

ATTACHMENT A

A. Required Performance:

1. Active (OSY) Caseload per Full-Time Equivalent (FTE) Navigator

- 100% of registered participants who are active at any one time shall be Out-of-School Youth (OSY) as defined by WIOA
- Per FTE Navigator(s) must maintain OSY minimum of 25 active caseload registered participants, not including youth receiving follow-up services.
- All youth shall be registered and enrolled by December 31, 2018.
- Percentage rate for staff time spent developing and monitoring work experience placements reported monthly can be 20% or more.

B. Accurate and Up-To-Date One-Stop Operating System (OSOS) and Paper Record Keeping

Maintenance of records to contain all required documentation, within five (5) business days of actual occurrence, including case notes, and with none to minimal errors

C. Community Outreach Sessions

Service provider shall hold a minimum of five (5) focused outreach sessions annually, to recruit the number youth required to be registered and enrolled under this Agreement. The sessions shall inform/educate specific population(s) and/or targeted geographic area(s) – i.e. quadrant/town/other – of workforce development services available through the local system. Navigator(s) will take the initiative in organizing and coordinating focused outreach session(s) content, time, and size, with RochesterWorks Career Center youth service staff and/or other partners.

D. Performance

All WIOA enrolled youth count towards attaining Monroe County/RochesterWorks WIOA performance measures/outcomes. Each FTE Navigator will be held accountable by RochesterWorks to meet and/or to exceed attainment of required WIOA performance measures/outcomes for all youth based on FTE caseload(s). These standards are best accomplished through a combination of formal and informal partnerships including referrals done by RochesterWorks! Career Centers while Navigators provide intensive case management, advocacy and referrals to employers and community as appropriate.

The expectation is that Navigators will develop clear strategies that generate positive performance measures/outcomes. Each objective, activity or service must

be linked to the accomplishment of one or more of the WIOA youth performance measures referenced below.

“Quarter” refers to specific 3 month blocks of a calendar year – January through March, April through June, July through September, and October through December each represent a quarter.

Common Measures TEGL 26-15 *

1. Employment Rate 2nd Quarter After Exit

The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program (local benchmark of **65.9%**)

2. Employment Rate 4th Quarter After Exit:

The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program (local benchmark of **58%**).

3. Median Earnings: (Data collection only)

The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program (performance benchmark to be used as a baseline indicator, as defined in TEGL 26-15, during PY 2016 and PY 2017).

4. Credential Attainment Rate:

The percentage of program participants who obtain a recognized post-secondary credential, or a secondary school diploma or its recognized equivalent (subject to program participants receiving a secondary school diploma or its recognized equivalent also obtaining or retaining employment or being in an education or training program leading to a recognized postsecondary credential within one year after exit from the program), during participation in or within one year after exit from the program (local benchmark of **55.6%**).

5. Measurable Skill Gains: (Data collection only)

The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment (performance benchmark to be used as a baseline indicator, as defined in TEGL 26-15, during PY 2016 and PY 2017).

6. CareerZone Portfolio: (75% +) Program Year 2018 (PY2018) youth enrollees must complete a CareerZone Portfolio by finishing the necessary modules.

- Goal: Provide youth with quality services and guidance with content focus on career exploration, career planning, career pathways, and/or job searches. An additional benefit of completing a CareerZone Portfolio is in satisfying the Labor Market Information and Financial Literacy Education WIOA Youth Elements.

- NYSDOL encourages new WIOA youth program participants to use CareerZone, however, if some youth have an existing JobZone account prior to WIOA youth enrollment then they will be allowed to complete the comparable JobZone modules outlined below.

Career Zone Module	Minimum Requirements	JobZone Equivalent (pre-existing accounts only) *
Interest Profiler	Complete and save at least one	Career Interests
Abilities	Complete and save at least one	Not applicable**
Work Importance Profiler	Complete and save at least one	Work Values
Saved Occupations	Add at least two occupations as favorites	Occupations
Budgeting	Complete and save at least one	Budget

*New users are expected to create CareerZone accounts.

**The Abilities component is only applicable for youth using CareerZone. The Abilities module in JobZone is very rigorous compared to the Abilities checklist in CareerZone; if the youth is using a pre-existing JobZone account, no penalization will occur for not completing requirement.

Interim Performance Measures

It is essential that service providers incorporate “Interim Performance Measures” to track youth skill growth and progress documenting reasonable improvements and/or stable progress towards attaining WIOA youth performance measures. This is important since not all above performance measures/outcomes are currently in effect, but two are in data collection status. Interim Performance Measures examples encompass academic performance; attendance at school/training, activities and work; pre-and post-measures of curriculum; and formal feedback from teachers, counselors, work-site supervisors, parent or guardian, and other collaborating partners.

E. How Achieved:

1. Navigator Responsibilities and Service Delivery Guidelines

Activities and services must address the purpose, intent, and service delivery design specifications as defined in Title, IB, Section 129 of WIOA

2. Purpose

- Assist youth in achieving academic and employment success through effective and comprehensive activities that improve educational and skill competencies, and connections to employers

- Remove barriers to active participation in education, training, and employment
- Ensure on-going mentoring opportunities with adults
- Provide opportunities for training, career exploration, work experience, employment
- Provide incentives for recognition and achievement, but excluding entertainment expense incentives such as those to sporting events, movies, concerts or similar activities
- Provide activities related to leadership development, financial planning, entrepreneurship, decision-making, citizenship and community service

3. Navigator Duties

The Navigator role is designed to benefit each youth served, thus, to increase their access to and to enhance their success in existing programs and workforce development services. The objective is to maximize the chances of success for each youth to achieve their educational and/or employment goals while minimizing barriers. To this end, each FTE Navigator is expected to establish informal partnerships with the youth's parent/guardian, youth service providers and formal relationships with targeted youth system partners including, Adult Literacy, vocational rehabilitation, juvenile/adult criminal justice system, foster care, department of human services, community and faith-based service providers, employers, schools, and others who can advance the purpose and outcomes of WIOA youth funding. In addition to developing and cultivating key relationships with partners, Navigators are expected to participate in appropriate and/or periodic co-location activity and service opportunities at suitable youth frequented locations and increase Navigator availability, beyond the conventional hours of 9 a.m. to 5 pm, throughout a geographic target area to reach a maximum number of interested and eligible youth. Increasing Navigator visibility and availability in the community provides youth with the flexibility to attend schooling, training, or work without losing out on the benefit of receiving supportive services and guidance of the Navigator.

