order for Minnesota’s workforce development system to meet the demands of our economy and move more people into prosperity, it must change and reform. Implementing WIOA presents a real opportunity to drive innovation and reform within Minnesota’s workforce development system. We look forward to working with you to ensure your plan is the best it can be.

Thank you for your timely participation and cooperation throughout the planning process.

Sincerely,



Shawntera Hardy
Commissioner, MN Department of Employment and Economic Development

cc: Leo Olson, WIB Chair, Owner of Leo Olson Upholstery
Kristine Anderson, Executive Director Northwest Private Industry Council, Inc.
Carol Anderson, Executive Director Community Dev. Of Morrison County
Dan Wenner, Director Rural Minnesota CEP, Inc.

VIi

PY 2016 WIOA Adult Final Allocations *15 percent for statewide and administrative budget, 85 percent for service delivery*			
	Current Year (PY 2015) Allocation[3]	**PY 2016 Allocations**	Percent Change
For Minnesota Local Partners	$6,988,343	**$6,236,424**	-10.8%
Minnesota Total Allocation[1]	$7,764,825	**$7,336,969**	-5.5%
United States Total Allocation[1,2]	$1,232,978,000	**$1,238,186,000**	0.4%

[1] *Allocations were provided in TEGL 17-15, released on April 5, 2016.*

[2] *United States total allocation includes outlying areas.*

[3] *PY 2015 reduced statewide and administrative budget to 10 percent; WIOA returns the rate to 15 percent in PY 2016.*

PY 2016 WIOA Adult Final Allocations

15 percent for statewide and administrative budget, 85 percent for service delivery

Minnesota Local Partners	Current Year (PY 2015) Allocation[3]	PY 2016 Allocation	Percent change in allocation amounts	Share of Average of Preceding Two Years' Allocations	Share of PY 2016 allocation	Percent change in share	First Quarter Allotment PY 2016[3]	PY 2016 Remaining Allotment[3]
NW PIC	$194,482	**$163,105**	-16.1%	2.9%	**2.6%**	-10.0%	$20,770	$142,335
Rural MN CEP	$1,213,065	**$1,200,121**	-1.1%	17.5%	**19.2%**	9.8%	$152,821	$1,047,300
NE MN	$604,155	**$518,454**	-14.2%	7.6%	**8.3%**	9.8%	$66,019	$452,435
City of Duluth	$233,725	**$205,190**	-12.2%	3.0%	**3.3%**	9.8%	$26,129	$179,061
CMJTS	$669,577	**$566,524**	-15.4%	10.1%	**9.1%**	-10.0%	$72,140	$494,384
SW PIC	$196,288	**$164,237**	-16.3%	2.9%	**2.6%**	-10.0%	$20,914	$143,323
South Central	$245,800	**$200,865**	-18.3%	3.6%	**3.2%**	-10.0%	$25,578	$175,287
SE MN	$425,139	**$355,506**	-16.4%	6.3%	**5.7%**	-10.0%	$45,270	$310,236
Hennepin County	$501,133	**$409,463**	-18.3%	7.3%	**6.6%**	-10.0%	$52,140	$357,323
Minneapolis	$929,576	**$845,417**	-9.1%	12.4%	**13.6%**	9.8%	$107,654	$737,763
Anoka County	$325,588	**$282,175**	-13.3%	5.0%	**4.5%**	-10.0%	$35,932	$246,243
Dakota County	$363,406	**$308,892**	-15.0%	5.5%	**5.0%**	-10.0%	$39,334	$269,558
Ramsey County	$627,303	**$629,324**	0.3%	9.2%	**10.1%**	9.8%	$80,137	$549,187
Washington County	$171,392	**$143,715**	-16.1%	2.6%	**2.3%**	-10.0%	$18,300	$125,415
Stearns/Benton	$212,766	**$175,732**	-17.4%	3.1%	**2.8%**	-10.0%	$22,377	$153,355
Winona County	$74,948	**$67,704**	-9.7%	1.0%	**1.1%**	9.8%	$8,621	$59,083
Total available to Local Partners	$6,988,343	**$6,236,424**	-10.8%	100.0%	**100.0%**		$794,136	$5,442,288
Percentage Released, per DOL							12.7%	87.3%
Minnesota Total Allocation[1]	$7,764,825	**$7,336,969**	-5.5%				$934,277	$6,402,692
United States Total Allocation[1,2]	$1,232,978,000	**$1,238,186,000**	0.4%				$64,736,000	$709,857,000

[1] *Allocations were provided in TEGL 17-15, released on April 5, 2016.*

[2] *United States total allocation includes outlying areas.*

[3] *First quarter allotment to be released on July 1, 2016; Remaining allotment to be released on October 1, 2016.*

PY 2016 WIOA Dislocated Worker Assistance Final Allocations *15 percent for statewide and administrative budget, 15 percent for Rapid Response: 70 percent for service delivery*			
	Current Year (PY 2015) Allocation[3]	**PY 2016 Allocations**	Percent Change
For Minnesota Local Partners	**$5,416,073**	**$5,276,519**	-2.6%
Minnesota Total Allocation[1]	**$8,332,420**	**$7,537,884**	-9.5%
United States Total Allocation[1, 2]	**$1,232,978,000**	**$1,238,186,000**	0.4%

$0.00

[1] *Allocations were provided in TEGL 17-15, released on April 5, 2016.*

[2] *United States total allocation includes outlying areas.*

[3] *PY 2015 reduced statewide and administrative budget to 10 percent; WIOA returns the rate to 15 percent in PY 2016.*

PY 2016 WIOA Dislocated Worker Assistance Estimated Allocations

15 percent for statewide and administrative budget, 15 percent for Rapid Response: 70 percent for service delivery

