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

WDB/Region #	**Region 9**
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WDB Executive Director	**Kurt Kegerreis**
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I certify that the information contained herein is true and accurate to the best of my knowledge and that I submit this plan on behalf of the WDB listed above.

Approved for the Workforce Development Board
Workforce Development Board Chair

Name (type or print): ____Patricia Wilkins_____

Title: _____Chair, SEIWIB_____

Signature: _____ Date:____6/30/16_____

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

Name (type or print): ____Mark Cash_____

Title: _____Chief Local Elected Official, SEIWIB_____

Signature: _____ Date:____6/30/16_____

Table of Contents

Section 1: Workforce and Economic Analysis 3

Section 2: Strategic Vision and Goals 7

Section 3: Local Area Partnerships and Investment Strategies 12

Section 4: Program Design and Evaluation 21

Section 5: Compliance 33

Optional Executive Summary.

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

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Section 1: Workforce and Economic Analysis

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

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

In Indiana's Economic Growth Region 9, strong employment demand and clear, current employer needs drive labor market activity. Region 9 experiences a consistently lower unemployment rate than both the state of Indiana and the country as a whole, and the region is currently experiencing year-over-year employment growth of 4 percent, more than double the national rate. Growth in employment demand can also be seen in job posting data: in the past 4 years, unique job posting activity in Region 9 has grown by nearly 400 percent, now totaling 7,000 active postings in the region each month.

An analysis of local occupations in high demand reveals that, for the 20 occupations with the highest current hiring levels, the following occupational groups are represented:

Occupational Group	**Share of Top 20**	**Total Average Monthly Hires, 2015**
Food Preparation and Serving Related Occupations	20%	847
Transportation and Material Moving Occupations	20%	631

Office and Administrative Support Occupations	15%	365
Building and Grounds Cleaning and Maintenance Occupations	10%	231
Sales and Related Occupations	10%	574
Production Occupations	10%	343
Management Occupations	5%	87
Healthcare Support Occupations	5%	98
Personal Care and Service Occupations	5%	111

Employment projections by industry indicate overall employment growth in Region 9 of 19,562 jobs over a 10 year period, or nearly 15 percent of regional employment. These growth projections by industry are as follows:

Industry	**2012 Employment**	**2022 Employment Projection**	**Percent Growth**	**Numeric Growth**
Manufacturing	36,589	41,751	14.1%	5,162
Education and Health Services	24,999	29,414	17.7%	4,415
Trade, Transportation, and Utilities	23,659	27,124	14.6%	3,465
Professional and Business Services	12,296	14,487	17.8%	2,191
Leisure and Hospitality	14,477	16,433	13.5%	1,956
Construction	4,552	5,399	18.6%	847
Other Services (except Government)	2,612	3,076	17.8%	464
Financial Activities	3,704	4,097	10.6%	393
Government	6,958	7,291	4.8%	333
Natural Resources and Mining	1,298	1,471	13.3%	173
Information	994	1,014	2.0%	20

The manufacturing industry, currently Region 9's largest, is also projected to experience the largest employment growth. Opportunities in this industry, including with advanced and specialized manufacturing employers, can connect jobseekers in Region 9 with a number of career pathways leading to long-term growth and sustainability. Additionally, the construction and professional services industries are expected to experience the fastest employment growth through 2022. Career pathways in the professional services industry in particular are characterized by long-term sustainability and have high potential as chosen career paths for many jobseekers in Region 9.

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

Of the high-demand occupations mentioned in Section 1.1, 20 percent require more education than a high school diploma, generally either a Bachelor's degree or other postsecondary credential. For example, Heavy and

Tractor-Trailer Truck Drivers, which require postsecondary CDL training and credentialing, are a particularly high-demand occupation: on average, 137 new hires are made each month in Region 9 for this occupation, but employers post an average of 16 openings per hire, an indicator of an occupational skills gap.

Many of Region 9's in-demand occupations and growth industries incorporate knowledge and skill development on the job, often combining training periods with a requirement for postsecondary credentials. Computer-Controlled Machine Tool Operators, another high-growth occupation in the region, benefit from credentials recognized by the advanced manufacturing industry including Computer Numeric Control (CNC) Machining certifications.

On occasion, high-demand occupations require more significant post-secondary education. For example, in Region 9 there are on average 175 openings for Mechanical Engineers each year, an occupation that requires a relevant Bachelor's degree at entry level. Such high-skill occupations are an exception rather than a rule among Region 9's areas of high demand.

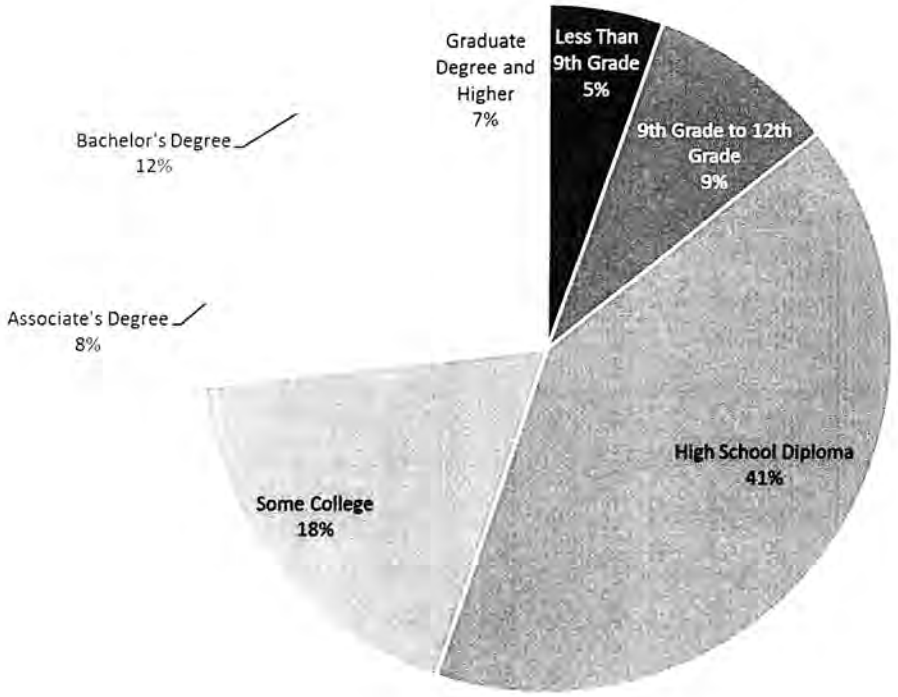
1.3 An analysis of the local workforce, including current labor force employment (and unemployment) data, and information on labor market trends, and the educational and skill levels of the workforce in the region, including individuals with barriers to employment and youth. WIOA Sec. 108(b)(1)(C)]

In February 2016 the region's unemployment rate was 4.8 percent, compared to the statewide rate of 5.4 percent and the nationwide rate of 5.2 percent. At 67 percent, the labor force participation rate in Region 9 is higher than the national rate of 63 percent as well. As noted in Section 1.1, Region 9 is experiencing significant growth in labor demand, and in some cases significant resources are required for the local workforce to rise to

meet that demand. Currently, more than half of Region 9's prime-age population has less than a college degree, as shown in the below chart:

A larger share of Region 9's workforce than any other has only a high school diploma, and only 45 percent of

Educational Attainment in Region 9, 2015



Region 9's workforce has at least some postsecondary education. With the growth in high-demand occupations that require more than a high school diploma, and with employers in all major industries across the nation requiring some postsecondary education for an ever-greater share of jobs, more than half of Region 9's workforce faces the threat of being left behind by the changing labor market.

While there is a significant potential mismatch between the skills needs of local employers and the educational attainment levels of Region 9's workforce, the change in these attainment levels over time is a positive sign. Over the past 5 years, the share of Region 9's workforce with postsecondary degrees has grown 2 percent, and the share with only a high school diploma or only some high-school education has shrunk 2 percent. This offset in favor of a more highly-educated workforce in Region 9 is a small but significant sign of potential for the region's future opportunity to be a robust source for skilled workers meeting the varied demands of the 21st-century labor market.

Section 2: Strategic Vision and Goals

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

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

The mission of the Southeast Indiana Workforce Board is "to help Hoosiers in Southeast Indiana find and grow in careers that are productive and fulfilling as well as to help employers find the qualified personnel they need to be successful". The Board views its role as much more than overseeing WorkOne operations and related programming. Rather, it views itself as a convener of the myriad stakeholders invested in workforce outcomes, and aspires to create with these partners a comprehensive education and workforce system in the 10 county region. Where leadership is needed, the board will lead. When support or consultation is needed, the Board will assist. In short, the Board views its responsibility is to create, improve, encourage, supplement and sustain any worthwhile initiative that stands to benefit job employers, job seekers or the overall economic landscape of Southeast Indiana.

Specific Board goals are described below:

1.) Strengthen and Expand Partnerships with Key Stakeholders. The Board recognizes that the problems facing Region 9 are broad and interdisciplinary, which require a similarly robust network of partners. Furthermore, the funding provided by individual programs and initiatives is rarely sufficient to create comprehensive solutions, and thus partnerships must be leveraged and aligned towards similar goals.

2.) Attract Additional Funding and Resources for Jobseekers and Employers. The Training needs within Region 9 far exceed the funding available for individual programs. Similarly, the Region struggles with numerous social and cultural challenges (e.g. poverty, substance abuse, low attainment rates, etc) which erode the pool of eligible workers. Additional investments are necessary to ensure that every jobseeker has a pathway to success and every employer can find the talent that they require. Crucially, the Board strives to attract investments not only for its own direct initiatives, but also for any project outside the Board that stands to benefit the Region's workforce.

3.) Maintain a Strong Reputation for Governance and Programmatic Outcomes. The Board recognizes that its ability to attract investment in the region is directly connected to its reputation with the funding community. Accordingly, the Board has gone to great lengths to demonstrate programmatic excellence and fiscal prudence. Included with this is the pledge to keep administrative costs as low as possible and ensure that as much funding as possible passes directly through to clients in need.

4.) Expand the Jobs for American's Graduates (JAG) Program and Related Efforts. Southeast Indiana, like much of the state, is facing a profound need for qualified workers. The Board recognizes that the JAG Program and related Dropout-Prevention Initiatives (such as iGrad) are particularly well-suited to assist with this pipeline issue, as well as the social and cultural challenges described above. As such, the board has pledged to sustain and expand the Dropout Prevention work in the region, in hopes of reaching every high school student in the Region.