FTE Navigator duties include but are not limited to:

- Outreach, recruitment, assessment, eligibility determination, registration, and enrollment of targeted youth
- Develop an Individual Service Strategy (ISS), career pathway, and career plan specific to each youth that is based on an objective assessment and identifies an employment goal, an educational goal, and any appropriate services supporting the achievement of identified goals

- Keep youth engaged by regularly spending time and building rapport with them
- Exposing youth and making available the 14 WIOA Youth Elements to each youth as appropriate, including advocacy for supportive services as needed (i.e. clothing, transportation, personal hygiene products)
- Prepare youth for post-secondary education, training and/or employment opportunities by providing and/or connecting each to basic and occupational skills development and work readiness
- Assist youth in TASC instruction or alternative school to complete their high school equivalent credential and go on to employment or post-secondary school/training
- Develop a work experience/internship opportunity at a not-for-profit or for-profit worksite(s) related to each youth's career pathway. Work experiences may be paid or unpaid. The number of hours per week and the length of the work experience/internship shall be determined each year based upon funding availability. *For Program Year 2018 (PY2018), Navigators shall place five (5) OSY participants in paid work experiences developed by the Service Provider with wages paid through a contractor staffing agency to be identified by RWI. These work experiences shall average 260 hours in duration (or some other combination of work experience placements and hours to equal 1,300 total work hours).*
- Assist youth to identify appropriate post-secondary educational, training and employment opportunities that will help them to reach their goals
- The goal is to develop on-the-job training (OJT) placement in employment opportunities for youth exiting TASC instruction, Alternative Schools or high school and not going on to post-secondary school. Navigators shall coordinate with RWI for writing and execution of OJT contracts.
- Problem solve and follow up with youth and/or service provider to determine effectiveness of results
- Maintain accurate progress notes and supporting documentation for each youth
- Ensure successful attainment of WIOA performance goals, outcomes and measures

- Navigators are required to utilize the web-based New York State database system known as the One Stop Operating System (OSOS) to register, to enroll, to document provided elements/services, and to record attainment of required WIOA performance measures/outcomes for WIOA eligible youth. Navigators can reserve cubicle space at RochesterWorks career centers and gain access to staff office equipment such as computers, printers, faxes, copiers, and telephones as needed, on a limited basis.

4. General Guidelines: Each FTE Navigator will....

- cooperate, coordinate, and act as a complementary partner for the success of each youth with relevant community partners including the RochesterWorks! Career Centers;
- develop an active 25 youth caseload and always maintain it, to that level plus provide follow up services to exited youth for 12 months, unless they decline receiving them, or are unreachable with old contact information;
- be responsible for locating and coordinating with pre-existing programs and services to meet the needs of each youth;
- have access to RochesterWorks services in support of the Individual Service Strategy (ISS), career pathway, and career plan prepared jointly with youth including basic skill and interest assessments, job readiness training, and limited funding opportunities available through summer and year-round youth employment opportunities, supportive occupational skills training opportunities, work experience and/or on-the-job training (OJT) opportunities, job search assistance, mentor opportunities, and supportive services and incentive payments. Note: Supportive services are limited and may be available only after all other resources are exhausted. Examples of supportive services include: mileage to and from school, bus pass, gasoline cards, uniforms, books, miscellaneous school supplies, connecting to housing support organizations, work-required clothing, tools, finger printing/background checks, and lab fees not covered by insurance;
- keep abreast of other programs and resources to leverage and to address youth needs to help control spending and to allow availability for others;
- respond within 24-48 hours to youth referrals from RWI Youth staff to contact youth for possible WIOA youth enrollment.

5. Service Delivery Priorities:

Each FTE Navigator allied with RochesterWorks! Career Centers shall....

- prioritize efforts on the 17–24-year-old disconnected population;

- operate in the community on behalf of an identified target group and/or a defined geographic area (city quadrant or county east-west/town(s);
- support youth to minimize or eliminate obstacles to post-secondary success
- build rapport with and an understanding of existing programs and services;
- connect youth to existing programs and services and support the success of all, maximizing access and minimizing duplication;
- provide youth with quality work preparation support leading to post-secondary success (employment and/or advanced training or education);
- determine if a youth is not appropriate for their program and will refer youth to other potential programs and/or community resources, including public services/supports offered through the RochesterWorks Career Centers.

6. Structure & Navigator Service Delivery:

Three stages of consistent service delivery for all newly enrolled and WIOA eligible youth leading to positive WIOA performance outcomes.

1) Outreach, Recruitment, Application, Eligibility Determination, Registration, and Enrollment:

- Conduct targeted outreach and recruitment activities upon the start of the contract period. After the initial start-up period, on-going enrollment will be adapted for outreach, recruitment, enrollment, and service provision while maximizing available resources.
- Interview youth and complete an approved WIOA application packet including required documentation as required under subtitle B of Title I of WIOA, to help determine eligibility and whether the youth is appropriate for WIOA programming. If youth is determined not appropriate, then youth will be referred to other potential programs and/or community resources, including RochesterWorks! Career Centers. Completed WIOA youth packets with required documentation must be maintained/filed.