Minnesota Local Partners	Current Year (PY 2015) Allocation[3]	PY 2016 Allocation	Percent change in allocation amounts	Share of Average of Preceding Two Years' Allocations	Share of PY 2016 allocation	Percent change in share	First Quarter Allotment, PY 2016[3]	PY 2016 Remaining Allotment[3]
NW PIC	$100,779	**$115,520**	14.6%	1.8644%	**2.19%**	17.4%	$18,255	$97,265
Rural MN CEP	$538,844	**$496,348**	-7.9%	9.8500%	**9.41%**	-4.5%	$78,434	$417,914
NE MN	$321,020	**$412,931**	28.6%	6.0199%	**7.83%**	30.0%	$65,253	$347,678
City of Duluth	$77,503	**$68,828**	-11.2%	1.4493%	**1.30%**	-10.0%	$10,876	$57,952
CMJTS	$587,381	**$513,636**	-12.6%	10.8160%	**9.73%**	-10.0%	$81,166	$432,470
SW PIC	$175,073	**$182,566**	4.3%	3.2710%	**3.46%**	5.8%	$28,850	$153,716
South Central	$254,939	**$223,259**	-12.4%	4.7013%	**4.23%**	-10.0%	$35,280	$187,979
SE MN	$399,467	**$348,499**	-12.8%	7.3386%	**6.60%**	-10.0%	$55,071	$293,428
Hennepin County	$814,455	**$1,032,833**	26.8%	15.0570%	**19.57%**	30.0%	$163,211	$869,622
Minneapolis	$393,226	**$343,591**	-12.6%	7.2352%	**6.51%**	-10.0%	$54,295	$289,296
Anoka County	$331,928	**$292,040**	-12.0%	6.1497%	**5.53%**	-10.0%	$46,149	$245,891
Dakota County	$489,611	**$430,453**	-12.1%	9.0643%	**8.16%**	-10.0%	$68,021	$362,432
Ramsey County	$486,125	**$425,329**	-12.5%	8.9564%	**8.06%**	-10.0%	$67,212	$358,117
Washington County	$195,420	**$172,133**	-11.9%	3.6247%	**3.26%**	-10.0%	$27,201	$144,932
Stearns/Benton	$205,849	**$180,446**	-12.3%	3.7998%	**3.42%**	-10.0%	$28,514	$151,932
Winona County	$44,451	**$38,106**	-14.3%	0.8024%	**0.72%**	-10.0%	$6,022	$32,085
Total available to Local Partners	$5,416,073	**$5,276,519**	-2.6%	100.0%	100.0%		**$833,810**	**$4,442,709**
Percentage Released, per DOL							15.8%	84.2%
Minnesota Total Allocation[1]	$8,332,420	**$7,537,884**	-9.5%				$1,191,157	$6,346,727
United States Total Allocation[1,2]	$1,232,978,000	**$1,238,186,000**	0.4%				$176,389,000	$1,056,589,000

[1] *Allocations were provided in TEGL 17-15, released on April 5, 2016.*

[2] *United States total allocation includes outlying areas.*

[3] *First quarter allotment to be released on July 1, 2016; Remaining allotment to be released on October 1, 2016.*

PY 2016 / SFY 2017 Minnesota Dislocated Worker Program Funding						
Minnesota Local Partners	SFY 2016 MN DW Final Allocation	SFY 2017 MN DW Final Allocation	Percent change in allocation amounts	Share of Average of Preceding Two Years' Allocations	Share of SFY 2017 allocation	Percent change in share
NW PIC	$205,283	**$245,787**	19.7%	1.9%	**2.19%**	17.4%
Rural MN CEP	$1,097,606	**$1,056,058**	-3.8%	9.8%	**9.41%**	-4.5%
NE MN	$653,906	**$878,576**	34.4%	6.0%	**7.83%**	30.0%
City of Duluth	$157,871	**$146,442**	-7.2%	1.4%	**1.30%**	-10.0%
CMJTS	$1,196,476	**$1,092,842**	-8.7%	10.8%	**9.73%**	-10.0%
SW PIC	$356,619	**$388,439**	8.9%	3.3%	**3.46%**	5.8%
South Central	$519,302	**$475,018**	-8.5%	4.7%	**4.23%**	-10.0%
SE MN	$813,701	**$741,487**	-8.9%	7.3%	**6.60%**	-10.0%
Hennepin County	$1,659,017	**$2,197,514**	32.5%	15.1%	**19.57%**	30.0%
Minneapolis	$800,987	**$731,044**	-8.7%	7.2%	**6.51%**	-10.0%
Anoka County	$676,127	**$621,362**	-8.1%	6.1%	**5.53%**	-10.0%
Dakota County	$997,320	**$915,856**	-8.2%	9.1%	**8.16%**	-10.0%
Ramsey County	$990,219	**$904,955**	-8.6%	9.0%	**8.06%**	-10.0%
Washington County	$398,063	**$366,240**	-8.0%	3.6%	**3.26%**	-10.0%
Stearns/Benton	$419,308	**$383,928**	-8.4%	3.8%	**3.42%**	-10.0%
Winona County	$90,545	**$81,077**	-10.5%	0.8%	**0.72%**	-10.0%
Total Available to Local Partners [1]	**$11,032,350**	**$11,226,625**	1.8%	100.0%	**100.0%**	

Revenue and Appropriations use revenue projections from May 16th collections and 2016 Session Law.

PY16	Total	NWPIC Admin	NWPIC Program		Contract to ICCC		Client Training	Client Supportive Services	Career Services
		10%	*5% youth; 12.5% other*		*Total*		*30%*	*7%*	*Staffing, Office; all other costs*
WIA Youth	182,196	18,219.60	9,109.80		154,867.2		49,628.11	7,096.00	98,143.092
WIA Adult	163,105	16,310.50	20,388.13		126,406.4		48,931.50	11,417.35	66,057.525
WIA DW	115,520	11,552.00	14,440.00		89,528.0		34,656.00	8,086.40	46,785.600
State DW	245,787	*24,578.70*	*30,723.38*		*190,484.9*		*73,736.10*	*17,205.09*	*99,543.735*
total	**706,608**	**70,660.80**	**74,661.30**		**561,286.50**		**206,951.71**	**43,804.84**	**310,529.95**

Northwest Private Industry Council - Historical Overview

Main Programs	2010	2011	2012	2013	2014	2015	2016	% change (2010-2016)
WIA Youth	436,651	379,796	331,034	286,203	260,659	218,229	182,196	58%
WIA Adult	387,735	330,937	365,898	254,254	234,234	194,482	163,105	58%
WIA DW	237,489	145,615	97,608	122,007	116,981	100,779	115,520	51%
State DW	264,441	218,582	229,009	196,006	220,279	205,283	245,787	7%
	1,326,316	**1,074,930**	**1,023,549**	**858,470**	**832,153**	**718,773**	**706,608**	47%
Admin (10% max)	132,632	107,493	102,355	85,847	83,215	71,877	70,661	
Programs	1,193,684	967,437	921,194	772,623	748,938	646,896	635,947	
Program Components								
Training (30-50%)	596,842	483,719	460,597	386,312	224,681	194,069	190,784	
Support (7-10%)	119,368	96,744	92,119	77,262	74,894	64,690	44,516	
Staffing Costs	477,474	386,975	368,478	309,049	449,363	388,137	400,647	