5.) Expand Services to Local High Schools to Address the Worker Shortage. In addition to JAG and iGrad, the Board has adopted an aggressive strategy of outreach to all area High Schools, specifically aimed at addressing the long-term worker shortage. While Unemployment remains low, the Board

has directed WorkOne staff to deliver more services outside of the office—directly to the jobseekers and employers that need them most. Additional details of this initiative are provided in section 3.7.

IN-SCHOOL YOUTH

As described above, the Board highly values the JAG Program, along with similar initiatives such as iGrad that provide intensive career counseling and supportive services to in-school youth. The Board has placed the full emphasis of its WIOA In-School Youth funding on these initiatives in the hopes that one day every High School in the Region will have this program available.

OUT-OF-SCHOOL YOUTH

Though the Region has placed a great deal of emphasis on assisting students before they leave school, we still provide a robust array of options for out-of-school youth. The Region has a thriving relationship with the Adult Education Program, as reflected in strong WorkIN performance. Throughout the past two years, Region 9 has achieved the highest percentage of ABE students enrolled in WorkIN in the state. Young adults are offered robust case management services as needed, and in many cases provided with supportive services to supply transportation assistance, purchase uniforms or related equipment, etc. Additionally, as there is an ongoing worker shortage, many out-of-school youth can be linked directly into the job market via WorkOne case managers.

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

The Board's vision aligns well to the strategies outlined in the State Plan. The cited worker shortages reflect the same trends experienced locally, and three main pillars of Indiana Career Council's Strategic Plan (Align, Engage, and Advance) are reflected in every level of the Board's work. More specifically, the Board has formally partnered with the Region 9 Works Council to ensure that our efforts are complimentary rather than duplicative. Thru this partnership, the Board has as an ongoing opportunity to evaluate its initiatives in light of the State's overarching vision. A goal-by-goal breakdown is supplied below in item 2.3.

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

- GOAL 1: SYSTEM ALIGNMENT -- Create a seamless one-stop delivery system where partners provide worker-centric and student-centric integrated services.
  Partners within the talent development system are working with limited resources as well as limited information about the services being provided by one another. Agencies have similar goals and complementary services, yet programs often operate in silos. The system should align around solutions, rather than funding streams and programs. Greater focus must be given to a true systems approach which aligns resources to maximize their impact and fundamentally transform the way in which workers and students engage with, and are served by the system. Within such an approach, agencies and organizations work together, integrating resources and services, sharing goals, strategies, and successes, and ensuring that students and workers are provided with opportunities to improve their education, knowledge, and skill levels.

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

in-demand careers.

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

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

  The National Governors Association reports:

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

  Due in part to the limited public resources available for education, training, and career development, it is important that the State ensure that the resources it makes available are closely aligned with the sectors that are key drivers of the state's existing and emerging economy. Further, partners within Indiana's education, job skills development, and career training system must enhance their ability to engage meaningfully with employers within these sectors, and ensure that programming addresses the emerging and existing education, knowledge, and skill needs of these sectors from entry level to advanced. Concurrently, the State and its partners need to ensure that there are effective and meaningful forums for employers in these sectors to collaborate with each other and to work with the system's partners.

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

GOAL 1: System Alignment

The Board's governing philosophy embraces the concepts of System Alignment outlined in the Indiana State Plan and the Career Council's Strategic Plan. This is true of the Board's approach towards administering the WorkOne offices, but also in our approach to regional collaboration with key partners such as the EcO Network and the Governor's Regional Work Council. As reflected in the list of local Goals, the Board recognizes that there

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

are not enough resources available for every partner to prop up their own self-sustaining operation in every community.

As Region 9 is largely rural and less populated than many other Regions in the state, we have grown accustomed to receiving smaller allocations of available resources. This certainly exacerbates the challenges facing the Region, but it has also necessitated a culture of collaboration amongst its leaders in the public, private and social sector. Within Region 9's six WorkOne offices, we have embraced both required and optional WIOA partners, and we have also greatly expanded our outreach and services to area High Schools.

Perhaps the most significant example of alignment is the Board's extensive partnerships with the EcO Network. This wide-ranging collaborative has been recognized by the Department of Labor as a best practice for sector strategies and large-scale partnership, and was recently awarded a $1.8 million dollar Skill Up Grant. The EcO Network is coordinated by the Columbus Education Coalition, the Southeast Indiana Workforce Board, the Region 9 Works Council and the Area Health Education Center, and (most importantly) is driven by the needs of 100+ employers throughout the regions. These groups have aligned their goals and resources to ensure that students, jobseekers and employers in Southeast Indiana have access to the programs and services they need to succeed.

Via these collaborative relationships, all of the tenants described in Sections 1.1-1.4 of the State Plan are evident in the Region.

GOAL 2: Client-Centric Approach

The Board wholeheartedly agrees that workforce solutions need to be accessible to the clients that need them and catered to them specifically. The aim is to provide a comprehensive career pathway, with a sufficient number of "on-ramps" to appeal to clients regardless of their experience, capacity and barriers. As such, the Board works closely with its partners, particularly at the EcO Network, to educate the population about High Demand and High Wage occupations and navigate them through the available options.

Particular attention has been spent on exposing secondary students to career pathways in their surrounding community, with Advanced Manufacturing being the most prevalent. In line with this, the Board has embraced the renewed interest in Work-and-Learn models. The Region has utilized On-the-Job Training, Work Experience, Internships and Apprenticeship models—which have been initiated directly through the WorkOne system, as well as via partnerships with the school systems, the Conexus initiative, and programs such as JAG and iGrad. Generally, our regional employers are eager to participate in these initiatives, but we continue promote the benefits of these models throughout our network.

The Board's commitment to client-centered solution is also evident in its office footprint. Many citizens of Region 9 have limited transportation options and are not comfortable with remote or online services, which necessitates local face-to-face contact. As such, the Board has negotiated for free space in several counties that do not have a formal WorkOne office, and are sending staff to these locations to serve as a local access point for clients. The Board embraces the possibilities that technology provides, and recognizes that exposing clients to modern technology should be part of its mission. However, the Board is also committed to serving clients in a manner that provides the attention and time that they need to be successful, and will provide as many face-to-face access points as funding allows.

GOAL 3: Demand Driven Programs and Investments

The Board shares the State's belief that employers should be dictating the direction of workforce development efforts, and that workforce solutions are meaningless without genuine demand. Thankfully, the Board has a robust relationship with employers, and the majority of its members are employers themselves. Our Key Partners, including the Governor's Works Council and the EcO Network, are largely comprised of employers or are otherwise guided by demands of the employers in their network. For example, over 100 employers contribute in some manner to the EcO Network. More information on this unique regional initiative is provided below in section 3.2.

The Board applauds DWD's Demand-Driven Initiative and ongoing support for Local Business Consultants, as these efforts greatly aid our ability to connect to regional employers and relay local conditions to the State.

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

The Board recognizes the value and significance of federal performance accountability measures, and these are actively monitored by both the Regional Operator and the Service Provider. As WIOA funds provide a substantial portion of the operating costs for physical infrastructure, there is a strong obligation to utilize these dollars in the manner set forth by the Department of Labor. Rather than pursuing outcomes metric-by-metric, the Board adopts a holistic approach to workforce development—focusing on the entire workforce and education environment, with the understanding that improvements to system overall will ultimately improve individual measures. This is reflected in the Board's goals, which hinge on interdisciplinary partnership and collaboration. The Board views that this system-wide approach will generate longer-lasting improvements and have ancillary benefits beyond those encapsulated by the WIOA measures.

Official measures are tracked monthly by Board Staff and reviewed formally with the Service Provider on a quarterly basis (at minimum). Accountability standards are also included in the contracts with both the Regional Operator and the Service Provider.

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

While the WIOA Accountability Standards provide a valuable gauge of the effectiveness of certain services, they do not offer a complete picture of the Board's work. Additional variables are monitored regularly to ensure that the Board, its staff, fiscal agent, Service Provider and Regional DWD personnel are performing to their full potential.

Additional Measures include:

- Percentage of funds applied to direct-client services. The Board uses this to ensure that overhead expenses do not have an outsized impact on our clients' opportunities for success. Naturally, the Board aims to keep this percentage as high as possible.
- Overhead Rate. Similar to the Direct-Client services percentage, the Board monitors overhead cost as a litmus test for the health of the overall system.

- Office Traffic. This data helps the Board determine where the need for services is most acute, and informs budget decisions about where funds should be invested.
- Total Funds Raised (Directly & Indirectly). The Board views this a measure of the Region's reputation, the strength of its partnerships and its capacity to attract investment. Notably, the Board tracks direct fundraising as well as regional fundraising (in which the Board is a supporting player rather than the direct recipient).
- New Programs Started & Sustained. A simple measure of the expansion of programs, particularly JAG, iGrad and Related Dropout Prevention Work.
- Relative Performance (Compared to other Regions). The Board compares performance to other regions in the state to ensure that we're being competitive and learning for promising practices.
- HS Outreach Variables. The Board tracks a number of variables related to its High School Outreach Initiative, including the number of involved schools, number of classes taught and students attending, number of resumes distributed, internships, placements, and others.

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

As described above, the Region's most aggressive and novel approach towards addressing the need for 1 Million Jobs is our effort to provide WorkOne Services directly to all the Region's high schools. This project has garnered a great deal of attention in the few short months it has been implemented, and the demand has already far outweighed our capacity. This represents a natural, but heretofore underutilized intersection of disciplines. We have found that the schools are ready and eager to address career readiness issues, but lack the specific expertise or best practices. By serving as direct provider of service, but also as a liaison between schools and relevant partners, we are ensuring that the best ideas and breakthroughs are benefitting the entire Region rather that individual schools. This influence is clearly seen not only in the rapid adoption of our High School Outreach Project, but also in the expansion of JAG from 4 to 6 schools, the creation of 4 new Dropout Prevention Programs utilizing regional best practices and the expansion of the Cub Manufacturing Project in Madison and Seymour.

Naturally, the region's WorkOne centers are also feeding the jobseeker pipeline via existing programs. Our relationship with Adult Education is thriving, as evidenced by our best-in-state implementation of WorkIN. This program is well suited to the opportunities and challenges of the Region and we have taken full advantage the State's generosity on behalf of our clients. HIRE achieved great success with ex-offenders, with over 200 of these hard-to-serve clients achieving placements in PY15. Rapid Response is a major focus heading into PY16, and we anticipate more projects related to layoff aversion than prior years. REA, Jobs for Hoosiers and RESEA are important drivers of traffic into offices, and provide a key opportunity to expose our clients to our full range of services. Our Veterans Programs have been augmented greatly by the NEG funds, which now provide comprehensive training opportunities for returning serviceman and women. Lastly, while there thankfully have been relatively few TAA-qualified events in Region 9, the program remains a powerful and flexible tool in our arsenal.