2) Orientation, Assessment, and Service Plan Development:

- Every youth enrolled in WIOA must be provided with an orientation, objective assessment, and service planning.
- All WIOA eligible youth must be provided:
 - i. Orientation on services available through the navigator, the local Career Center and its partners, other providers, or navigator partners;
 - ii. Appropriate referrals to training and educational programs to help the participant or applicant on a sequential or concurrent basis.

- iii. Objective assessment of the academic levels, skill levels, and service needs of each participant, including:
 - 1) A review of basic skills;
 - 2) Occupational skills;
 - 3) Prior work experience;
 - 4) Employability;
 - 5) Interests;
 - 6) Aptitudes (including interests and aptitudes for nontraditional jobs);
 - 7) Supportive and developmental service needs.

****IMPORTANT:** The Test of Adult Basic Education (TABE) is the out-of-school youth (OSY) objective assessment for academics. TABE testing can be administered by a certified Navigator or through an appropriate partner including the RochesterWorks! Career Center. No other academic assessment tool may be utilized without approval from RWI and/or the New York State Department of Labor (NYSDOL).*

- An Individual Service Strategy (ISS) involving as appropriate for each youth:
 - i. Elements/Services directly linked to one or more WIOA Youth Performance Measures;
 - ii. Identifying career pathways that include education and/or employment goals (i.e. nontraditional employment);
 - iii. Establishing achievement objectives;
 - iv. Identifying elements/services to be utilized while considering relevant assessments. A new service strategy is not required if the provider carrying out such a program determines it is appropriate to use a recent service strategy developed under another education or training program;
 - v. Preparation for post-secondary educational opportunities
 - vi. Assistance with establishing strong linkages between academic and occupational learning;
 - vii. Preparation for subsidized and unsubsidized employment opportunities;
 - viii. Connections to intermediaries with strong links to local and regional employers; and
 - ix. Assistance with developing a portfolio.

The resulting ISS is a roadmap to assist and to provide focus for the youth on meeting their educational and/or employment goals of improving academic achievement, attaining a HS or HSE diploma, and/or, occupational industry recognized certification, getting a job and increasing post-secondary readiness skills.

When the Career Zone Portfolio is completed by the youth, it serves as an additional assessment tool. Thus, Career Zone* - www.careerzone.ny.gov is a

useful tool in developing the ISS since youth has access to review more than 800 occupations, 450 career videos, current job postings, resume builder and budgeting tool, while the Navigator can work to assist youth in partnership with community partners including the RochesterWorks! Career Centers.

3) Access to the 14 WIOA Youth Elements:

There are available 14 WIOA mandated youth program elements open to all eligible enrolled youth, however, services offered to each youth must be based on his/her needs and goals. The objective is to expose WIOA enrolled youth to as many of the 14 WIOA mandated elements, as possible and as appropriate, to expand their educational and/or employment horizons, however, not all youth will receive all 14 elements.

Navigator(s) must create a local network of schools, community and faith-based agencies, employers, and career centers to provide a continuum of appropriate services that help youth to achieve their educational and/or employment goals. RochesterWorks! Career Centers will assist by providing Navigator access to limited resources available including basic skills and interest assessments, job readiness training, summer youth employment opportunities, occupational skills training opportunities, on-the-job training opportunities, job search assistance, mentor opportunities, and supportive service payments.

All exited WIOA youth participants are to be provided a minimum of twelve months follow up services by the Navigators. Documentation involving appropriate, timely, and efficient updates and case notes on OSOS and hard file must be input for follow-up service no **later than five (5) business days following the actual occurrence** (contact with the youth) of activity and/or service including. The Navigator is expected to effectively manage and maintain participant records, both paper and electronic in a timely and efficient manner. Exception: Follow up services do not have to be provided to youth who have declined receiving them or to youth who are unreachable due to old contact information. Navigator follow up services include:

- Leadership development and supportive service
- Regular contact with youth participant's employer, including assistance addressing work-related problems that arise;
- Assistance in securing better paying jobs, career development and further education or training;
- Work-related peer support groups;
- Adult mentoring; and/or
- Services necessary to ensure the success of youth participants in employment and/or post-secondary education.

- Follow-up services may be provided beyond twelve (12) months at the State or Local Board's discretion (RWI must be consulted and approval provided). The types of follow up services provided and the duration of services must be determined based on the needs of the individual.
- Follow-up services are more than a contact attempted or made to gather information for reporting purposes because follow-up services provide the necessary support to ensure the success of youth post-program. To meet follow-up requirements, Navigators must do more than just try to contact to gather reporting information per NPRM §681.580.

Additional Considerations to Structure & Service Delivery

To be considered an allowable WIOA Youth service, for purposes of extending/retaining WIOA enrollment, an activity must have a "significant" level of staff assistance. Activities deemed to be self-service and/or informational activities only are NOT qualified WIOA Youth services for purposes of extending/retaining enrollment in a WIOA program.

Self-Service and Informational Activities

- Self-Services are accessed directly by the participant in a physical location or remotely by electronic technologies with no staff assistance provided other than general instruction on how to use/access the self-service tools.
- Informational activities are activities limited to providing general readily available information about the labor market and/or the availability of, or instructions for, accessing workforce information, tools, or services to assist the individual in identifying/achieving their employment goals. Informational activities may be accessed as either self-service or with staff involvement. If staff involvement (regardless of the amount of time involved) is limited to the provision of generally available information that is not customized to the particular individual and does not involve any staff assessment of the individual then it is considered an informational activity as opposed to a staff assisted service. Informational activities also include an orientation to the information and services available at the RWCC with instructions on how to access the services, including, but not limited to, the tools in the RWCC resource room.