Administration Totals	2014	2015	2016	Notes
Salary Benefits	51,500.00	39,936.00	28,080.00	Change from 70% to 50% Exeutive Director Time
Accrued Vacation	3,348.00	2,595.84	1,825.20	*Previous Budget had*
FICA	3,940.00	3,055.10	2,148.12	*100% of Executive Director*
Unemployment Insurance	361.00	280.11	196.95	*Wages & Fringe to Admin*
Worker's Compensation	170.00	131.79	92.66	
Health Insurance (Includes Renewal rates)	6,084.00	4,428.00	-	Elimination of Health Insurance Benefit
Retirement	-		842.40	Addition of Retirement to Staff Benefit (3%)
Telephone	1,195.00	200.00	180.00	Phone is $30/mo - this is 50% of that cost
Postage	1,062.00	500.00	250.00	Increased use of e-mail and drop box
Dues and Registrations	2,949.00	2,949.00	750.00	50% of MWCA Dues ($1,500 total)
Audit	6,950.00	7,307.59	7,370.00	Depends on Recommendation of Audit Committee
Contract Service (Accounting)	8,125.00	8,125.00	8,125.00	Contract with ICCC for Accounting Services
Mileage - staff	2,000.00	2,000.00	1,944.00	(300 miles/mo @ 0.54/mi)
WIB - Meeting Expenses	9,149.00	1,500.00	1,500.00	Reflects Reduction of Meeting Refreshments + annual meeting meal
WIB - Mileage	5,893.00	2,400.00	2,400.00	Reflects Elimination of Youth Council
WIB - Per Diem	4,651.00	4,651.00	4,651.00	
Regional Planning			10,000.00	WIA Incentive and NEG program funds for Regional Planning Activities
Youth Council - Meeting Expenses		240.00	500.00	
Office Space	3,720.00	1,400.00	3,425.99	50% of total TRF WFC space costs; (In 2015 it was 20% of total)
Copier			1,800.00	50% of DEED Multi function Machine
Insurance	1,892.00	1,892.00	1,814.50	50% of total Premium of $3,629
Other Costs	1,253.00	500.00	1,959.00	2016 includes 2.5% contingency
Desktop Supplies	2,060.00	500.00	200.00	
Office Equipment	1,000.00	-	500.00	In case need new computer (50%)
Marketing	3,000.00	200.00	100.00	Website; brochures; etc
totals	120,302.00	84,791.43	80,654.83	
Funding for ADMIN		75,949.00	85,718.52	
Difference		(8,842.43)	5,063.69	

Proposed Program Budget	2014		2015	2016		Notes
Salary Benefits	105,040.00		117,624.00	28,080.00		Change from 3 FT staff + 20% of Exec Director to 50% ED time only
Accrued Vacation	6,868.00		7,645.56	1,825.20		
FICA	8,084.00		8,998.24	2,148.12		
Unemployment Insurance	741.00		825.01	196.95		
Worker's Compensation	349.00		388.16	92.66		
Health Insurance	13,727.00		13,727.00	0.00		Elimination of Health Insurance Benefit
Retirement (3% Employer match)	0.00		0.00	842.40		Addition of Retirement to Staff Benefit
Mileage	11,124.00		8,208.00	1,944.00		(300 miles/mo @ 0.54/mi)
Per Diem	1,600.00		1,600.00	500.00		Reduced all day training (10 days @ $50)
Telephone/Internet	2,200.00		1,000.00	180.00		Telephone - Reflects reduction of Crox Fee
Postage	1,884.00		900.00	300.00		Increased use of Dropbox and E-mail
Resource Area Materials	3,725.00		3,725.00	0.00		(MN Careers, Supplement, Misc)
Service Agreements (copier)	2,664.00		2,664.00	1,800.00		Move to Shared DEED Office
Marco - copier in Crookston	542.00		542.00	271.00		Copier lease ends in Dec 2016
Dues	0.00			750.00		50% of MWCA Dues ($1,500 total)
Registrations/Training - Program Staff	4,500.00		4,000.00	3,000.00		Training Expected in DC and Possibly Chiacago
Regional Planning - Training				3,500.00		WIA Incentive Program Funds
Assessment Tools	1,700.00		700.00	0.00		(Choices/CASAS assessments; Prev paid for two sites)
Client Tracking - ICCC	6,768.00		6,768.00	6,768.00		Contract currently with ICCC
Office Space - TRF	18,432.00		13,428.00	3,426.99		50% of total TRF WFC space costs
Office Space - Crookston	12,000.00		6,600.00	0.00		
Insurance	856.00		3,250.00	1,814.50		50% of total Premium of $3,629
Misc Costs	600.00		637.31	1,613.19		2016 includes 2.5% contingency
Desktop Supplies	2,424.00		500.00	500.00		
Outreach	4,000.00		2,500.00	4,300.00		Business Services Outreach/Small Business Conf.
Office Equipment	5,000.00		0.00	500.00		In case need new computer (50%)
Computer Security Software	500.00		100.00	100.00		
Programs Total	215,328.00		206,330.28	64,453.02		
PY15 Funding for NWPIC Programing			212,853.00	74,661.30		
Difference			6,522.72	10,208.28		

WIOA Youth PY16

Cost Category	Carryover From PY15**	New Funds Under WIOA	Total Funds Available	Estimated CUMULATIVE Quarterly Expenditures 4/1/2016 to 6/30/16	7/1/2016 to 9/30/16	10/1/2016 to 12/31/16	1/1/2017 to 3/31/2017
833 Administration (Cannot Exceed 10%)	18,098	18,219	36,317	9,079	18,159	27,238	36,317
WIOA Youth Program Financial Information							
841 In-School Youth Work Experience Wages/Fringe	17,962	25,047	43,009	10,752	21,505	32,257	43,009
825 Out-of-School Youth Work Experience Wages/Fringe	1,508	2,171	3,679	920	1,839	2,759	3,679
872 In-School Youth Work Experience Staff Costs	127	7,749	7,876	1,969	3,938	5,907	7,876
855 Out-of-School Youth Work Experience Staff Costs	43	1,252	1,295	324	648	972	1,295
874 In-School Youth Direct Services (Non-Work Exp.)	2,728	6,738	9,466	2,367	4,733	7,100	9,466
877 Out-of-School Youth Direct Services (Non-Work Exp.)	73,992	113,924	187,916	46,979	93,958	140,937	187,916
848 In-School Youth Support Services	1,090	1,252	2,342	586	1,171	1,757	2,342
862 Out-of-School Youth Support Services	4,391	5,044	9,435	2,359	4,718	7,077	9,435
860 In-School Youth Other Services	250	200	450	113	225	338	450
878 Out-of-School Youth Other Services	750	600	1,350	338	675	1,013	1,350
TOTAL:	$120,940	$182,196	$303,136	$75,784	$151,568	$227,352	$303,136

*** Waiver Request Included to Exceed 20% of PY15 Amt. as Carry Over to PY16*

Pct. Of Funds Expended on Out-of-School Youth (75 percent REQUIRED for PY 16):	75%	Total Out of School PY16 Funds: $122,991

VIII.

Minnesota
Department of Employment and Economic Development

July 18, 2016

Ms. Kristine Anderson, Executive Director
Northwest Private Industry Council
1301 Highway One E
Thief River Falls, MN 56701

Dear Ms. Anderson:

Enclosed please find the on-site monitoring report for the Program Year 2015 WIOA Adult Formula Program - Grant # 5013100. This report is the result of a monitoring visit that took place May 4, 2016 at the Thief River Falls WorkForce Center and the Inter County Community Council office in Oklee, Minnesota.

This report contains sections on General Description of Monitoring Activities, Significant Findings (including any corrective action), Comments/Recommendations, and Requests for Technical Assistance. The significant findings indicate that no corrective action is required at this time.

I would like to take this opportunity to thank you and your staff for their cooperation and assistance during the on-site monitoring visit.