The worker shortage is certainly a statewide issue, but particularly so in Southeast Indiana. As reflected in the Board's goals, addressing this need is our principal challenge, and we are encouraged by the State's ongoing attention to the matter.

Section 3: Local Area Partnerships and Investment Strategies

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

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

The Board maintains extensive connections to the organizations providing core programs in the Region, and views them as the foundational components of the Workforce System in Region 9. Adult, Dislocated Worker and Youth Service are contracted directly with the Board, and the region's Direct Service Provider, River Valley Resources (RVR) has established a reputation for excellence in these realms. An added benefit of this contracted relationship is that RVR is also an Adult Education Provider in the Region, which has allowed extensive integration of WorkOne and ABE Services. Wagner Peyser Staff are hosted in the 3 larger regional offices (Columbus, Lawrenceburg and Madison) and are fully integrated with other key programs such as TAA, Veterans Services, REA, Jobs For Hoosiers, etc. Wagner Peyser staff are functionally supervised by Regional Operator and Service Provider staff, which ensure alignment with local and state goals. Vocational Rehabilitation frequently utilized the WorkOne offices to meet client and disseminate information, and a VR Representative sits on the Board. Additionally, VR and WorkOne have initiative a collaboration recently in which Subject Matter Experts from each group are identified and trained so that they can return to their respective teams and education their colleagues about available services.

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

The Indiana Region 9 Workforce Board has long viewed collaboration to be the cornerstone of Workforce Development. As one of the smallest regions in the state by population, the Board learned long ago that partnership is not merely advisable, but in fact a necessity to ensure that there are sufficient resources available to address the needs of local employers and jobseekers.

This approach as only amplified in recent years. In October of 2013, the Board contracted a new Operator, National Able Network, with the explicit directive to renew and expand regional partnerships with Employer, Local Elected Officials and Key Stakeholders. This renewed focus was well-timed, as it aligned with the creation of the Indiana Career Council, the establishment of Regional Works Councils and the beginning of a new phase in the long-running EcO15 Initiative. Throughout 2014 and 2015, the key stakeholders in the Region (including the Workforce Board, the Works Council, the EcO15 and the Area Health Education Center amongst many others) laid the foundation for a truly-unprecedented region wide partnership, marrying the key players in the realms of Workforce Development, Educational Attainment and Employment across the 10 county region.

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

This formalized cross-sector partnership aligns this diverse range of organizations under a shared desire to respond to the needs of regional employers, under a shared strategic framework. In this manner, each of the core partners maintains its core identity, membership and function, but also contributes to and guides broader, regional projects. Similarly, each organization benefits from the resources (including professional networks and employer relationships) of the others, which dramatically increase the scope and impact of their respective work. This all takes place under the agreed-upon umbrella of the "EcO Network".

The potential of this new collaborative was validated in February of 2016 with the $1.8m Skill Up Award, and the Board views this as the preferred platform for all of the major workforce and education initiatives moving forward, including the proposed Work & Learn Liaison Project. While the Board would remain the designed grantee and the work would be directly overseen by Service Provider and Board staff, the project would take place within context of the overall EcO Network structure—which will ensure that it is driven by employer demand and will leverage every available resource in the region.

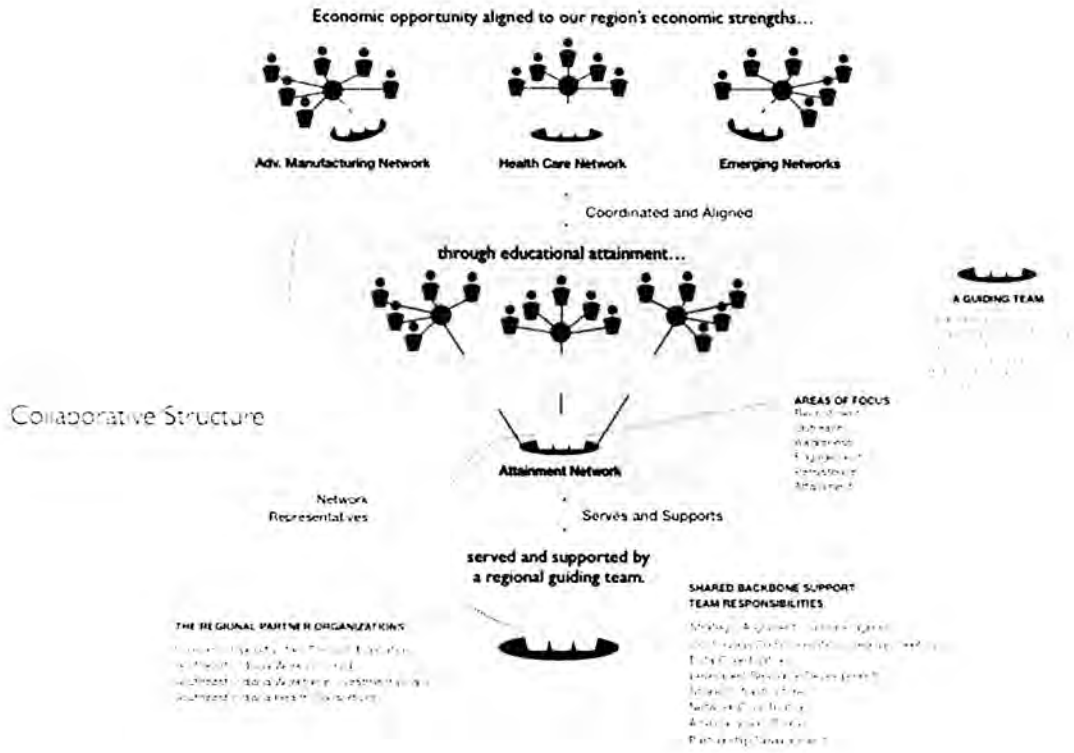
About the EcO Network:

Since 2007, the EcO Network (Economic Opportunities through Education) has been bringing together hundreds of stakeholders from a ten-county region of Southeast Indiana that mirrors Economic Growth Region 9 (EGR).

Recently, the EcO Network re-organized itself to focus its work on moving from county-based efforts to regional "Networks" that are currently targeted at increasing educational attainment aligned with the key economic sectors of advanced manufacturing and healthcare.

Today, there are over fourteen programs and seamless pathways projects that are in various stages of implementation across the region. Central to the work is the bringing together of the united voices of manufacturing and healthcare leaders, working alongside educators and community representatives to recruit students into manufacturing and healthcare while providing knowledge about the industries and forming deeper, long-term relationships with parents, teachers, and counselors in their communities.

The opportunity to apply the learning acquired through the current seamless pathways work, while incorporating a deeper level of relationship and program development is exciting for our region. In fact, since November of 2014, EcO, the Southeast Indiana Workforce Investment Board, Region 9 Works Council, and a healthcare leadership consortium (including educators from Ivy Tech Community College, Indiana University-Purdue University Columbus, Columbus Regional Health, and East Indiana Area Health Education Center (EI-AHEC) representatives) have shared their respective goals and areas of focus, and have agreed to work together collectively with the shared purpose of creating a coordinated and aligned learning system.



Additional detail on the EcO Network, including a directory of Manufacturing, Health Care and Attainment Network members is included as Attachment D. Additionally, a number of key partners have ratified a formal EcO Network Partnership Agreement, including the signed endorsements from the leadership of the following guiding organizations:

- Batesville Tool & Die
- Center for Coalition Building
- Columbus Regional Health
- Community Education Coalition
- Decatur County Community Schools
- Duke Energy
- East Indiana Area Health Education Center Indiana Region 9 Workforce Board 17
- Indiana Region 9 Works Council
- Indiana University-Purdue University of Indianapolis
- Ivy Tech Community College
- Ohio County Community Foundation

In addition to the wide-reaching EcO Network collaboration, the Board maintains strong ties to other key WIOA Partners, including:

- Adult Education and Literacy
    - This work is conducted by three organizations: River Valley Resources (RVR), McDowell, and the Jennings County School Corporation. As RVR is the Board's contracted WIOA Adult, DLW and Youth Service Provider, we have been able to fully integrate WorkOne and Board work with

Adult Education. This is evidenced by our consistently strong performance with WorkIN.

- Wagner-Peyser
  - Wagner-Peyser staff are integrated seamlessly into our 3 larger offices (Columbus, Lawrenceburg and Madison). While these are technically DWD employees, they are functionally supervised by Board and Service Provider staff.
- Vocational Rehabilitation
  - We have a robust partnership with Vocational Rehabilition. A VR Representative sits on our board and their staff frequently utilizes WorkOne facilities to meet with clients. We are presently working with them on the cost-sharing aspects of WIOA. Additionally, the Region has a Disability Employment Specialists who works closely with VR for the Ticket to Work Program.
- Temporary Assistance for Needy Families
  - The Region has embraced DWD's utilization of TANF funds to supplement the JAG program, and due to strong performance we've been able to expand our JAG offerings to 2 additional schools in the past year. The WorkOnes frequently education and refer clients regarding TANF and the related IMPACT program administered by ResCare.
- Supplemental Nutritional Assistance Program
  - WorkOne frequently refers clients to the Department of Health Services for the SNAP program. This is particularly robust in Madison, which is co-located with a food pantry as part of the Clearinghouse Project.
- Carl D. Perkins Career and Technical Education Act of 2006
  - We have strong relationships with the Career and Technical Education providers in the Region: the Southeastern Career Center and C4. The Board's Director sits on the Governor's Works Council with the Executive Director of each of the sites. All Board meetings are held at the Southeastern Career Center and we are in discussions about co-locating WorkOne staff on campus.

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

The Board and its partners have embraced a culture of transparency and cooperation throughout the Region. Key staff from each agency are in continuous contact, within the context of formal meetings (i.e. Workforce Board, Works Council, EcO Network Meeting, and others) and informally via remote communication. These groups have also developed shared goals, and formalized their support of each other in the aforementioned EcO Network Partnership Agreement. The unprecedented degree of connection enables each entity to maximize its available resources, leverage outside programs and ensure that every individual iniative takes places within the context of a regional workforce system.