Staff Assisted Service

Any assistance provided by staff that goes beyond the provision of readily available information (as discussed above), regardless of the amount of time involved or the communication method (e.g., phone and/or email), if adequate documentation is provided, is considered a significant staff assisted service. For example, any service that involves staff assessment of the participant, including, but not limited to, any assessment of skills, abilities, education or employment

history, or career objectives is a significant staff assisted service regardless of the amount of time spent on that particular activity.

Staff Assisted Services DO NOT include –

- a. eligibility determinations,*
- b. self-directed job search that does not result in a referral to a job,*
- c. services and activities specifically provided as follow-up services,*
- d. or regular contact with the participant or employer to only obtain information regarding his/her employment status, educational progress, need for additional services, or income support payments,*
- e. mailing a form letter (would be considered an “informational activity”).*

*Registration and Enrollment: Registration is the process for collecting information to support a determination of eligibility for the WIOA Youth Program. To participate in youth programming, participants must **register** and **enroll** in the WIOA Youth Program. Enrollment requires 1) registration and 2) participation in any of the 14 WIOA Youth Program Elements. The date of enrollment is the date that a registered, eligible Youth Participant receives their first service with one of the 14 Elements and a design framework service for completing WIOA packet and TABE testing.*

Personal interaction with an appropriate staff person is the preferred method of service delivery however, today’s youth are technologically adept and use phone calls, e-mails, instant messaging, texting, and social media like Facebook and Twitter thus, allowing the navigator some flexibility in service delivery options. However, these methods should not be used by a navigator as the sole or primary means of service delivery to participants. Different forms of contact require varying types of documentation when entering the activity into OSOS. In-person service delivery gaps may not exceed 45 days without approval of RochesterWorks.

Target Population & Eligibility

The Navigator will be responsible for the successful outreach, recruitment, intake and assessment of WIOA eligible youth including collecting and/or verifying all documentation to determine and validate eligibility before enrolling them. Priority: 100% older disconnected out of school youth (OSY) aged 17–24 who are high school dropouts, or if not high school dropout then low-income youth, and with documented barrier, all must live in Monroe County, be legal residents in the United States, if male youth, have registered for Selective Service, and who are not employed and not readily employable due to lack of basic skills.

Distinct out of school youth (OSY) target groups to be served through this solicitation include:

- RochesterWorks! Career Center-based
- City and suburban w/focus on a neighborhood, quadrant, town/village, county-east/west

- aging out of foster care
- criminal/juvenile justice system engaged, or at risk of
- child of incarcerated parent(s)
- public assistance recipient
- pregnant or parenting teen
- runaway and/or homeless, or at risk of homelessness
- gang affiliated, or at risk of
- refugee and legally able to work in the US
- disabled and able to work

See eligible youth as defined below and for additional information refer to WIOA section 129.

For youth between the ages of 18 and 24, when the pool of eligible candidates includes veterans and eligible spouses of veterans, the guidelines require that veterans and their spouses be given the highest priority in the selection process.

Furthermore, the Navigator shall determine the appropriateness of potential youth through reasonable demonstration of the youth's willingness and ability to accomplish the intent and purpose of the goals of WIOA youth funding. It is expected that most youth served during the contract period will demonstrate positive performance.

Under WIOA Section 129(a)(1) an eligible youth is defined as follows:

An Out of School youth is an individual who is:

- (i) not attending any school (as defined under State law);
- (ii) not younger than age 16 or older than age 24 (our local priority is to serve youth ages 17 and older); and
- (iii) one or more of the following:
 - (I) A school dropout.
 - (II) A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter.
 - (III) A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is—
 - (aa) basic skills deficient; or
 - (bb) an English language learner.
 - (IV) An individual who is subject to the juvenile or adult justice system.
 - (V) A homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e–2(6))), a homeless child or youth (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2))), a runaway, in foster care or has aged out of the foster care system, a child eligible for assistance under section 477 of the Social Security Act (42 U.S.C. 677), or in an out-of-home placement.

- (VI) An individual who is pregnant or parenting.
- (VII) A youth who is an individual with a disability.
- (VIII) A low-income individual who requires additional assistance* to enter or complete an educational program or to secure or hold employment.

A low-income individual is defined as an individual who:

1. receives, or in the past 6 months has received, or is a member of a family that is receiving or in the past 6 months has received, assistance through the supplemental nutrition assistance program (SNAP, or Food Stamps) established under the Food and Nutrition Act of 2008 (7 U.S.C. 2011 et seq.), the program of block grants to States for temporary assistance for needy families (TANF Cash Assistance) program under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), or the supplemental security income (SSI, but not SSDI) program established under title XVI of the Social Security Act (42 U.S.C. 1381 et seq.), or State or local income-based public assistance (e.g. Safety Net);
2. is a homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e–2(6))), or a homeless child or youth (as defined under section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)));
3. is a foster child on behalf of whom State or local government payments are made;
4. is a youth living in a high-poverty area;
5. is in a family with total family income that does not exceed the higher of—
 - (I) the poverty line; or
 - (II) 70 percent of the lower living standard income level; or
6. is an individual with a disability whose own income meets the income requirement of clause (6), but who is a member of a family whose income does not meet this requirement.