Sincerely,

Steve Barker
State Field Representative/Program Monitor

Attachment

WORKFORCE INNOVATION OPPORTUNITY ACT (WIOA)
ADULT FORMULA
PROGRAM YEAR 2015
ON-SITE MONITORING REPORT

GRANTEE:	Northwest Private Industry Council (NWPIC)
FIELD REPRESENTATIVE:	Steve Barker
DATE OF VISIT:	May 4, 2016
PERSONS INTERVIEWED:	Kristine Anderson, Executive Director NWPIC
	Janet Halvorson, Finance Director Intercounty Community Council (ICCC)

I. GENERAL DESCRIPTION OF MONITORING ACTIVITIES

The purpose of the visit was to conduct a review of the Program Year 2015 (PY15) WIOA Adult Formula program - Grant # 5013100, to assure compliance with WIOA guidelines, Federal regulations, Minnesota Department of Employment and Economic Development (DEED) policies, and State statutes. The DEED WIOA Adult Formula Monitoring Guide formed the basis of the discussions in Thief River Falls, MN and the ICCC office in Oklee, MN.

Specifically reviewed were:
Targeting of services
Planning and coordination
Project participant, activity and performance standards
Reporting requirements
A sample of 8 participant files
Financial Reconciliation

Prior to the on-site visit a desk review was completed. Items reviewed included:
Program Year 2015 Work Plan and Modifications
Financial Status Reports (FSR)
Workforce One (WF1) Reports
- Demographic Summary
- Activity Summary and Detail
- Support Services Detail
- Exit Summary and Detail
- Long Term Participation Summary

Previous Monitoring Report

All documentation, notes and the review guide are on file in the Workforce Development Division in St. Paul, MN.

I. SIGNIFICANT FINDINGS

A. Corrective Action

No corrective action is required as a result of this on-site monitoring visit.

B. On-Site Review Summary

NWPIC was originally awarded funding of $194,482 to provide WIOA Adult Formula program services to 84 participants. On February 8, 2016, the Grantee was given approval to transfer $70,376 from its PY15 WIOA Dislocated Worker allocation to the WIOA Adult Program, making the total allocation $264,858.

NWPIC contracts with Intercounty Community Council (ICCC) to provide program and financial services for these grants. The grantee conducts internal financial and performance monitoring on a monthly basis.

Career services are provided at the DEED office in Roseau, the WorkForce Center in Thief River Falls, as well as ICCC offices in Crookston, Hallock, and downtown Thief River Falls. Follow up services are provided based on the needs of the individual participant for up to 12 months following successful exit from the program. Participants enrolled in job search are required to post their resume to MinnesotaWorks.net within two weeks of entering a job search activity. Classroom training participants must post their resume upon completion of their training program.

The need for intensive services is determined through an analysis of the applicant's application, a combination of written assessments, and a face-to-face interview. All information gathered is used to develop an Individual Service Strategy (ISS) for each participant. The ISS includes an agreed upon job goal and a detailed employment/training plan to achieve that goal. The Grantee utilizes the CASAS to determine reading and math ability, and the Career Transition (CT) Choices Inventory to assess interests.

Participants seeking funding for training must complete the Occupational Research Packet (ORP) in addition to the above assessments. Other factors evaluated in approving a training plan include the participant's work and educational background, available training options, and labor market information for the chosen job or occupation.

All participants approved for classroom training assistance are also required to apply for financial aid. Program staff work with individual schools to

coordinate all sources of training funds. Training Services are provided to participants through the use of Individual Training Accounts (ITA). A maximum dollar amount per participant is established for each semester, which is based on the overall training needs of enrolled participants and the approved training budget. There is no predetermined cap on the amount of funding for training services that a participant may receive over the length of their enrollment in the WIOA Adult Formula program.

The Eligible Training Provider List (ETPL) is currently made available to participants through the use of the Career Profile Tool developed by the DEED Labor Market Information (LMI) unit. The tool is utilized to identify training institutions that provide programs leading to recognized post-secondary credentials in high-demand occupations.

The Grantee provides priority for program services to veterans and spouses, individuals who are assessed as basic skills deficient, recipients of public assistance, and other low income individuals. The Grantee obtains proper documentation to verify status of the above categories.

The Grantee has established a policy that allows funding for support services when such funding is not available through other agencies and the participant can demonstrate financial need. The Grantee has established a $3,000 maximum per participant for support services covering the entire length of enrollment in the program. Program staff is required to document the need for support services in the participant file. Additionally, any individual support service request exceeding $500 must be approved by the NWPIC Executive Director. Supportive Services may be provided to participants for up to 12 months after successful exit from the program. The Grantee does not provide needs based payments.

Program counseling staff enters enrollments, status changes, and case notes into WF1. Accounting staff from ICCC enters all financial and support service information. NWPIC Administrative staff is responsible for all other WF1 data entry and report generation. The responsible staff person is expected to enter required data in a timely manner.

All NWPIC and ICCC staff received training on program definitions, policy, and WF1 data entry. Some training has also been provided on proposed WIOA regulations.

The Grantee is aware of the guidelines for the use of the Holding, Planned Extended Leave, and Partnering activities. The use of these activities is monitored by the Grantee on a monthly basis using WF1 reports. All program staff members are required to take appropriate measures to assure the security of all confidential information. Electronic data is stored and maintained in the WF1 system. The Grantee does not maintain a separate

database. The Grantee is aware of the six year record retention requirement; all exited participant records are currently being retained in a locked storage area at the ICCC office in Oklee, MN.

At enrollment, program participants are informed of their right to file a formal program or discrimination complaint. There have been no program or discrimination complaints filed by WIOA Adult program participants in PY15.

Performance Measures

The Grantee's WIA Adult Program performance measures were reviewed for compliance using the Futureworks Dashboard Report data as of April 15, 2016.

	Plan		Actual		% Achieved
Entered Employment	82.00%		56.25%		68.60%
Retention	86.00%		79.31%		92.22%
Average Earnings	$9,880		$15,931		161.24%
Credential	73.00%		66.67%		91.33%

The Grantee is currently achieving 90% or higher in three of the four performance measures. The Entered Employment measure is currently at 69% of goal.

Enrollment and placement progress was also reviewed using the WF1 Demographic Summary report through March 31, 2016.

	Overall Plan	Plan	Actual
	PY15	3/31/2016	3/31/2016
Total Served	84	66	34*
Terminations	50	29	13
Entered Employment	40	27	10
Other Terminations	10	2	3

*Total served includes 4 new enrollees in PY15.

The Grantee is significantly under-enrolled for PY15.

Financial Review

Financial expenditures were reviewed by comparing the approved program budget with the actual expenditures reported on the March 2015 FSR.

	Overall Plan	Plan	Actual
	PY 2015	3/31/2016	3/31/2016
Administration	$ 26,486	$ 11,667	$ 11,575
Career Services	$ 121,835	$ 37,341	$ 18,597
Direct Customer Training	$ 92,700	$ 46,676	$ 35,566
Support Services	$ 23,837	$ 9,335	$ -
Total	$ 264,858	$ 105,019	$ 65,738

The Grantee is underspent in all cost categories except Administration. This is due to the under-enrollment discussed above.

The need to improve the performance measure for entered employment, as well as the number of enrollments and associated spending was discussed with the Executive Director.