While the coordination is robust, the group is always looking for ways to improve. The Steering Committee of the EcO Network has recently proposed a Regionwide Workforce Summit for the Fall of 2016 to ensure that word of our collective work is disseminated throughout the entire system. Additionally, the partners groups have hosted combined meetings and are presently exploring the option of adopting concurrent or complimentary meeting schedules to ensure that all members (particularly employers) are able to participate in as many regional activities as possible while minimizing the logistical burdens.

3.4 Identify how the local board will carry out a review of local applications submitted under WIOA Title II Adult Education and Literacy, consistent with the local plan and state provided criteria. NOTE: *Since this*

guidance has not been finalized by the state, this item does not need to be addressed now. [WIOA Sec. 108(b)(13)]

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

The Board recognizes that its goals are closely aligned with those of the Economic Development Agencies in both our Region and Indiana as a whole. There are two Local Economic Development Officers (LEDOs) on the Board (representing Ripley & Switzerland County) and the Board's staff is regularly in contact with others throughout the Region. The Board is often asked to provide data for site inspectors or collaborate on pitches for incoming businesses. Additionally, we are in conversations with Dearborn County to explore co-locating our WorkOne office with the local Economic Development group. This Workforce and Development Hub would be attached to a local Ivy Tech office, and allow us to deepen our relationship and provide logical connections to our respective client and employer networks.

Additionally, through the Skill Up Initiative and the EcO Network, the Board has supported innovative programming such as the Cub Manufacturing project at Madison Consolidated High School. This class-based project entails students designing and manufacturing an actual product on site, which will then be marketed and sold to consumers. This teaches entrepreneurial skills and expose students to a range of relevant occupations. With the aid of Skill Up Dollars, this initiative is set to expand in the 2016/17 school year and Seymour High School has started their own on-site manufacturing project.

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

The Board has contracted with River Valley Resources (RVR) to provide WIOA Adult, Dislocated Workers and Youth Services. On major benefit of utilizing this contractor is that they are also an Adult Education Provider in the Region. As such, they can seamlessly connect all aspects of the WorkOne system, including our Business Services efforts, into their ABE work. Additionally, they have developed a strong partnership with the other ABE providers in the Region (McDowell and Jennings County School Corporation), which ensures that they are informed about WorkOne operations and everyone is pulling in the same direction.

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

The Board maintains a strong working relationship with secondary and post-secondary programs. We have strong ties to our 4 JAG schools (Brookville High School, Jennings County, Madison Consolidated, and Seymour) since the inception of the program, but were extremely grateful to add Lawrenceburg High School as a 5th during the 2015-16 school year. JAG schools have a Service Provider staff member on site every day of the school year, which provides an ideal way to connect the schools to WorkOne programs.

In the past year, the Board has introduced a wide-reaching High School Outreach Initiative, with the expressed aim to add more high school students to the pool of available workers. This involved surveying all 27 high schools in the region to assess their current Job Readiness programming and offer WorkOne Services.

Additionally, WorkOne staff are collecting student resumes to disseminate to employers. Though this work did receive a modest investment of EcO's Skill Up Funding ($17k) it became immediately evident that demand for services far outweighed capacity. To date, staff has assisted with the creation of over 500 resumes and conducted 250 mock interviews with students.

An additional project involving high schools was the Expansion of Dropout Prevention Programs, also funded by Skill Up. This project involved contacting local high schools that were interested in starting new Dropout Prevention Programs (similar to JAG or iGrad) and providing them seed funding and consultation. Schools were asked to split the costs of Year One implementation and were 100% responsible for ongoing sustainable. Utilizing this method there will be 4 new programs in place for the PY16-17 school year (Switzerland County, Madison Consolidated, Brownstown and South Ripley High School).

Regarding post-secondary partners, the Chancellor of Ivy Tech sits on the Board, chairs the Region 9 Works Council and participates in the EcO Network Steering Committee—all of which involve close work the Board's Director. IUPUC also participates in the latter along with the EcO Attainment Network. Additionally, the Board has recently connected with Hanover College to discuss prospective degree programs, and this led to integration with our network of employer partners and the EcO group.

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

All WorkOne staff are trained to recognize and honor priority of service clients, including Veterans, recipients of public assistance, other low income individuals as outlined in WIOA T1 (134) – P2, and individuals who are Basic Skills Deficient. The majority of current WorkOne clients fit into one of these categories—as of April 2016, the rate for WIOA clients was 91%.

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

The EcO Network collaboration has been cited by the State Workforce Board as a best practice for Sector Strategies, and was also the recipient of a $1.8mil Skill Up Grant designed for that purpose. While, the EcO Network has 3 main branches (Manufacturing, Health Care, and Attainment), the Manufacturing team is by far the most robust. This includes dozens of local manufactures (including both Cummins and Honda) working in collaboration with the Board, the Works Council and other local leaders to address the workforce and education needs in the Region.

This structure is highly formalized, with stakeholder meetings held every-other month and large scale group meetings at least once a year. A regional Workforce Summit has been scheduled for November of 2016 to publically demonstrate the aims and outcomes of the collaborative.

More information on this collaborative is provided in above in section 3.2.

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

The Board is committed to the creation of Career Pathways in the Region, as evidenced by our work with all age groups and skill levels. This is also an explicit goal of the Columbus Education Coalition and the EcO Network, and the Board views our ongoing collaboration with them to be the principal expression of this commitment. Over 10+ years, the Board, the Columbus Education Coalition and its partners have worked to align the education system with the Region's economic opportunities. An infographic included as Appendix A provides a good synopsis of the current state of Seamless Pathways in the Region.

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

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

This may include the implementation of incumbent worker training programs, on-the-job training programs, work-based learning programs, apprenticeship models, customized training programs, or utilization of effective business intermediaries and other business services and strategies that support the local board's strategy in 3.1.
[WIOA Sec. 108(b)(4)(A&B)]

A. Employers are engaged directly thru participation in the Board, Region 9 Works Council and the separate components of the EcO Network. Additionally, we are frequently provided ground-level employer feedback from our Local Elected Officials and the ongoing work of the WorkOne Business Services Team. BST Members are in daily contact with employers as they are investigating job needs, exploring available positions and connecting available jobseekers.

While most of this work is conducted informally during face-to-face meetings or remote communications, the Board also supports and conducts formal surveys as needed. For example, as part of the Skill Up Initiative, the EcO Network is conducting a formal survey of regional employers to ascertain their current and future IT needs. The results of this project with dictate what responses, if any, are required of the Board, WorkOne and its partners.

B. The Board and WorkOne staff support a comprehensive, demand-driven workforce development system by convening and engaging directly with the relevant stakeholders, participating in regional projects and initiatives (regardless of whether they are Board-led) and serving as a liaison between these stakeholders, their projects, and the broader community of partners and funders. The Board interprets WIOA as a mandate to invest its time and resources to support any project that stands to benefit the Region's workforce. This work is approached with a great sense of obligation, but no demands of ownership or control. The Board views this as the only way to address the substantial challenges that the Region (and indeed the state) faces in regards to worker development, talent attraction and educational attainment.

C. As described in Section 3.5, the Board engages directly with Economic Development partners, both in and outside of the formal Board Meetings. The Board hopes to expand on this via the aforementioned co-location project in Lawrenceburg, but also though encouragement of a proposed region-wide meeting amongst the 10 LEDOs. Such a meeting would be of great benefit, as it would allow partners to collaborate, share best practices, and better align their individual strategies.

D. Historically, the WorkOnes have enjoyed a close relationship with the Unemployment Insurance (UI) Program, as they are co-located in 3 of the 6 regional offices. Related staff work together on a daily basis, particular with programs designed to expose UI Claimants to the services the Workone offers (including Jobs for Hoosiers, REA, UCREA, RESEA, and others). It is a known issue that many in the general public still associate the WorkOnes with the Unemployment System—this limited view as persisted despite substantial efforts to contrary—but at minimum this association reflects how interconnected these services have become.

Recent changes to the implementation of UI have reversed this trend, as more claimants are onboarded into the UI system remotely via Indiana Career Connect and the UI Call Center. There remains, however, a strong demand for local assistance, and WorkOne staff continues to experience a high level of demand for navigational support and over-the-shoulder assistance. The Board expects this need to continue, as technology adoption and literacy continues to lag in rural areas.

The pending changes to the RESEA program will also provide an opportunity to connect UI Claimants to WorkOne services, as Service Provider staff will now directly oversee both functions. This is a positive development that will enable an even deeper level of integration.

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

The Board has been very successful at attracting additional allotments of established program funds such as WorkIN, JAG TANF, NEG, Work Incentive etc. Since the fall of 2013, the Board has received $1.7 million in extra program funds (which does not include base allocations). Furthermore, the Board was a key partner in the Eco Networks $1.8 million dollars Skills Up Award in February 2016. All these being said, these funds are almost exclusively DOL, DWD or Indiana dollars, and the Board aims to diversify its funding as much as possible. Though small grants have been received in the recent past (including $27k from Duke Energy and $5-10k Investments from local Community Foundations) the Board and its partners are well positioned to raise funds from Private Foundations and other segments of the Public Sector.

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

The Board has gone to great lengths to ensure that that as much funding as possible is directed to direct-client services, including training. After adopted a new structure in the fall of 2013, it successfully reduced administrative costs by 30% and the percentage of direct-clients services funding tripled. In PY15, this percentage peaked at 30%, but this is expected to decline somewhat in light of two consecutive years of severe cuts in the Region 9's WIOA allocation. As such, the Board is estimating a goal of 25% in the coming program years, and will aim to keep the fund percentage dedicated to training as high as possible.

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

The Board believes that collaboration should not be bound by the borders of our Economic Growth Region. In recent months, we have partnered with Region 5 to run a procurement for the NEG Veterans Grant, which not only saved time but also allowed for a higher level of scrutiny of the available bidders. While each region made their awards and issued contract separately, both benefited from the expertise of the others, and have agreed to share outcome data and lessons learned throughout the duration of the projects.

Another key partnership exists with the Workforce Boards in Southwest Ohio and Northern Kentucky. This formal partnership, known as Employers First, included for Workforce Development Boards, and aims to align workforce solutions across 3 states to better address the needs of employers—whose needs are not restricted to State lines or specific EGRs. In the wake of WIOA, this group created a new tri-state Strategic Plan to ensure that we were taking advantage of the flexibility and innovation that WIOA provides. Additional details are provided at http://www.employersfirst.org/.