Current levels include (last updated April 2018):

<u>Family Size</u>	<u>Annualized Income</u>
1	\$ 12,140
2	\$ 18,071
3	\$ 24,802
4	\$ 30,617
5	\$ 36,134
6	\$ 42,254
7	\$ 48,374
8	\$ 54,494
9	\$ 60,614
10	\$ 66,734

14 WIOA Elements/Services (Based on WIOA Final Regulations effective 8-15-16) (681.460)

Services offered to any individual participant are based on his/her needs and goals and include the following:

- 1. Tutoring, Study Skills Training, Instruction and Evidence based requirement for Drop-out Prevention and Recovery Strategies** - that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities, i.e. CDOS credential or Basic Skills credentials for individuals with disabilities) or for a recognized post-secondary credential;
- 2. Alternative Secondary School Services** (USDOL deleted references to the term “Alternative School” in WIOA and it is not required at this time to be defined in state plan.) **or Drop-out Recovery Services, as appropriate**
Definition - NYS alternative education provides options for students who are at risk of dropping out of school to remain engage in an alternative learning environment that focuses on their particular skills, abilities and learning styles. Alternative education programs have for decades provided additional pathway for students to complete their secondary education and transition to a post-secondary or career option. (a) These are specialized, structured curriculum offered inside or outside of the public school system which may provide work/study and/or TASC instruction for students with behavior problems, physical/mental disabilities, who are at-risk of dropping out, who are institutionalized or adjudicated youth and/or youth who are in the legal custody of the Department of Youth Services (DFY) and are residing in an institution.
<http://www.p12.nysed.gov/sss/ssae/AltEd/>
- 3. Paid and Unpaid Work Experiences (681.600)** (a) Work experiences are a planned, structured learning experience that take place in a workplace for a limited period of time. Work experience may be paid or unpaid, as appropriate. A work experience may take place in the private for-profit sector, the non-profit sector, or the public sector. Labor standards apply in any work experience where an employee/employer relationship, as defined by the Fair Labor Standards Act or applicable State law, exists. Consistent with § 680.840, funds provided for work experiences may not be used to directly or indirectly aid in the filling of a job opening that is vacant because the former occupant is on strike or is being locked out in the course of a labor dispute, or the filling of which is otherwise an issue in a labor dispute involving a work stoppage. Work experiences provide the youth participant with opportunities for career exploration and skill development. (b) Work experiences must include academic and occupational education (i.e. Career Zone). The educational component **may occur concurrently or sequentially** with the work experience. Further academic and occupational education may occur inside or outside the work site.

- (c) Types of work experience options include the following categories:
- (1) Summer employment opportunities and other employment opportunities available throughout the school year;
 - (2) Pre-apprenticeship programs; A pre-apprenticeship is a program or set of strategies designed to prepare individuals to enter and succeed in a registered apprenticeship program and has a documented partnership with at least one, if not more, registered apprenticeship program
 - (3) Internships and job shadowing; and
 - (4) On-the-job training (OJT) opportunities;
- (d) Navigators are required to develop a work experience/internship opportunity for out of school youth related to each youth's career pathway. Work experiences may be paid or unpaid. Navigators will be allotted approximately 1200 working hours (per FTE) to distribute amongst youth who are employment ready.

Refer to section (F-6c) for allowable staff time spent on work experience.

4. **Occupational Skills Training** - (a) The Department defines occupational skills training as an organized program 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. Local areas must give **priority consideration** for training programs that lead to recognized post-secondary credentials that align **with in-demand industry sectors or occupations in the local area**, if the programs meet WIOA's quality criteria (standards). Such training must:
- (1) be outcome-oriented and focused on an occupational goal (i.e. Career Zone) specified in the Individual Service Strategy (ISS);
 - (2) be of sufficient duration to impart the skills needed to meet the occupational goal; and
 - (3) result in attainment of a recognized post-secondary credential.
- (b) The chosen occupational skills training must meet the quality standards in WIOA sec. 123.

In order to enhance individual participant choice in their education and training plans and provide flexibility to service providers, WIOA allows ITAs for out-of-school youth, ages 16 to 24 using WIOA youth funds when appropriate.

5. **Education Offered Concurrently with and in the same context as Workforce Preparation (681.4360)**: - This program element reflects the integrated education and training model and requires **integrated education and training to occur concurrently** (at the same time) and **contextually** with workforce preparation activities and workforce training. This program element describes **how workforce preparations activities, basic academic skills, and hands-on occupational skills training are to be taught within the same time frame** and

connected to training in a specific occupation, occupational cluster, or career pathway. (WIOA sec. 129(c)(2)(E))

6. **Leadership Development** - including community service and peer centered activities encouraging responsibility and focusing on other positive social and civic behaviors opportunities that encourage responsibility, confidence, employability, self-determination and other positive social behaviors such as:
- (a) Exposure to post-secondary educational possibilities;
 - (b) Community and service learning projects;
 - (c) Peer-centered activities, including peer mentoring and tutoring;
 - (d) Organizational and team work training, including team leadership training;
 - (e) Training in decision-making, including determining priorities and problem solving;
 - (f) Citizenship training, including life skills training such as parenting and work behavior training;
 - (g) Civic engagement activities which promote the quality of life in a community; and
 - (h) Other leadership activities that place youth in a leadership role such as serving on youth leadership committees, such as a Standing Youth Committee. (WIOA sec. 129(c)(2)(F))

Positive social and civic behaviors are outcomes of leadership opportunities, which are incorporated by local programs as part of their menu of services. Positive social and civic behaviors focus on areas that may include the following:

- (a) Positive attitudinal development;
 - (b) Self-esteem building;
 - (c) Openness to work with individuals from diverse backgrounds;
 - (d) Maintaining healthy lifestyles, including being alcohol- and drug-free;
 - (e) Maintaining positive social relationships with responsible adults and peers, and contributing to the well-being of one's community, including voting;
 - (f) Maintaining a commitment to learning and academic success;
 - (g) Avoiding delinquency;
 - (h) Positive job attitudes and work skills;
7. **Supportive Services (681.570)** items added below (j. - l.) to youth supportive services to keep in line with adult services. Supportive services enable an individual to participate in WIOA activities by minimizing barriers.
- These services include, but are not limited to the following:
- (a) Linkages to community services;
 - (b) Assistance with transportation (bus pass or gas card);
 - (c) Assistance with child care and dependent care;
 - (d) Assistance with housing;
 - (e) Needs-related payments;
 - (f) Assistance with educational testing;
 - (g) Reasonable accommodations for youth with disabilities;
 - (h) Legal aid services*

- (i) Referrals to health care;
- (j) Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear.
- (k) Assistance with books, fees, school supplies, and other necessary items for students enrolled in post-secondary education classes; and
- (l) Payments and fees for employment and training related applications, tests and certifications*

Allows incentive payments to youth participants for recognition and achievement directly tied to training activities and work experiences. The local program must have written policies and procedures in place governing the awarding of incentives and must ensure that such incentive payments are:

- (a) Tied to the goals of the specific program;
- (b) Outlined in writing before the commencement of the program that may provide incentive payments;
- (c) Align with the local program's organizational policies; and
- (d) Accord with the requirements contained in 2 CFR 200.