Financial Reconciliation

As mentioned earlier, the Grantee subcontracts for its accounting services through Intercounty Community Council in Oklee, MN. A financial reconciliation was completed using the FSR submitted for the month of March, 2016. Totals for each cost category of the FSR were reviewed against the general ledger to verify individual expenses. No discrepancies were noted.

Grant cash requests are generally submitted on a weekly basis for reimbursement of actual cash expenditures. The transaction report of the general ledger was reviewed for March 2016. No discrepancies were identified.

In addition, sample expenditures within the Administration, Career Services, and Direct Customer Training cost categories were traced back through the Grantee's general ledger system to the source documentation. No discrepancies were identified. All documentation was reviewed with the Grantee's Financial Director and will be retained and filed with this report.

Participant File Review

A participant file review was conducted on-site. A total of eight files were reviewed. Specifically reviewed was eligibility documentation, use of the ISS, data practices, documentation of core, intensive and training services, use of certified training providers, Individual Training Account (ITA) documentation, case notes and participant contact, program activity information, support services provided, and exit information. Required

documentation for enrollment and eligibility requirements was included in all participant files, and case notes showed regular counselor/client contact.

Findings:

- One file did not include a specific job goal supported by relevant labor market information.
- One file included a vague job goal on the ISS, and it was not clear how the approved training plan would lead to a specific in demand occupation.
- One file showed a support service payment of over $3,000 for a car repair. Although this is allowable according to the Grantee's policy, there was insufficient documentation in the file to justify a payment of this magnitude.

All findings were discussed with the Executive Director, who is working with counselors to correct the findings.

II. COMMENTS AND RECOMMENDATIONS

The Grantee is significantly under enrolled and under spent for PY15. Also, the Entered Employment performance measure is well below the established goal. Significant staff turnover and the recent transition to the subcontracting of program services has had an impact on program results. However, failure to show significant improvement in PY16 may result in corrective action.

III. REQUEST FOR TECHNICAL ASSISTANCE

Further technical assistance will be provided to the Grantee as needed to implement program changes and assist with modifications to program work plans and budgets.

Minnesota
Department of Employment and Economic Development

August 1, 2016

Ms. Kristine Anderson, Executive Director
Northwest Private Industry Council
1301 Highway One E
Thief River Falls, MN 56701

Dear Ms. Anderson:

Enclosed please find the on-site monitoring report for the Program Year 2015 WIOA Dislocated Worker Program - Grant # 5018000, and Program Year 2015 State Dislocated Worker Program- Grant 5018500. This report is the result of a monitoring visit that took place May 3, 2016 at the Thief River Falls WorkForce Center and the Inter County Community Council office in Oklee, Minnesota.

This report contains sections on General Description of Monitoring Activities, Significant Findings (including any corrective action), Comments/Recommendations, and Requests for Technical Assistance. The significant findings indicate that no corrective action is required at this time.

I would like to take this opportunity to thank you and your staff for their cooperation and assistance during the on-site monitoring visit.

Sincerely,

Steve Barker
State Field Representative/Program Monitor

Attachment

WORKFORCE DEVELOPMENT DIVISION
1st National Bank Building ▮ 332 Minnesota Street ▮ Suite E200 ▮ Saint Paul ▮ Minnesota 55101-1351
651-259-7515 PHONE ▮ 800-657-3858 TOLL FREE ▮ 651-215-3842 FAX ▮ 651-296-3900 TTY ▮ http://mn.gov/deed

AN EQUAL OPPORTUNITY EMPLOYER AND SERVICE PROVIDER

WORKFORCE INNOVATION and OPPORTUNITY ACT (WIOA) &
STATE OF MINNESOTA
DISLOCATED WORKER FORMULA
PROGRAM YEAR 2015
ON-SITE MONITORING REPORT

GRANTEE:	Northwest Private Industry Council (NWPIC)
FIELD REPRESENTATIVE:	Steve Barker
DATE OF VISIT:	May 3, 2016
PERSONS INTERVIEWED:	Kristine Anderson, Executive Director NWPIC Janet Halvorson, Finance Director Intercounty Community Council (ICCC)

I. GENERAL DESCRIPTION OF MONITORING ACTIVITIES

The purpose of the visit was to conduct a review of the Program Year 2015 Workforce Innovation and Opportunity Act (WIOA) and State Dislocated Worker (DW) Formula Programs - Grant #'s 5018000 and 5018500, to assure compliance with WIOA regulations, Minnesota Department of Employment and Economic Development (DEED) policies, and State statutes. The DEED Dislocated Worker Formula Monitoring Guide formed the basis of the discussions in Thief River Falls and Oklee, Minnesota.

Specifically reviewed were:
Targeting of services
Planning and coordination
Project participant, activity and performance standards
A sample of 11 participant files (5 WIOA, 6 State)
Financial Reconciliation

Prior to the on-site visit a desk review was completed. Items reviewed included:

Program Year 2015 (PY15) Project Plans and Modifications
Financial Status Reports (FSR)
Workforce One (WF1) Reports
- Demographic Summary
- Activity Summary and Detail
- Exit Summary and Detail
- Support Services Detail
- Long Term Participation

Previous Monitoring Report

All back-up documentation, notes and the Review Guide are on file at the DEED Workforce Development Division (WDD) office in St. Paul, MN.

II. SIGNIFICANT FINDINGS

A. Corrective Action

No corrective action is required as a result of this on-site monitoring visit.

B. On-Site Review Summary

For PY15, NWPIC was allocated $100,779 to serve 35 WIOA DW Formula participants. The grant was modified in February, 2016, and included a transfer of $70,376 to the WIOA Adult Formula Program, leaving $30,403 to serve 8 WIOA DW participants. For the PY15 State DW Formula program, the Grantee received $205,283 to serve 42 participants.

NWPIC contracts program and financial services through Intercounty Community Council, and currently conducts monthly desk reviews of spending and performance. The Grantee indicated that they will begin scheduling regular program file monitoring in PY16.

Dislocated Worker Program eligibility is documented by obtaining a lay-off letter or unemployment insurance eligibility information from program participants. When no other documentation is available, a public announcement of a plant closure is utilized. Documentation showing long term unemployment is also accepted.

The need for intensive services is determined through an analysis of the individual's application, a combination of written assessments, and a face-to-face interview. All information gathered is used to develop an Individual Service Strategy (ISS) for each participant. The ISS includes an agreed upon job goal and a detailed employment/training plan to achieve that goal. The Grantee utilizes the CASAS to determine reading and math ability, and the CT Choices Inventory to assess interests.

Participants seeking funding for training must complete an occupational research packet in addition to the above assessments. Other factors evaluated in approving a training plan include the participant's work and educational background, available training options and labor market information for the chosen job or occupation. Participants approved for classroom training assistance are also required to apply for financial aid. Training Services are provided to participants through the use of Individual Training Accounts (ITA). There is no overall maximum limit on the amount of training funds that can be allocated to a training participant over the length of their enrollment. A maximum dollar amount per participant is established for

each semester, which is based on the overall training needs of enrolled participants and the approved training budget.