Section 4: Program Design and Evaluation

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

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

The local board will expand access to employment, training, education, and supportive services with entities carrying out core programs through several strategies. Staff undergo cross-training covering the types of services and eligibility required by each service entity, and establish clear points of contact with each entity for further information sharing, service referrals, and ongoing collaboration. The local board will work in support of the statewide vision of integrated service delivery, collaborating with the Department of Workforce Development (DWD), the Family and Social Services Administration's Vocational Rehabilitation program, Supplemental Nutritional Assistance Program (SNAP), and Temporary Assistance for Needy Families (TANF) program, and their regional counterparts to promote discussions and progress on common intake and service delivery practices. A standardized referral format for Adult Education providers and WorkOne staff is already in effect, and the local board plans to establish such a standard for Vocational Rehabilitation, SNAP, and TANF referrals following the guidance of DWD as they work toward developing MOUs with these partners. WorkOne staff will create and distribute printed material to partner entities, post information about available services on the Internet, and provide one-on-one and group orientations on available services both for staff of other organizations and for the individuals seeking assistance. A minimum of 50 percent of individuals enrolled in the WIOA Adult program that are to receive intensive or career services must meet the criteria for priority of service, defined as recipients of public assistance, other low income individuals, or individuals who are basic

skills deficient. Staff will utilize a client-centric approach in working with each individual, and common information about an individual's employment, training, and supportive services needs will be shared, as feasible without violating the client's privacy, with other entities that may also be working with the client to provide the most comprehensive services and avoid duplication of services. The local board will also work to adapt the referral format for partner agencies to serve out of school youth. Out of school youth often benefit from supportive services from partner entities, and the assessment of need for those services are on-going throughout the client's period of participation.

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

The local board will utilize co-enrollment as appropriate to maximize efficiencies and use of resources. Co-enrollments for students attending Adult Basic Education (ABE) and also accessing career pathway training offered by the WorkINdiana funded program will are one priority. For WorkINdiana funded training programs, each individual is to also be enrolled into the corresponding WIOA program, Adult, Dislocated Worker, or Out of School Youth. This co-enrollment strategy provides more supportive services and resources that allow for a more comprehensive client-centric approach. Co-enrollment into WIOA programs based on eligibility will be pursued when in the best interest of the individual so as to provide the selection of services most beneficial to the individual. Direct service staff will also take into account the percentage of clients meeting the priority of service guidelines for WIOA Adult enrollees when determining if a WIOA Dislocated Worker is co-enrolled, or served only by the Dislocated Worker program.

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

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

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

Region 9's Workforce Development Board, the Southeast Indiana Workforce Investment Board (SEIWIB) meets bi-monthly. During these meetings all performance and financial data reports are reviewed and the board compares actual and planned performance and expenditures. This ongoing effort allows SEIWIB to see the big picture of service delivery on a regional basis and to discuss any areas for improvement or modification. The training providers are evaluated by individuals who participate in those programs, and SEIWIB uses these evaluations to ensure continuous quality improvement. SEIWIB has a customer feedback questionnaire used by regional operator National Able Network to solicit the opinion of job seekers regarding the quality of services in WorkOne offices. Additionally, employers who hire candidates through On-the-Job Training (OJT) and

supervisors of Work Experience participants through the WorkOne offices are asked to complete satisfaction surveys.

SEIWIB also reviews the monitoring, data validation and audit reports that are provided by the State DWD monitoring team on an annual basis. The reports identify deficiencies that are to be addressed, as well as best practices that can be adopted or shared. All of these avenues of information provide SEIWIB with the tools required to determine if the needs of employers, and workers, and job seekers are being met, and gives the board the knowledge to provide effective guidance to direct service providers.

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

WorkOne clients in Region 9, who often live in remote or rural locations, have benefitted greatly from service staff flexibility in providing WIOA services. In areas where there is no WorkOne office, or in rural areas, staff provide access to services by offering workshops in selected locations accessible by the public or in space borrowed from a partner agency. These offsite workshops are advertised to the public using workonesoutheast.org, local newspapers, LinkedIn postings, Chamber of Commerce email blasts, and physically-distributed flyers. For example, staff from the full-service Lawrenceburg office travel to Ohio County provides WorkOne services such as application assistance, job search activities, counseling and one-on-one services for interested individuals. The Indiana DWD's new online data system, available in October 2016, will allow individuals to learn more about WorkOne services and gain information about WIOA. This virtual one-stop system, integrating all components of WIOA seamlessly in a unified, web-based platform, will greatly enhance services to customers in remote areas as well.

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

All entities including the WorkOne offices and Workone partners will comply with WIOA Section 188 and the applicable provisions of the Americans with Disabilities Act to ensure inclusion and universal access to programs, facilities, services, technology and materials. WorkOne staff utilize the array of marketing materials provided to the offices by DWD, which include the appropriate language and images to promote universal access and equal opportunity for all individuals with disabilities. WorkOne offices also display and distribute a variety of brochures to explain and promote the services offered through the WIOA programs, each containing the type of information and images that will promote universal access.

All WorkOne physical facilities are surveyed using a checklist to determine compliance with the ADA, as required by DWD. All offices are fully compliant with the Americans with Disabilities Act and with other equal opportunity laws. Modifications for accessibility will be made if the local board or DWD determine through the checklist or through other means that a more efficient or accessible arrangement would best serve those with disabilities.

Those who seek services within a WorkOne office are asked if they have a disability as part of the application/intake process. During this process clients learn that all disclosure is voluntary, that any disclosure is kept strictly confidential, and that disclosing a disability may help WorkOne staff to better provide fully accessible services and opportunities. If appropriate, a referral is made to Vocational Rehabilitation (VR) programming. VR Counselors make regular visits to the WorkOne offices to meet with staff and clients. This arrangement has given clients participating in both programs easy access to the VR Counselor at the WorkOne sites.

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

The Board will submit all required MOUs by December 31, 2016 in accordance with the MOU guidance issued by DWD on April 16, 2016. The MOUs will describe the roles and resources contributions of each partner. The Region partners are listed in Section 3.2 of this plan. It includes the EcO Network collaboration which is a strong partnerships in Region 9.

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

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

Technology is used to deliver a variety of WorkOne services in Region 9. Each WorkOne office has wireless public Internet access, personal computers for public use, personal computers for instructional labs & workshops, copiers, scanners, fax machines, and telephones. Mobile PC labs for onsite activities such as rapid response are available.

Onsite internet access allows individuals to conduct job search online, register in the state job matching system (Indiana Career Connect), and file unemployment claims. Online learning courses may also be accessed. The regional website will allow individuals to view a calendar of upcoming activities and services scheduled at each of the six WorkOne offices. Upcoming job fairs and hiring events in the region and nearby are posted as well. Each office has a Twitter account which is used as an informational bulletin board for new job openings, job fairs, workshops and other employment related services and activities. Email is commonly used by WorkOne staff to communicate and follow-up with program participants. Individuals are assisted with setting up email accounts and other online job search tools as needed.

A key to maximizing the benefits of technology is to develop the technology competency of individuals receiving WIOA services. To accomplish this, classes in basic computer operations and common business software applications are offered through WorkOne offices. With the advent of the cloud-based software accessible to the public such as Google Docs, instruction in the use of these services will be piloted. Use of this or similar systems can provide job seekers with access to necessary job search documents (resume, work history,

certifications, diplomas, etc.) from anywhere on-demand. In remote areas, the availability of evening after-hours open labs for online learning will be explored to increase the access to services for individuals who do not have a PC or internet access at home or who cannot schedule a time at another public resource center such as a library.

Technology equipment such as computers, printers, scanners, smart screens and boards will be upgraded as resources permit on an ongoing basis.

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

A variety of services are available to adults and dislocated workers to assist in their education, training and employment opportunities. Workshops to assist individuals to prepare to locate, obtain and retain employment will include resume best practices, interviewing skills, social media job search skills (e.g. using Twitter or LinkedIn), networking, basic computer skills, and financial literacy skills. Assistance in using computers to complete employer applications and to register for the Indiana Career Connect job matching system will also be available. Individuals will be invited to and encouraged to attend hiring fairs held in WorkOne and other locations. Basic education instruction will occur by referral to Adult Education and literacy programs specializing in this instruction. A blended funding stream approach provides systemic strength, as individuals working toward a High School Equivalency may begin a career pathway program at the same time and take advantage of WorkINdiana resources. Training beyond an initial career pathway short-term credential program, leading to a technical certificate or associate degree in a high-wage, high-demand occupation, may be appropriate for certain WIOA clients as well. Employers will be contacted by WorkOne business services staff to facilitate on-the-job training and work experience opportunities, other employer options for individuals seeking to gain more work-based skills, and permanent employment opportunities. An incumbent worker policy may also be adopted based on guidelines set by state policy. Training available for incumbent workers would allow for skill upgrades benefitting the specific employer, paired with employer commitments to retain the workers who complete training and learn the requisite skills needed by the employer to increase productivity and profitability.

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

There are two program models used in Region 9 for in-school youth programming: a WIOA In-School Youth (ISY) program, and the Jobs for Americas Graduates (JAG) program.

The WIOA ISY program is individualized based on the needs and interests of each client. Region 9 WorkOne offices offer this program for youth attending high schools that do not offer the JAG program but who could benefit from intensive case management to ensure they meet their academic and employment goals.

The JAG program and curriculum is the most-used model used in Region 9 for in-school youth programming. Currently, there are six programs operating in five local high schools: Madison, Seymour, Lawrenceburg, Jennings and Franklin.

The classroom curriculum for JAG is based on prioritizing high school graduation, preparation for post-secondary education, and work readiness. Thirty-seven core competencies are identified and clustered into six functional areas: Career Development, Job Attainment, Job Survival, Basic Skills, Leadership and Self Development, and Personal Skills.

Core elements for WIOA ISY and JAG programming are as follows:

Tutoring and study skills training, and evidence-based dropout prevention and recovery strategies

- The JAG program is a combined drop-out prevention and career readiness program. The curriculum, the one-on-one attention of the specialist, and the exposure to employment and education opportunities all focus on high school graduation and preparation for adult life after high school.
- WIOA ISY may include intensive tutoring or completion incentives when a need for additional support is identified as well as individual case management in support of obtaining a high school diploma.

Alternative secondary school services, or dropout recovery services

- Students who are participating in alternative schools through the local districts may participate in the JAG program if appropriate. Also, if a JAG student does drop out of school during their period of participation in JAG, they will continue to receive services from the JAG Specialist outside of the normal classroom. The Specialist encourages and supports the student in efforts to begin ABE classes, or return to high school if possible.
- WIOA ISY serves youth in alternative schools with an identified need, who participate in their local high school program or ABE center if preferred but continue to work with a case manager to set goals for completion or return to traditional school.