8. **Adult Mentoring (681.490)** - for a duration of at least 12 months, that may occur both during and after program participation;

a) Adult mentoring for youth must:

- (1) Last at least 12 months, be documented, and may take place both during the program and following exit from the program;
- (2) Be a formal relationship between a youth participant and an adult mentor that includes structured activities where the mentor offers guidance, support, and encouragement to develop the competence and character of the mentee;
- (3) Include a mentor who is an adult, who may be the assigned youth case manager; and
 - USDOL acknowledges that in some areas mentoring is particularly challenging and has changed 681.490 to allow case managers to serve as adult mentors. It strongly prefers that case managers are not serving as mentors to participants in your program however recognizes may be a challenge in rural areas, in areas where mentors sparse or having difficult time procuring that service.
- (4) While group mentoring activities and mentoring through electronic means are allowable as part of the mentoring activities, at a minimum, the local youth program must match the youth with an individual mentor with whom the youth interacts on a face-to-face basis.

(b) Mentoring may include workplace mentoring where the local program matches a youth participant with an employer or employee of a company.

9. **Follow-up Services (681.580)**

Follow up services must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow up services or the participant cannot be located or contacted for follow up services.

(a) Follow-up services are critical services provided following a youth's exit from the program to help ensure the youth is successful in employment and/or post-secondary education and training. Follow-up services may include regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise.

(b) Follow-up services for youth also may include the following program elements:

(1) Supportive services;

(2) (2) Adult mentoring;

(3) (3) Financial literacy education;

(4) Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and

(5) Activities that help youth prepare for and transition to postsecondary education and training.

(c) All youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies. Furthermore, follow-up services must be provided to all participants for a minimum of 12 months unless the **participant declines to receive follow-up** services or the participant cannot be located or contacted. Follow-up services may be provided beyond 12 months at the State or Local WDB's discretion. The types of services provided and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome.

10. **Comprehensive Guidance and Counseling (681.510)** - provides individualized counseling to participants. This includes drug and alcohol abuse counseling, mental health counseling, and referral to partner programs, as appropriate. (WIOA sec. 129(c)(1)(C)(J)) When referring participants to necessary counseling that cannot be provided by the local youth program or its service providers, the local youth program must coordinate with the organization it refers to in order to ensure continuity of service. Career and academic counseling were removed from this element.

11. **Financial Literacy Education (681.460)** – Two main changes: address the particular financial literacy needs of youth with disabilities and changing the language from “must” to “may” regarding addressing the variety of Financial Literacy sub-elements (topics). In other words, not every youth in your program is going to need every topic that falls under Financial Literacy. It is all about what

an individual may need, they may not need all the topics. Financial Literacy can be individualized by youth.

Financial Literacy Education includes activities which:

- (a) Support the ability of participants to create budgets (i.e. Career Zone), initiate checking and savings accounts at banks, and make informed financial decisions;
- (b) Support participants in learning how to effectively manage spending, credit, and debt, including student loans, consumer credit, and credit cards;
- (c) Teach participants about the significance of credit reports and credit scores; what their rights are regarding their credit and financial information; how to determine the accuracy of a credit report and how to correct inaccuracies; and how to improve or maintain good credit;
- (d) Support a participant's ability to understand, evaluate, and compare financial products, services, and opportunities and to make informed financial decisions;
- (e) Educate participants about identity theft, ways to protect themselves from identity theft, and how to resolve cases of identity theft and in other ways understand their rights and protections related to personal identity and financial data;
- (f) Support activities that address the particular financial literacy needs of non-English speakers, including providing the support through the development and distribution of multilingual financial literacy and education materials;
- (g) Support activities that address the particular financial literacy needs of youth with disabilities, including connecting them to **benefits planning** and **work incentives counseling**;
- (h) Provide financial education that is age appropriate, timely, and provides opportunities to put lessons into practice, such as by access to safe and affordable financial products that enable money management and savings; and
- (i) Implement other approaches to help participants gain the knowledge, skills, and confidence to make informed financial decisions that enable them to attain greater financial health and stability by using high quality, age-appropriate, and relevant strategies and channels, including, where possible, timely and customized information, guidance, tools, and instruction.

12. Entrepreneurial Skills Training (681.460) - Entrepreneurial skills training provides the basics of starting and operating a small business.

(a) Such training must develop the skills associated with entrepreneurship (i.e. Career Zone-Financial Literacy and Customer Service). Some examples of entrepreneurial skill development include, but are not limited to, the ability to:

- (1) Take initiative;
- (2) Creatively seek out and identify business opportunities;
- (3) Develop budgets and forecast resource needs;
- (4) Understand various options for acquiring capital and the trade-offs associated with each option; and
- (5) Communicate effectively and market oneself and one's ideas.