Support Services are allocated based on individual need which must be documented and included in the participant file. The maximum cumulative amount a participant may receive for support services is $3,000 for the duration of their enrollment in the program. Participants who exit the program to unsubsidized employment are eligible to receive follow up services (including support services) for up to twelve months after their exit date.

At enrollment, program participants are informed of their right to file a formal program or discrimination complaint. There have been no program or discrimination complaints filed by Dislocated Worker participants in PY15.

Program Performance

The Grantee's Dislocated Worker Program performance measures were reviewed for compliance using the Futureworks Dashboard Report data as of April 15, 2016.

WIOA DW					
	Plan		Actual		% Achieved
Entered Employment	85.00%		83.33%		98.04%
Retention	92.50%		81.82%		88.45%
Average Earnings	$14,516		$18,546		127.76%
Credential	69.00%		25.00%		36.23%

STATE DW					
	Plan		Actual		% Achieved
Entered Employment	85.00%		80.00%		94.12%
Retention	92.50%		100.00%		108.11%
Average Earnings	$14,516		$12,936		89.12%
Credential	69.00%		33.33%		48.30%

The Grantee is significantly below the established goal for Credential attainment in both the WIOA and State DW programs. A later review of the Dashboard Report dated July 18, 2016 did not show any changes in the Credential Performance measures.

Enrollment and placement data was reviewed using the WF1 Demographic Summary reports through June 30, 2016, and the currently approved program plan.

WIOA DW Formula	Plan	Actual	Percent
	6/30/2016	6/30/2016	of Plan
Total Served	7	12	171%
Terminations	5	6	120%
Entered Employment	4	5	125%
Other Terminations	1	1	100%

State DW Formula	Plan	Actual	Percent
	6/30/2016	6/30/2016	of Plan
Total Served	66	31	47%
Terminations	33	14	42%
Entered Employment	28	9	32%
Other Terminations	5	5	100%

The Grantee is significantly under enrolled in the State DW program. NWPIC has experienced significant staff turnover and recently began contracting with a new service provider. Plans are in progress to increase outreach and placement efforts.

Financial Review

Expenditures were reviewed for the WIA and State PY14 DW Formula Programs using the June, 2016 FSR's.

WIOA DW	Plan	Actual
	6/30/2016	6/30/2016
Administration	$ 2,903	$ 2,903
Career Services	$ 15,000	$ 6,429
Direct Customer Training	$ 9,500	$ -
Support Services	$ 3,000	$ -
Total	$ 30,403	$ 9,332

State DW	Plan Total	Plan	Actual
	PY 2015*	6/30/2016	6/30/2016
Administration	$ 20,528	$ 16,770	$ 15,377
Career Services	$ 88,651	$ 72,449	$ 12,632
Direct Customer Training	$ 75,467	$ 60,373	$ -
Support Services	$ 20,637	$ 18,112	$ -
Total	$ 205,283	$ 167,704	$ 28,009

*Approved program budget plan shows all PY15 funds to be spent by 12/31/16.

Financial results show that 49% of WIOA DW expenditures, and 79% of State DW expenditures have been in the Administration cost category. These percentages far exceed the contractual 10% limitation. Direct Customer Training and Support Services spending in both programs must increase significantly in order to meet cost category guidelines.

Financial Reconciliation

The Grantee subcontracts for its accounting services through Intercounty Community Council in Oklee, MN. For both the WOIA and State DW Formula programs, a financial reconciliation was completed using the month of December, 2015. Totals for the Administration and Career Services cost categories of the FSR's were reviewed against the general ledger to verify expenses. No discrepancies were noted. There were no Training or Support Services charged to this grant in December, 2015 (Grant expenses for these categories are still being charged to the PY14 grant).

Grant cash requests are generally submitted on a weekly basis for reimbursement of actual cash expenditures. The transaction reports for December, 2015 were reviewed and no discrepancies were identified.

For both grants, sample transactions were traced back through the Grantee's general ledger reports to the source documentation, and no discrepancies were identified. All documentation was reviewed with the Grantee's Financial Director and will be filed with this report.

Participant File Review

A participant file review was conducted on-site. A total of 11 files were reviewed; five from the WIOA DW Formula Program, and six from the State DW Formula Program. Specifically reviewed was eligibility documentation, use of the ISS, data practices, documentation of career and training services, use of certified training providers, ITA documentation, case notes and 30 day contact, program activity information, supportive services provided, and exit information.

Findings:

- One WIOA DW file that was reviewed showed that the participant had received a credential as a Licensed Social Worker (LSW) after relocating to Florida. The Grantee was informed that they could enter a "Credential Obtained without Training" activity into WF1. A follow up review of the participant WF1 case notes showed that the individual has been employed for nearly five months. The counselor has been attempting to obtain proper documentation to provide housing assistance using support service funds. The Grantee was advised to

exit the individual to unsubsidized employment in order to achieve entered employment and credential achievement measures. They were also reminded that follow up support services can be provided for up to twelve months after successful exit from the program.

- One State DW participant file did not include acceptable documentation of Unemployment Insurance eligibility. Efforts to obtain this information from the participant were unsuccessful. Eligibility was eventually confirmed by the monitor. The Grantee was informed that eligibility documentation must be obtained prior to program enrollment. Failure to do so may result in disallowed program costs.

- One participant was incorrectly entered into a WF1 Classroom Training Activity for a Project Management Certification preparatory class. Because the certification was never obtained, the Credential performance measure will be negatively impacted.

All findings were discussed with the Executive Director, who will inform and work with Intercounty staff to correct the findings.

III. COMMENTS/RECOMMENDATIONS

As addressed above, the Grantee's PY15 State DW program is under enrolled, and both WIOA and State programs are significantly under spent in Direct Customer Training and Support Services. Also, the Credential Achieved performance measure is well below the established goal for both programs. It is acknowledged that significant staff turnover and the recent transition to the subcontracting of program services to ICCC has had an impact on program results. However, failure to show significant improvement in these areas for PY16 may result in corrective action.

IV. REQUEST FOR TECHNICAL ASSISTANCE

Technical assistance and training will be provided to the Grantee as needed.

Incumbent Worker Training Program

A Business-Driven Workforce Solution made possible by the

Northwest Minnesota Workforce Development Board/
Northwest Private Industry Council (NWPIC)

The NWPIC Incumbent Worker Training Program (IWTP) is a workforce training program designed to provide direct financial assistance to businesses to train current employees, with the ultimate goal of enhancing the economic competitiveness of regional businesses. The program is intended to offset a portion, via reimbursement, of the businesses' costs to train and upgrade the skills of its incumbent (existing) workers.

The program will provide reimbursement grants to eligible businesses for specific training costs accrued during the course of training. Eligible businesses must demonstrate that by receiving funding assistance through the program that their business will not only improve the skills of their workforce but also improve their business processes and competitiveness.

Who is an eligible business for the Incumbent Worker Training Program?
An eligible business must be located in Minnesota and must be registered with the Minnesota Secretary of State's office as a(n): association, corporation, LLC, partnership, nonprofit, government entity, including school districts, or sole proprietor. This entity must be in continuous operation for 18 months, immediately prior to the application submittal. Businesses are encouraged to provide training to a group of employees and not individual training, although the number of employees in the company will be taken into consideration.