Work Experience that includes academic and occupational education as a component

- Both Youth Case Managers and JAG Specialists work with students to assess and determine interests related to work. Many students seek out and find work on their own, while others benefit from staff assistance to gain first time employment. The Specialists and Youth Case Managers seek out those employment opportunities that begin to fill a gap for many students, whether in developing an understanding of the importance of good work habits or in gaining exposure to an employment area of interest for the student. The Specialists and Youth Case Managers are able to help students relate the importance of academic success with career success.
- All WIOA ISY students participating in work experience opportunities complete a 6-module workshop called Skills to Pay the Bills, geared towards teaching the youth the soft skills that promote employment. Modules are: Communication, Enthusiasm and Attitude, Teamwork, Networking, Problem Solving, and Professionalism.

Occupational skills training

- One of the goals of the JAG program is preparation for post-secondary education. All JAG students are required to complete two college applications, and field trips are taken to college campuses. JAG Specialists work with students on financial aid applications and help prepare them in all aspects for occupational skill training at the post-secondary level. JAG funds have been used for college application fees, deposits for housing, short term trainings and other related costs for students that do not have the financial aid needed.

- WIOA ISY students pursuing a career pathway involving industry-recognized certifications are provided assistance with occupational skill training. Short term certification programs are often used such as CNA, CDL, or Welding, but longer term associate degrees are also funded if the career pathway requires it.

Education offered concurrently and in the same context as workforce preparation

- When needed, financial assistance is offered to students who are working on post-secondary training or credits while still in JAG. For example, students interested in nursing (or a related medical field) may complete a Certified Nursing Assistant program during the summer, either their junior year in high school, or immediately after graduation, with plans to enter college in the fall.
- WIOA ISY students may participate in a 'mini' work experience opportunity designed to help them attain soft skills and focused on gaining work experience for their resumes. Some youth clients pursuing a specific focused career pathway may participate in a longer 6-week work experience or OJT allowing them to practice skills they have acquired and gain the experience and confidence needed to continue on that specific career pathway.

Leadership development opportunities

- All JAG students have abundant opportunities to develop their leadership skills through activities such as JAG sponsored community service, local, state and regional competitions, and participation in the JAG Career Association.
- All WIOA ISY students are given the opportunity to participate in a variety of individualized activities to develop their leadership skills. Examples include life skills training, financial literacy training, community service participation, or discussion and exploration of post-secondary education and training opportunities.

Supportive services

- All students (JAG and WIOA ISY) have supportive services available to them. The supportive service funds are utilized to ensure that students who want to participate and take advantage of available services and curriculum have the means to do so.

Adult Mentoring

- The JAG Specialist and Youth Case Manager identify other adults who may serve as mentors for youth participants, and help guide the student to accept the mentor. Students in both programs need the individualized attention they receive from their Specialists, as well as from these individuals outside of the classroom to support the positive progress the students make while in these programs. The Specialists and Youth Case Managers identify family members, supporters or boosters of school activities, parents of students' peers, or supervisors in a work environment. Mentors may come from a variety of circles within the students' lives, representing positive adult role models in numerous capacities.

Follow-up services

- All students (JAG and WIOA ISY) receive 12 months of follow-up services. This is achieved through multi-modal communication including phone calls, texts, visits back to the classroom, outreach over social media, and others. Students are not simply notified these services are available; follow-up and ongoing communication are established as an expectation and requirement from the first time they become involved in either program.

Comprehensive guidance & counseling

- The JAG Specialists and Youth Case Managers are not professional counselors, but do know when and how to make referrals for students who need counseling services. Each community served has access to professional guidance and counseling, and if needed supportive service funding may be used to pay for them.

Financial literacy education.

- The JAG curriculum encompasses financial literacy elements. Students are offered incentives for developing and demonstrating key elements of financial literacy, including budgeting, opening checking and/or savings accounts, and other foundational steps.
- Financial Literacy education elements have been added to training offered to WIOA ISY students this year. Participants' levels of financial literacy are gauged through the intake process, and staff connect them to the necessary curriculum on an individual basis. Additionally, all youth participating in work experience complete 6 financial literacy workshops covering: Budgeting, Borrowing, Earnings, Investing, Services, and Insurance.

Entrepreneurship education.

- Both WIOA ISY and JAG students are provided several resources for entrepreneurship education. Youth can utilize WIOA funding to participate in the ISBDC (Indiana Small Business Development Center), which offers local workshops for young entrepreneurs in Indiana. The US Small Business Administration also offers many online resources and webinars that the youth can examine with their Specialist or Youth Case Manager to determine if business ownership is right for them.

Labor market and employment information/in-demand industry sectors.

- All of the information on the DWD as well as other resources, such as the Hoosier hot 50 jobs list, ICE, and ICC are either incorporated into the JAG curriculum or shared with the WIOA ISY individually. These resources give the students updated labor market information regarding in-demand industry sectors.

The desired outputs and outcomes of the JAG program in Region 9 are high school graduation; either post-secondary education with part-time employment or full-time employment, military enlistment, or apprenticeship with average wages at $8.50 per hour; and skill gains during program participation. The program is evaluated based on the actual performance compared to goals for each of these indicators, as well as the program capacity to recruit the required number of students per class (40). Additionally, the JAG program operates on a school-year calendar, but the Specialist remains in contact with students throughout the summer to maintain engagement. The JAG program has proven to be a valuable, structured model program that engages in-school youth in a meaningful and often life-altering way. However, the program's cost limits its availability to many Region 9 schools, especially smaller schools that may struggle to reach cost-effectiveness thresholds of 35-45 students per cohort.

The length of WIOA ISY program participation is based on the identified needs and the plan to address those needs for each youth. This period of participation can be anywhere from one month to more than 2 years. The desired outputs are a skills increase during the participation period, attainment of a credential, placement into employment or education, retention in employment, and earnings post-exit. The program is evaluated based on the actual performance compared to goals for each of these indicators and the number of individuals served. The capacity of WIOA ISY programming to be individually tailored to suit each client is a program strength. However, the program's staff-intensive nature affects service capacity, and the ongoing enrollment and exit process separates service delivery from the academic calendar which can in some cases negatively impact client engagement and progression.

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

The WIOA Out-of-School (OOS) Youth program is similar to WIOA in-school programming, in that it is very individualized based on the needs and interests of each youth, rather than offered as a standard model. Region 9 is divided into 4 service areas following county borders for Youth staff to recruit and serve youth. Program assessment begins at the time of enrollment and is an on-going process throughout the client's participation. Basic skills assessments (including TABE), as well as interviews with clients allow the case manager to gain valuable information about skill sets that need to be developed based on the career interests of each client. The Youth Case Managers immediately begin the referral process to ABE for any youth who has dropped out of high school. If a youth tests as basic skills deficient, but is a high school graduate, the Youth Case Manager also immediately refers that client to ABE for remediation. The Youth Case Manager works with the tools available through the DWD website as well as other sources to demonstrate to out-of-school youth the positive impact the High School Equivalency diploma (HSE) (and proficiency in basic skills) can have on their career opportunities and their earning potential, helping to overcome any reluctance on the client's part to completing their education. The Youth Case Manager also explains that incentives are available to youth clients when goals are met. For instance, a youth who obtains an HSE is awarded $250. Their supportive service needs are also discussed to assure clients that any needed assistance is available while they attend ABE classes. Case management staff take a comprehensive approach to the career planning process with youth, not simply providing a plan addressing only their obvious educational or training needs.

Case managers begin the planning of next steps with each youth as goals are met, and works with the individual to determine the best career path for them. The fourteen WIOA youth elements are considered for each youth in relation to their needs. For out-of-school youth, the WIOA elements are provided in the following ways:

<u>Tutoring, study skills training, and evidence-based dropout prevention and recovery strategies, etc.</u>

- For youth who have not yet received a high school diploma or HSE, this is most-often provided through ABE programs. If there is an identified need for more intensive tutoring, such training can also be provided through WIOA programming.

<u>Alternative secondary school services, or dropout recovery services</u>

- This service is available for youth who may have the option of returning to high school; however, this is not common in the OOS program.

<u>Work experience that includes academic and occupational education as a component</u>

- Work experience is delivered in a variety of circumstances with the OOS youth program. Many youth clients have no work experience at all when they begin participation in WIOA programming. They may be placed in work experience, concurrently or after attending ABE classes, to explore and experience the work environment and get the hands-on knowledge of the work environment. Others may be placed in a work experience opportunity after completing a certification program, such as dental assisting or CNA

training, to give them the opportunity to practice in the workplace the skills they've acquired. Work experience is an invaluable part of programming with OOS clients because it helps to build the experience and confidence that many need to succeed long-term.

- All out-of-school youth participating in work experience complete a 6-module workshop called Skills to Pay the Bills geared towards teaching the youth the soft skills of employment. Modules are: Communication, Enthusiasm and Attitude, Teamwork, Networking, Problem Solving, and Professionalism.

Occupational skill training

- Youth who are pursuing a career pathway requiring certifications are provided assistance with occupational skill training. Short term certification programs are often used for training including CNA, pharmacy technician, phlebotomy, office administration, IT certifications, and others. Longer training including Associate Degree programs may also be funded if feasible and if the client's career path requires it.

Education offered concurrently and in the same context as workforce preparation

- Youth who are working, whether through work experience or other employment, participate in workshops or one-on-one counseling with their Youth Case Managers to help understand how to handle issues in the workplace that may arise.
- As noted above, all OOS clients participating in work experience complete a 6-module workshop called Skills to Pay the Bills, offered prior to or concurrently with the work experience opportunity.

Leadership development opportunities

- All OOS clients are given the opportunity to participate in a variety of activities to develop leadership skills. Because services and activities are individualized, these are varied based on the given characteristics of the youth, but could include: discussion and exploration of post-secondary training options, financial literacy training, classes designed to give exposure to selected occupational areas, entrepreneurship exploration, and other life skills training.

Supportive services

- The supportive service needs assessment of all youth clients is an on-going process as they progress through activities and services. As an example, any youth who is participating in ABE classes who does not have the funds for gas to travel to those classes, can take advantage of financial assistance to facilitate their participation. Other types of assistance may be provided for child care, books needed for training, required clothing for a job, public transportation, and other supportive service needs.

Adult mentoring

- Youth Case Managers identify any youth clients in need of an adult mentor, working with those clients to identify individuals in their life who may serve in that capacity, or to get them involved in a mentoring program that may provide assistance. The adult mentor may be a family member, the parent of a friend, or an employer or supervisor willing and able to mentor the youth client one-on-one. Identifying a mentor who will have a consistent presence is important to help youth clients in reaching their goals.