(b) Approaches to teaching youth entrepreneurial skills include, but are not limited to the following:

- (1) Entrepreneurship education that provides an introduction to the values and basics of starting and running a business. Entrepreneurship education programs often guide youth through the development of a business plan and may also include simulations of business start-up and operation.
- (2) Enterprise development which provides supports and services that incubate and help youth develop their own businesses. Enterprise development programs go beyond entrepreneurship education by helping youth access small loans or grants that are needed to begin business operation and by providing more individualized attention to the development of viable business ideas.
- (3) Experiential programs that provide youth with experience in the day-to-day operation of a business. These programs may involve the development of a youth-run business that young people participating in the program work in and manage. Or, they may facilitate placement in apprentice or internship positions with adult entrepreneurs in the community.

13. Labor Market and Employment Information Services, In-Demand Industry Sectors, Career: Awareness, Counseling, and Exploration (681.460) - Services (career awareness, career counseling, career exploration) that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services. This element has been misunderstood. This is not just providing labor market information and calling it a day. The real focus is about providing information about careers and about labor markets data in the context of career awareness, in the context of career exploration, and in the context of providing career counseling to an individual about what direction they want to go in. The Labor Market Area is an economically integrated geographic area within which individuals can reside and find employment within a reasonable distance or can readily change employment without changing their place of residence.

14. Activities that Help Youth Prepare for Transition to Postsecondary Education and Training (681.460)
(Per NYSED) Although 8th, 9th, and 10th grades are early in your school career, they are important times to begin thinking about and planning for those things you will be looking forward to after graduation. You may want to continue your education or enter an apprenticeship program. Both of these options require career exploration and research. Most schools offer classes on career education. Make sure you are included.

Once you have narrowed your career choices, it is important to find out the required training and education for your choice(s). If further education is

required, you need to find schools that offer a major or certification program in your career choice area. Your school counselor, librarian, teachers, and/or transition coordinator can help you with this research. There may be special requirements for specific programs.

Examples of activities that naturally fall under this category include:

- (1) Assessment and Career Exploration
- (2) Career Counseling
- (3) Shadowing & Informational Interviewing
- (4) Requirements and Pre-Requisites for college
- (5) Application Process
- (6) Financial Aid Counseling and Process and understanding process

F. Monitoring, Support, and Required Spending and Enrollment Targets Under WIOA

Service Providers will receive guidance from RochesterWorks throughout the term of the contract, however the responsibility falls on the Navigator and host organization to support and provide adequate supervision to ensure that the requirements of the contract are being met. Throughout the contract period formal and informal technical assistance will be provided and/or available to all Navigators to ensure a cohesive service delivery process.

1. Group Technical Assistance. During the contract period RochesterWorks will facilitate meetings of all Navigators for the purpose of addressing service provision issues, sharing of information and best practice, and overall review of processes and outcomes.

2. Additional Support. Throughout the contract period RWI and RWCC will work to introduce supports that aide the Navigator in meeting performance standards and in providing quality services. Such supports will include but are not limited to data entry training and technical assistance, basic skills and interest assessments, job readiness training, subsidized work experiences including summer youth employment opportunities, occupational skills training opportunities, job search assistance, information on potential mentor opportunities, and supportive service and/or incentive payments.

3. Supportive Services. RWI may provide additional resources for supportive services, which will be made available to Navigators to the extent that the need for such services is reflected in the Individual Service Strategy prepared by the Navigator and respective youth. Therefore, with proper documentation, navigators can request additional resources that enable the youth to participate in relevant activities and gain access to an array of support services when they are otherwise unavailable. Examples of supportive services include: bus pass, gasoline card, uniforms, books, miscellaneous school supplies, food, rent, utilities, work-required clothing, tools, finger printing/background checks, and lab fees not covered by insurance. As legitimate system-wide voids in available

service are identified, RWI will take reasonable and allowable action to cooperate with Navigators and attempt to procure service(s).

4. Monitoring of OSOS Records. The Navigator is expected to input relevant participant data to the One Stop Operating System (OSOS). The OSOS is the primary reporting mechanism for outcomes and performance. The Navigator is expected to effectively manage and maintain participant records, both paper and electronic, in a timely and efficient manner. RochesterWorks staff will monitor the performance of the Navigator using monthly and quarterly OSOS generated reports, provider submitted self-reports and claim vouchers, periodic performance reviews, and intermittent case record reviews. Reports will be compared for accuracy and where appropriate discrepancies in performance must be addressed by the Navigator immediately.

5. Monitoring Reviews. The Navigator and host organization is required to participate fully in performance reviews and provide evidence he/she has reviewed and analyzed the performance information in preparation or follow-up to the reviews. The Navigator must demonstrate the above mentioned information is regularly used as a management tool to comply with RWI's commitment to continuous improvement as well as an internal management tool to ensure the attainment of required performance outcomes and overall quality service provision.

6. Required Spending and Enrollment Targets Under WIOA. WIOA and its related body of federal, state, and local regulations and policies call for specific spending and enrollment targets under this Agreement.

a. System wide, RWI is required to obligate at least 80%, and up to 100%, of Program Year 2018 WIOA Youth funds by June 30, 2019. To reach this goal, RWI will be requiring contracted Service Providers to spend *at least 90%*, and up to 100%, of Program Year 2018 WIOA Youth funds by June 30, 2019. To manage spending throughout the Program Year, RWI has set the following spending benchmarks for Service Providers.