Companies that are in the process of a layoff are not eligible for the IWTP. If a layoff occurs in a company while they have an open IWTP grant, the current workers will be able to complete the training. A group of employers who need the same training for their workers may submit a joint application.

Only one application per business (based upon FEIN#) will be accepted per program year (July 1 – June 30). If a business has multiple sites, those sites must work together to submit one application. An application may include multiple sets of employees and multiple training courses. Businesses administering a current Minnesota Job Skills Partnership (MJSP) award, or similar grant, are not eligible to receive NWPIC IWTP funds.

Who is an eligible employee for the incumbent worker?
An incumbent worker is a person who is currently employed and could benefit themselves and their employer by upgrading their skills through educational and training opportunities. Employee must be at least 18 years of age, working at least 32 hours per week for at least 6 months with the business, committed to attendance at all trainings and cooperate with data collection requirements.

What is the amount of the training grant?
Incumbent worker training funds are limited, and are therefore awarded in a competitive bid process. The maximum award per grant, per year, is $10,000.00, and the initial training agreement duration must be completed by June 30, 2017. **maximum award may be adjusted based upon funding availability each program year.*

What is the employer's responsibility?
The business (or small group of employers) must complete an Incumbent Worker Training Program application to be considered for a grant.

Businesses will be required to provide a portion of the training costs dependent upon the size of the business and number of employees (e.g., instructors' wages, curriculum development, and training manuals/textbooks) either through direct cost contribution or in-kind contribution:

- At least 10 percent of the cost, for employers with 50 or fewer employees;
- At least 25 percent of the cost, for employers with 51 to 100 employees; and
- At least 50 percent of the cost, for employers with more than 100 employees.

The business must disclose In-kind contributions. Examples of in-kind contribution, ***in addition to any direct costs*****,** may include expenses associated with the use of space and equipment during the training project and trainee wages (including benefits) of employees during training.

The business will keep accurate records of the project's implementation process and certify that all information provided, for the purpose of requesting reimbursements and reporting training activity, is accurate and true, including evidence that the business has paid the training expenses in accordance with the terms of the agreement prior to requesting reimbursement of allowable training costs. If applicable, the business will submit monthly reimbursement requests, with required support documentation, to NWPIC.

All IWTP grants are subject to federal Workforce Innovation and Opportunity Act (WIOA) and State Dislocated Worker Program reporting requirements and performance standards. All training sessions must have signed attendance sheets or digital confirmation of attendance. The business must submit to NWPIC copies of all credentials, certificates of completion, or other documentation of the employee's participation within 30 days of the end of training to be considered eligible for reimbursement.

What is the responsibility of NWPIC?
NWPIC will review the proposal from the individual employer(s) and notify the employer(s) of the award.

Once a grant is awarded, NWPIC staff will track all participants using the Workforce One database and follow all required state and federal statutes. NWPIC is responsible for collecting attendance sheets of training, training assessments or "tests" given if employees attend a workshop or seminar, and certificates of completion/ credential. NWPIC will assign its staff to provide follow-up services with the business to ensure the training plan is being fulfilled.

Who can provide training and what activities are included?
Public or private educational institutions, trade associations, community-based organizations, economic development agencies, unions, or government agencies may provide incumbent worker training, and training can be conducted at the business's own facility, at the training provider's facility, or at a combination of sites.

Training must be skills-based and must result in a certificate or accreditation for the employee; training should result in improved productivity, efficiency, or an increase in the employee's existing wages.

Training opportunities should expand and improve an employee's workforce skills and develop his or her opportunities for growth or promotion within the company (or a future company.) The business (or the employee with the employer's approval) will select the training provider. It may be a public or private trainer.

All proposals must show an end date that completes training by June 30, 2017. All training should have specific start and end dates.

The Incumbent Worker Training Program does not limit the kinds of training that businesses may request. Training may include industry or business-specific skills, technical and computer skills, and/or "soft skills," such as leadership and management training. NWPIC strongly encourages training programs to be accredited by the

American National Standards Institute (ANSI), which can be found on the Career One Stop website (http://www.careeronestop.org/credentials/toolkit/find-certifications-help.aspx.) The ANSI provides information about a variety of different types of certifications, including, but not limited to, Career and Technical Education, Industry-endorsed, Job Corps Training, Military Occupational Specialties, and the National Commission for Certifying Agencies (NCAA.)

The following are examples of the types of training that would be acceptable:

- Training to gain or maintain an ANSI-recognized certificate/credential.
- Human Resource (HR) Certification (e.g., PHR, SPHR, GPHR, or SHRM). Please note that an HR training credential must be attained and a copy of the certification will be sent to NWPIC within 30 days of completion.
- CD-10 training – training that teaches coding professionals how to become proficient in the ICD-10-CM and ICD-10-PCS coding or other similar systems.
- Training for improved process efficiency as identified by industry professionals.
- Training from a national, regional, or state trade association that offers an independently certified training curriculum and testing.
- Training provided in conjunction with the purchase of a new piece of equipment.
- Upgrade of computer skills (e.g., Microsoft Excel, Access).
- Seminars/workshops/webinars are eligible, however, they must have an assessment or "test" tied to it to be eligible for this program. ***Businesses must indicate in the application what assessment of skills is included for this type of training to justify it will improve economic competitiveness.*** Failure to include this may exclude the application from consideration.
- English Language Learning for managers or staff to enable them more effectively communicate with limited English employees.

These are examples of the types of activities that would ***not*** be covered by this grant; this is not a definitive list:

- Required/regulatory training – training mandated by any other public agency or department is not eligible. These trainings may include, but are not limited to, EPA, Hazardous Waste, FDA, Workers Compensation, OSHA, etc.
- Training costs associated with professional fields in which continuous education is necessary to retain professional certification, such as Certified Public Accountants, degreed medical professionals, insurance providers, attorneys, etc.
- Training which would result in advanced degrees such as associate, bachelor, master, or doctorate.
- Incumbent Worker training already being reimbursed by another state or federal training program (e.g., Minnesota Job Skills Partnership grants, National Emergency Grants, etc.).
- Training that leads to a professional license (e.g., doctors, lawyers, CPA accountants, etc.).
- Employee travel, food, or lodging costs related to program participation.
- Wages of trainees while being trained.
- Purchases of capital equipment or other durable (long lasting/reusable) training materials/equipment.
- Training in sectarian activities.

How does a business apply for funding?
Complete the attached eligibility checklist and application and submit it to:

Kristine Goddard-Anderson, NWPIC Executive Director
1301 Hwy 1 East
Thief River Falls, MN 56701
Phone: 218-683-8074
e-mail: kanderson@nwpic.net

Northwest Minnesota Workforce Development Board
Northwest Private Industry Council (NWPIC)

INCUMBENT WORKER TRAINING PROGRAM - ELIGIBILITY CHECKLIST

This form is intended to serve as a general guideline to help you, the business, determine if you should complete a grant application on behalf of the business. Meeting the following conditions does not guarantee eligibility or a grant award.