Follow-up services.

- All youth clients are provided follow-up services for a period of 12 months. If it is determined the youth needs any additional supportive services to stay on a positive track, these can be provided.

Comprehensive guidance and counseling.

- Youth Case Managers are not professional personal counselors, but are capable of identifying youth clients in need of comprehensive or professional guidance. Case managers locate the professional resources within the community best-suited to help the youth client succeed. If needed, financial assistance is made available to youth for this purpose as well.

Financial literacy education.

- Financial Literacy education has been added to training offered to all WIOA youth this year. Participants' levels of financial literacy are gauged through the intake process, and staff offer the necessary curriculum on an individual basis. Skills to Pay the Bills workshops also focus on financial literacy education.

Entrepreneurship education.

- Several resources are available to youth clients in conjunction with this new service element. Youth can utilize WIOA funding to participate in the ISBDC (Indiana Small Business Development Center), which offers local workshops for young entrepreneurs in Indiana. The US Small Business Administration also offers many online resources and webinars that the youth can examine with their Specialist or Youth Case Manager to determine if business ownership is right for them. A mentorship with a small business owner or job shadowing opportunity can be established to give youth clients a first-hand look at owning their own business.

Labor market and employment information/in-demand sectors.

- A number of resources for labor market and employment information are available for youth clients through the DWD website, the Hoosier Hot 50 jobs list, Indiana Career Explorer, and Indiana Career Connect. These resources are shared with youth clients individually, giving students updated labor market information regarding in-demand industry sectors and Youth Case Managers the opportunity to reinforce the skills and training necessary to pursue their specified career interest.

The length of out-of-school youth program participation is individualized and based on the identified needs and the plan to address those needs for each youth client. The period of participation can range from a month to more than 2 years. Program performance is measured through client skills gains during the participation period, attainment of a credential, placement into employment or education, retention in employment, and earnings post exit. The program is evaluated based on the actual performance compared to goals for each of these indicators and the number of individuals served. The capacity of this programming to be individually tailored to suit each client is a program strength. However, the program's staff-intensive nature affects service capacity, and the ongoing enrollment and exit process separates service delivery from the academic calendar which can in some cases negatively impact client engagement and progression.

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

Both in-school and out-of-school youth programs have been very successful, meeting or exceeding most performance standards set. Under the WIA common performance measures, for the past two program years, the performance has been as follows:

Placement	Goal	Degree or Certificate	Goal	Literacy & Numeracy	Goal
72.8%	66.0%	74.8%	62.0%	65.2%	43.0%
75.0%	66.0%	73.45%	62.0%	58.82%	43.0%

Additionally, JAG in-school programming has met all "5 of 5" performance indicators set by the national JAG organization for the past three years, and the region as a whole has been recognized for outstanding performance. Individual JAG Specialists and JAG administrative staff members have received awards for outstanding performance the past three years.

Out-of-school programming has also succeeded in serving many youth clients with multiple barriers to employment. Youth who seek services are often young parents, high school dropouts, have disabilities, have few job survival coping skills or simply have no direction or adult role models, and WorkOne services can be life-changing for these individuals.

A best practice in the region that has been recognized by DWD is the outstanding partnership between ABE and WIOA service providers to create a seamless pathway for youth clients, enabling them to efficiently identify a sustainable and fulfilling career pathway and gain educational and occupational credentials and training to achieve their employment goals in that pathway.

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

Classroom occupational skill training is directly linked to in-demand industry sectors via the Eligible Training Provider database. Programs approved for inclusion on the database list must be in-demand occupations within the Region 9 area. Staff develop Individual Employment Plans (IEPs) for all participants receiving financial assistance for training and support. Participants are informed of in-demand occupational sectors via current labor market information such as the regional Hot Jobs list prepared by the Department of Workforce Development (DWD). The IEP process requires participants to evaluate various providers who offer credential-based training for the in-demand occupation they want to pursue. Staff counsel participants to evaluate all the various factors to identify feasible training programs including availability, schedule, quality of training outcomes and certifications, overall costs and financial assistance available. The participant may then make their own informed selection.

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

Regions are notified of a large lay-off or closure through WARN notifications sent by the Rapid Response team from Department of Workforce Development. WorkOne offices often hear about lay-offs through other means, including local Chamber of Commerce announcements, newspaper articles, local connections with employers, and even through customers visiting the WorkOne offices.

Rapid response services are provided by Business Services staff, who coordinate with other WorkOne staff to ensure the menu of services are accurately offered in a timely manner to the employer, union and workers to be displaced. Business Services staff are trained to gather information to determine if there are opportunities to avert a lay-off. DWD has assisted in providing training and an excellent resource guide regarding layoff aversion.

The orientation for workers will be planned at the time of the initial on-site meeting so the appropriate information may be conveyed regarding the lay-off, including access to Unemployment Insurance, potential for Trade Adjustment Assistance benefits, WorkOne services, and a listing of other community programs that may be useful, along with contact information. Direct service provision will take place on-site when the opportunity exists, including job search workshops, resume assistance, networking and electronic job search, as well as registration for the Indiana Career Connect program (ICC), required when filing for Unemployment Insurance. Business Services and WorkOne staff, working together in a collaborative approach with the employer and union representatives, will provide the most comprehensive and appropriate services for their affected workers possible.

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

The Department of Workforce Development has taken the lead to begin the Re-Employment Services and Eligibility Assessment (RESEA) in late April, 2016. When the program begins, Jobs for Hoosiers (JFH) will include the remaining claimants not selected for RESEA. Participation in this programming brings claimants into the WorkOne offices, where they discover all the opportunities and services available. Staff populate outreach lists weekly, working and sending transfers, and inviting claimants to attend to an Orientation session. Orientation sessions include: requirements for REA/JFH/RESEA participation, available WorkOne services, including WIOA services, a one-on-one assessment interview, work search review, the development of an individual re-employment plan (IRP), and next steps for claimants to take. Any staff, regardless of funding source, may work with RESEA participants. Full service offices designate multiple staff to perform assessment interview duties to reduce claimant wait time and maintain high engagement. Claimants assessed to need or requesting more individualized services or training are referred for WIOA services.

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

Supportive Services will be available to enrolled clients who demonstrate a need for assistance with the cost of transportation such as fuel costs, bus passes and vehicle repairs; child care; books and materials for training; work related equipment such as boots, uniforms, tools, etc., and other items needed for successful participation. To maximize WIOA funds, staff will coordinate with partner agencies and community based organizations.

Section 5: Compliance

Please answer the following questions of Section 5 in 12 pages or less. Most of the response should be staff-driven responses as each are focused on the organization's compliance with federal or state requirements. **Questions that require collaborative answers for regions 5 & 12 are designated with an *.**

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

SEIWIB will be procuring bids for service provider and administrative entity functions in the spring of 2017. The current contract holders are National Able Network as regional operator and River Valley Resources as service provider. Both contracts are effective until June 30, 2017. These contracts are attached as Exhibit 1.

5.2 Provide an organization chart as Exhibit 2 that depicts a clear separation of duties between the board and service provision.

An organization chart is attached as Exhibit 2, showing the separation of duties between service provider and board.

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

SEIWIB currently maintains two standing committees, the Executive Committee and the Youth Committee. The Youth committee's role is to provide information and input into on youth outreach and services and recommend youth-specific policies and potential funding sources. The Executive committee meets once a month and provides directions to staff on issues and challenges in the Region. The Executive committee will also recommend actions for the full board and monitor fiscal operations.

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

The designated equal opportunity officer for WIOA is:

Maureen Wilson
Vice President of Human Resources, National Able Network
567 W Lake, Suite 1150 Chicago 60661.
mwilson@nationalable.org.
312-994-4207

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

A contract with Crowe-Horwath covers the disbursements of grant funds from the Board. Their address is 3815 River Crossing, Indianapolis 46240.

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

Click here to enter text.

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

References and Resources. [WIOA Sec. 108(b)(14)]

The Board does not currently have any replicated cooperative agreements in place with Vocational Rehabilitation Services. SEIWIB anticipates completing updated cooperative agreements with partner entities during the current budget cycle.

5.8 Describe the process for getting input into the development of the local plan in compliance with WIOA section 108(d) and providing public comment opportunity prior to submission. Be sure to address how members of the public, including representatives of business, labor organizations, and education were given an opportunity to provide comments on the local plans. If any comments received that represent disagreement with the plan were received, please include those comments in Exhibit 3 attached to this Local Plan. [WIOA Sec. 108(b)(20)]

SEIWIB is posting the local plan draft on the Region 9 public website, sending copies to members of the Board, local businesses, labor organizations, educational representatives and local elected officials. This public request for input is being conducted in advance of submission of the draft plan to DWD. If any disagreement develops after the plan is publicized, comments will be sent to DWD as Exhibit 3.

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

The on-site monitoring of the service provider is held once a year in the spring. The monitoring is conducted by the regional operations manager and monitoring staff from the regional operator's administrative office. The operations manager does monthly review of the program performance and operational needs. While the Region 9 Director and operations manager hold a quarterly review meeting with the operational staff of the service provider. The staff who conduct the monitoring have been employed by the Workforce Operations employer for years and gone through many reviews conducted by DWD.

This program year the on-site monitoring was conducted in April, Report will be out the 10th of June. Forms used in the monitoring and report are attachments.

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

The actions the Service Provider has taken for youth staff development include the following:

JAG Team:

- JAG National conference when funds are available
- JAG state conference for all 8 staff, workshops on JAG related topics
- Post-Secondary Institute held in June, 3 staff attend
- IYI Youth Institute in December, all staff attend when funds allow
- Regional training are held each summer for 3 days and involves outside institutions
- DWD webinars—all staff participate, held quarterly

WIOA youth staff:

- IYI lunch and learns—entire team through the year
- IYI youth institute training on topics relating to serving youth in the nonprofit and education sectors
- OSY Summit in Indianapolis in February, held annually

- Local trainings with local resource partners on topics like financial literacy, mental health, community resources. Held randomly throughout the year.