- At least 25% of the total budget must be spent by the time of submission of the October 2018 invoice.
- At least 40% of the total budget must be spent by the time of submission of the December 2018 invoice.
- At least 60% of the total budget must be spent by the time of submission of the February 2019 invoice.
- At least 75% of the total budget must be spent by the time of submission of the April 2019 invoice.
- At least 90%, and up to 100%, of the total budget must be spent by the time of submission of the final invoice.

b. At least 80% of WIOA Youth funds must be spent on Out-of-School Youth (OSY) as defined by WIOA. To achieve this goal all monthly invoices submitted by Service Provider must reflect a cumulative total of at least 80% of expenses allocable to OSY.

c. The percentage goal rate of **20% or more** of WIOA Youth funds must be spent on the Paid and Unpaid Work Experiences program element. To achieve this goal, all monthly invoices submitted by Service Provider must reflect monthly and cumulative spending for staff salaries and fringe benefits percentage rate of **20%** allocable to the development and monitoring of paid work experience placements for OSY. At least three (3) of the placements described in section E.3.g. of this Attachment must be made and started by December 31, 2018. All five (5) paid work experience assignments must be completed by June 30, 2018.

TEGL No. 8-15 provides further discussion of allowable expenditures that may be counted toward the work experience expenditure requirement and articulates that program expenditures on the work experience program element can be more than just wages paid to youth in work experience. Allowable work experience expenditures include the following: • Wages/stipends paid for participation in a work experience; • Staff time working to identify and develop a work experience opportunity, including staff time spent working with employers to identify and develop the work experience; • Staff time working with employers to ensure a successful work experience, including staff time spent managing the work experience; • Staff time spent evaluating the work experience; • Participant work experience orientation sessions; • Employer work experience orientation sessions; • Classroom training or the required academic education component directly related to the work experience; • Incentive payments directly tied to the completion of work experience; and • Employability skills/job readiness training to prepare youth for a work experience. Supportive services are a separate program element and cannot be counted toward the work experience expenditure requirement even if supportive services assist the youth in participating in the work experience.

d. All WIOA Youth funds must be accrued and paid timely. Service Provider shall submit all monthly reimbursement vouchers within 30 days of the end of the each calendar month.

e. Each Navigator must register and enroll 25 active, registered youth participants by December 31, 2018 and thereafter maintain an active caseload of 25 active, registered youth participants in addition to exited youth participants receiving follow-up services. To achieve this

benchmark, each Navigator must meet the interim milestone of registering and enrolling at least 15 active, registered youth participants by October 31, 2018.

7. Failure to Meet Required Spending and/or Enrollment Targets. In the event that Service Provider fails to meet any of the spending or enrollment targets detailed above, RWI staff will provide technical assistance with the goal of helping the Service Provider to meet the targets. Technical assistance may include a corrective action plan developed by and agreed upon by both Service Provider and RWI. The corrective action plan for failure to meet participant enrollment targets may include a provision to except mandatory participant referrals from RWI Youth staff.

In the event that a corrective action plan cannot be agreed upon or Service Provider fails new benchmarks included in the corrective action plan, RWI may conduct additional monitoring of Service Provider's activities and/or expenditures under this Agreement. The purpose of the additional monitoring will be to determine whether it is possible for Service Provider to meet year-end spending and/or enrollment targets. If RWI determines that Service Provider is highly unlikely to meet year-end targets, RWI may reduce the total amount in the attached budget by the extent necessary to comply with such targets.

Navigators not meeting any of the other required benchmarks and performance measures as detailed in this Agreement will be required to follow a corrective plan that includes mandatory participation in technical assistance and a probationary plan attainment.

Continued inability to meet required performance may result in fiscal sanction, termination of the contract, and may prevent the provider from bidding on future requests for proposals issued through RWI.

ATTACHMENT B

DEBARMENT CERTIFICATION

The undersigned certifies, to the best of his/her knowledge and belief, that the Service Provider and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
2. Have not within a three-year period preceding this transaction/ application/proposal/ contract/agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph 2 of this certification; and
4. Have not within a three-year period preceding this transaction/ application/proposal/ contract/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.

Date

Print Name of Service Provider

Signature

Print Name

Print Title/Office

ATTACHMENT C

FEDERAL AUDIT COMPLIANCE

Compliance with Federal Single Audit Act: In the event the Service Provider is a recipient through this Agreement, directly or indirectly, of any funds of or from the United States Government, Service Provider agrees to comply fully with the terms and requirements of the Federal Single Audit Act [Title 31 United States Code, Chapter 75], as amended from time to time. The Service Provider shall comply with all requirements stated in Federal Office of Management and Budget Updated Cost Principles as published at 2 CFR, Chapter 1, Chapter II, Part 200 et al., and such other circulars, interpretations opinions, rules or regulations that may be issued in connection with the Federal Single Audit Act.

If on a cumulative basis the Service Provider expends \$750,000.00 or more in federal funds in any fiscal year, it shall cause to have a single audit conducted, the Data Collection Form (defined in 2 CFR Part 200) shall be submitted to the County; however, if there are findings or questioned costs related to the program that is federally funded by the County, the Service Provider shall submit the complete reporting package (defined in 2 CFR Part 200) to the County,

If on a cumulative basis the Service Provider expends less than \$750,000 in federal funds in any fiscal year, it shall retain all documents relating to the federal programs for three (3) years after the close of the Service Provider's fiscal year in which any payment was received from such federal programs.

All required documents must be submitted within nine (9) months of the close of the Service Provider's fiscal year end to:

**RochesterWorks, Inc.
255 N. Goodman Street
Rochester, New York 14607**

Right of Inspection and Audit: The Service Provider shall, upon request of the RWI, provide RWI such documentation, records, information and data and response to such inquiries as RWI may deem necessary or appropriate and shall fully cooperate with internal and/or independent auditors designated by the RWI and permit such auditors to have access to, examine and copy all records, documents, reports and financial statements as RWI deems necessary to assure or monitor payments to the Service Provider under this Agreement.

Survival of Right of Inspection and Audit: RWI's right of inspection and audit pursuant to this Agreement shall survive the payment of monies due to Service Provider and shall remain in full force and effect for a period of three (3) years after the close of the Service Provider's fiscal year in which any funds or payment was received from RWI under this Agreement.