Business Eligibility

The business must meet all of the following to apply for an Incumbent Worker Training grant.

- ☐ Located in Minnesota.
- ☐ Registered with the Minnesota Secretary of State's office as a(n): association, corporation, LLC, partnership, nonprofit, government entity, including school districts, or sole proprietor
- ☐ Be in continuous operation for 18 months immediately prior to the application submittal.
- ☐ Not in the process of a layoff.
- ☐ Preference given for sector-based occupations including: manufacturing, healthcare, transportation, IT, natural resources, and professional business services.
- ☐ The business will match the grant with cash or in-kind contributions at the required level.
- ☐ Demonstrate that its training needs cannot be met alone.

Employee Eligibility

An eligible employee is someone who is directly employed by the company at a facility located within Minnesota and meets the following requirements:

- ☐ Employee is 18 years of age.
- ☐ Working at least 32 hours a week for over 6 months with the same employer.
- ☐ Earning an hourly wage above the state minimum wage.
- ☐ Committed to attend all scheduled training and cooperate with data collection requirements.

Project Eligibility

The training project must meet all of the following conditions to be eligible for funding.

- ☐ The business has discussed the project with NWPIC staff and can demonstrate that its training needs cannot be met alone.
- ☐ The training is with an eligible training provider and leads to an industry recognized credential.
- ☐ The business will match the grant with cash or in-kind contributions at the required level.
- ☐ Training will begin within six months of award and will be completed no later than June 30, 2017.

Northwest Minnesota Workforce Development Board
Northwest Private Industry Council (NWPIC)

INCUMBENT WORKER TRAINING PROGRAM - APPLICATION

Section 1. Business Applicant Information

Business Legal Name:	Parent Company Name (if applicable):	
Street Address:	Primary Business Contact Name:	
Street Address Line 2:	Business Contact Title:	
City/State/Zip:	Business Contact E-mail:	
Mailing Street Address (if different):	Business Contact Telephone:	
Mailing Street Address Line 2:	Minnesota Tax ID:	
Mailing Address City/State/Zip:	FEIN:	
County:	Primary NAICS Code for Project Location:	
Website:	Date of Inception:	Years in Business:

Legal Structure of Business:	
☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ Association ☐ Nonprofit ☐ LLC ☐ Government Entity ☐ Other: _____	
Is your business receiving/applying for any other training funds? ☐ Yes ☐ No If yes, please list the name of the program or type of grant: _____	
Name of grant: Year award was received:	Amount of award: Year training was complete:

Does the business have any outstanding local, state or federal tax liabilities? If yes, describe:	☐Yes ☐No
Are there current or unsatisfied judgments or injunctions against the business or owners? If yes, describe:	☐Yes ☐No
Is there current or pending litigation involving the business? *If yes, attach summary and disposition.*	☐Yes ☐No
Within the past five years, have there been any violation(s), citation(s), or complaint(s) of discrimination filed against the company in a state or federal court or before any state, federal, or local government agency? *If yes, attach a copy of the violation(s), citation(s), or complaint(s), and the disposition of each.*	☐Yes ☐No

Section 2. Training Project Information

Part A. Business/Project Description
Description of the proposed training project: Prepare a brief summary of the program. The summary must include the following: 1. Description of the educational/training component 2. Number of trainees to be served including job titles, departments 3. Training provider details including provider name, number of hours of training, cost of instruction/tuition, type of training to be provided, resulting certifications 4. Anticipated start and end date of the training
Example: Vendor Training Provider *(5) Plastics Operators, Production Department, and Course Name: How to make plastic, number of hours – 28 hours, Training Provider: Society of Plastics Industry via satellite downlink at company site.* *$500 per trainee = $2,500.00 (course cost) National Certification in Plastics – NCP Certified Operator*

Section 3. Training Project Detail

Trainee Name	Date of Birth	Social Security Number (last 4 digits)	Position Title	Current Wage	Dates of Training

Section 4. Training Program Budget

Grant will not pay for costs in shaded areas. Use in-kind or matching dollars.

A. Budget Category	B. Total Costs	C. Incumbent Worker Training Funds Requested	D. Employer Contribution * *(B-C)*
1. Instructor Wages/Tuition Required Field ***(This information should reconcile with Section 2, Training Project Information.)*** *Example: Column B should be the total cost of the training in Section 3: 1) How to make Plastic $500 x (5) = $2,500 2) New Visions $35/hr x 24 hrs = $840 TOTAL COSTS =* ***$3,340***			
2. Curriculum Development (include calculation of costs in section III)			
3. Manuals/Textbooks (itemize in section III) *Example: Column B should be the total cost of the manuals in Section 3: (10) New Vision Manuals @ $30 each =* ***$300***			
4. Training Equipment Purchase (must be employer contribution)			
5. Other Costs (e.g.,. copies, DVDs,) a) _____ b) _____			
6. Facility Usage (if some training takes place at company site, then this is a Required Field)			
7. Travel, Food, Lodging (if some training takes place off site, then this is a Required Field)			
8. Sub Total			
9. Trainee Wages Required Field (including benefits)			
10. Indirect Costs			
11. GRAND TOTALS Required Field			

NWPIC use only: **IWT Cost per Trainee = Line 11, Column C divided by Number of Trainees Required Field** **Employer Contribution Ratio = Line 11, Column D divided by Line 11, Column C Required Field**
*Note: **Businesses will be required to provide a portion of the training costs, dependent upon the size of the business and the number of employees it has (e.g., instructors' wages, curriculum development, and training manuals/textbooks).** Examples of employer contribution, ***in addition to the direct costs*****,** may include wages paid to trainees during the training period, equipment purchased to be used in the training project, manuals and textbooks, curriculum development, facility usage and travel.

Section 5. Expected Outcomes

Describe the expected outcomes of the training, including any expected measurable outcomes. Also describe the impact the program is expected to have on the businesses' ability to expand.
**Note: Businesses will be required to demonstrate in their expected measureable outcomes, increased wages for the trainee within one year of successfully completing training.*

Section 6. Business Acknowledgement and Certification

Data Privacy Acknowledgement

Tennessen Warning Notice: Per MN Statutes 13.04, Subd.2, this data is being requested from you to determine if you are eligible for an award under the NWPIC Incumbent Worker Training Program. You are not required to provide the requested information, but failure to do so may result in NWPIC's inability to determine your eligibility for an award. The data you provide is classified as private or non-public and cannot be shared without your permission except as specified in statute.

Data Privacy Notice: Per MN Statutes 13.591, Subdivision 1, certain data provided in this application is private or non-public data. This includes financial information about the business, including credit reports, financial statements, net worth calculations, business plans, income and expense projections, balance sheets, customer lists, income tax returns, and design, market, and feasibility studies not paid for with public funds.

Business Certification

I have read the above statements and agree to supply the information requested to NWPIC with full knowledge of the information provided herein. I certify that all information provided herein is true and accurate and that the official signing this form has authorization to do so.

Name of Business Official: _____

Title: _____

Signature: _____

Date: _____