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

Region 9 policies will include the following:

Priority of Service
Customer Flow
Grievance Complaint
Use of Individual Training Accounts
Supportive Services
On-the-Job Training
Veteran Priority of Service
Selective Service
Program Accessibility
Youth

National Able Network

Program Year 2014

Monitoring Report for Region 9 Workforce Services

Table of Contents

Contact Information 3
Summary 4
Specific Findings 6
Recommendations 11

Contact Information

Please direct questions about the contents of this report to:

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Summary

During the period of March 23-24, 2015, a program monitoring review was conducted by National Able Network, Inc. (NAN) staff. This review was conducted at the Greensburg, Columbus, Seymour, and North Vernon offices. The monitoring focused on the contents of client files and file construction. River Valley Resources (RVR) staff were occasionally asked about the specific files. NAN staff utilized the monitoring tool below to review the client files. Please double-click the image below to open the document.

REGION 9—WIA FILE MONITORING TOOL –1A, 1D AND 1Y

Agency:
Reviewer:
Date:

Client Name:	**Participation Date:**
Address:	**Application Date:**
Last 4 SSN:	**Certification Date:**
Status (Circle one): Active Exited	**1A 1DW 1Y**
Exit Date:	**Core Intensive Training**

Is the client a Veteran? Yes ____ No ____

Was a service opened within 45 days from the date of application? Yes ____ No ____

ELIGIBILITY DOCUMENTATION **TYPE OF DOCUMENT** (WRITE IN N/A IF NOT APPLICABLE)

A. Enrollment Age Yes ___ No ___ _____
B. Signed Social Security Card Yes ___ No ___ _____
C. Work Authorization Yes ___ No ___ I-9___ Right to Work_____ Birth Certificate___
D. Youth Program Status Yes ___ No ___ Complete Youth Questions on Page 5
E. Employment at Registration Yes ___ No ___ _____
F. Dislocated Worker Status Yes ___ No ___ Complete DW Questions on page 5
G. Low Income Yes ___ No ___

- Is Customer Eligibility based upon receipt of Public Assistance Yes ___ No ___
  - Is there file documentation to support receipt of Public Assistance Yes ___ No ___
- Does customer qualify as a homeless person Yes ___ No ___
  - Is there file documentation supporting customers homeless status Yes ___ No ___
- Is customer's low income status based upon receipt of wages Yes ___ No ___
  - Does the file contain documentation in support of the receipt of wages Yes ___ No ___
  - Was an income calculation performed and customer found eligible for services Yes ___ No ___
- Was customer found eligible through use of a letter of support Yes ___ No ___
  - Does part of the language of the support letter state "provide room and board only" Yes ___ No ___

E. Employed at time of Application Yes ____ No _____
F. Selective Service Yes ___ No ___ N/A _____

G. **Signatures on Application:**
Customer Eligibility (Case Manager) Complete_____ Incomplete_____
Verification and Review (Customer) Complete_____ Incomplete_____

***Eligible*_____ *Not Eligible*_____ *Incomplete*_____**

Comments:_____

Page 1 of 4

The monitoring included a review of the following major areas:

- Program eligibility
- Services received
- Job placement information
- Exit information
- Training information
- Nepotism certificates

The objective of any monitoring event is to ensure compliance with good practices, regulations, and agreed guidelines. Underlying this objective, as well as guidelines and regulations, is the motivation to provide excellent and efficient service to those being served. A secondary objective, as important as the first, is for NAN staff to get a sense of the condition of the files maintained by RVR and any internal policies and procedures that are in place.

This monitoring visit is a continuation of last year's event – NAN has now monitored files at all locations operated by RVR. Thus, as was the case last year, in lieu of the usual "findings" and "recommendations" included in a typical monitoring event final report, this report will outline questions NAN staff had while reviewing the files, both specifically about client files as well as generally about the program overall.

Overall, the results of this year's monitoring event are similar to those of last year. The monitoring brought to light inconsistencies in the files among the offices monitored, and even within the offices themselves. Some general program observations include:

- **No consistency with organization, forms, content of files, etc. –** There are no consistent forms used in all the files across the offices, or even within the same office. The files are not organized in a uniform manner, making it difficult to locate items. In addition, there are often duplicate applications in client files with conflicting dates or information, bringing into question which document contains accurate information.

- **Unclear program, title, and status delineation -** it is difficult to know which title the client is (A or D), or if they participate in the regular WIA program, or Work Indiana, or their exit status; it is not clearly noted on the client's file. The information would have to be inferred by the monitor from the contents of the client file. This method is not guaranteed because it appears as the necessary enrollment paperwork is often not included in the file. When asked, the client's case manager was usually able to provide this information, but it was not obvious looking at the file itself. It not recommended that monitors depend on staff knowledge of a client to be able to complete the file monitoring.

General recommendations to address the findings can be found later in this report.

Specific Findings

A small sample of files were reviewed at the Greensburg, Columbus, Seymour, and North Vernon offices. Below are some specific examples of what was found in file. These give a general sense of the condition of the files at each location.

Greensburg office:

General Observations:

- Files are not consistently organized, or in the same type folders
- Some have Title delineated, others do not
- Nice use of plastic sticky tabs to separate things in file

Donald Caudell:

- Not indicated on the file folder if he is an A or D, nor active or inactive
- On family income statement, says that he is a family of 3, then there are 2 people's names whited out and on the TrackOne app, it says he is a family of 1
- On the self-appraisal, there is white-out around the documenting of family size as well.
- Dislocated Worker Unlikely to Return Status Verification form not completed – case manager signed it, though

Stephan Hannum:

- White-out on the family income statement
- Supposed to have started and completed ITA in May 2014, but there is no credential in the file
- Not sure if client is active or exited
- Duplicative documentation in the client file (2 or3 copies of the same doc in client file)
- Has physical information in the file – HIPPAA violation

JayDee Bartels:

- Cannot tell if file is active or exited, or an A or D
- No birth certificate
- I9 not filled out correctly
- Academic Career Plan not signed by client or case manager, nor have goals been established

Megan Siedling:

- Not sure if client is active or exited
- Re: ITA – looks like client is still in exploration stage and hasn't received funds yet

John A Saylor:

- Not indicated on folder if A or D, active or inactive (new enrollment)
- No birth certificate and the I-9 is not completed
    - Work Authorization eligibility
- Application says family of 1, Income statement and self-appraisal says he is a family of 3.

Jeffery Ross:

- Folder does not indicate if active or inactive
- No birth certificate, but there is a completed I9.
- ISS ACP has TABE Test scores crossed out.
- Program application date and Family income statement have white out on it.

<u>Columbus Office:</u>

General Observations:

- Files have s helpful sticker on them with the exit date and quarters, as well as a place to write the purge date
- File also labeled with client name, last 4 of SSN, enrollment date, and Title
- Good use of tabs to separate sections of files
- No rhyme or reason as to organization of files

Jessica Pate:

- White-out on family income statement
- App says the client is working, but the family income statement says she has no income (looks like she just started the job within days of app)

Kimberly Hollinger:

- No birth certificate or I9 (and "citizenship documented by" is blank on app)
- She was laid off but her D status is that she doesn't qualify for UI. Why?
- Number in family on application and on family income sheet don't match (4 vs 2)
- Only last page of ACP with signatures – nothing else

Kevin Fiesbeck:

- Has dislocated info in the app, but also has "not eligible for D" in app
- Not low income but he is an A – has a Work Indiana referral form, so I assume he is Work Indiana – not written on the file anywhere

Daniel Monroe:

- Tabs are used sparingly for the large amounts of documentation in this folder and it is hard to find documents.
- Folder label says enrolled in WIA DW, does not mention TAA funded his CDL training.

    - Can client be co-enrolled in WIA and TAA?
- Client was Dislocated Worker from Hostess plant closing, the Dislocated Worker portion of the application was not completed.

Matthew Sessions:

- There was a summary of Gas Card Vouchers in the front.

Sonsiarae Cathey:

- Client is working and as of 9/10/14 was still waiting for Credential from Ivy Tech.
    - Did she get her Certificate yet?

<u>Seymour:</u>

General Observations:

- Two manila folders made into a classification folder with really good section checklists.
- File tab also typed with name, last 4 of soc, Title, and enrollment and exit dates.
- Use of plastic tabs as well.

Tara Hargis:

- Family income statement says she is receiving UI but it's not on the app and she's an A – no D info listed at all – also shows she is receiving UI on the self-assessment.
    - according to case manager, she doesn't qualify because she will be returning to job – seasonal lay-off
- No phone number on application
    - according to case manager, there is a cell phone listed in Track One, just not a home number and that's why that showed up like that on application

Joey Howard:

- Says on application and on family income statement that it is a family of 4, but there are only 2 people's names listed on the family applicant statement

Shawna Harris:

- No enrollment in Job-to-Job paperwork found in the folder other than Job-to-Job checklist

Benny Barger:

- No line for number of children in household on Family Income Statement, only listed as total in household.

Judith Withers Conrad

- Dislocated Worker section of Application is not completed however there is dislocated worker paperwork completed in the file.

<u>North Vernon:</u>

General Observations:

- Stickers on the front of the files with names, last 4 of SS#, enrollment date, and exit date.
- Some have whole SSN, as well as address, email address, and phone number.
- Do not have Title on them.
- Participation date, application date, and certification date almost always the same

John Grimes

- Whiteout and scratch outs on family income statement

Jairyd Smith:

- Blank signature pages for application and a few other documents, then a signed page as well
- No copies of actual supportive services/incentives (checks) given to client in the file

Melissa Ellerbrook:

- Listed on application as "other family member" but looks like she is a parent in a 2-parent household by looking at her Family Income Statement
- Family income statement says she is receiving UI but not in Track One application at all

Jean Hancock:

- Receiving UI but no unemployment information - certified as an A.

Sierra Nobbe

- JAG In School
- No social security card – just receipt from SSA
    - Technically the case manager should have gotten the Social Security card after the client received it.

- Three dates on Application have been over written to change date from 9/12/12 to 2/13/13.
    - Concerned that participation and Application dates were too far apart and the Date Signed were altered to place her in the program.
- White out was used on Income Calculation Worksheet for Parent/Spouse Employer Wage and 6 Month Income amounts. Students Signed Date has white out and not date.

Cody Bishop

- Tabs are dark blue and hard to read the black ink lettering.
- Index label states Adult, does not say the program he is in
- Income Statement has corrected income amount in black ink and the total has a different blue color ink.

Curtis Burton II:

- File label states Adult, but should say WIA DW since it funded his Paramedic training
- Family Size listed at 5, but there are only 3 adults and no children listed.

Bryan Sullivan:

- Application and Family Income Statement lists 1 family member, Self-Appraisal lists 3, including self, girlfriend, and her child.

John T Baker:

- WorkIN
- County was corrected on application

Deeamonty Higgins:

- On the I-9 form, the Social Security number is on the wrong line and Birth Date is missing.

Lorelei Rupert:

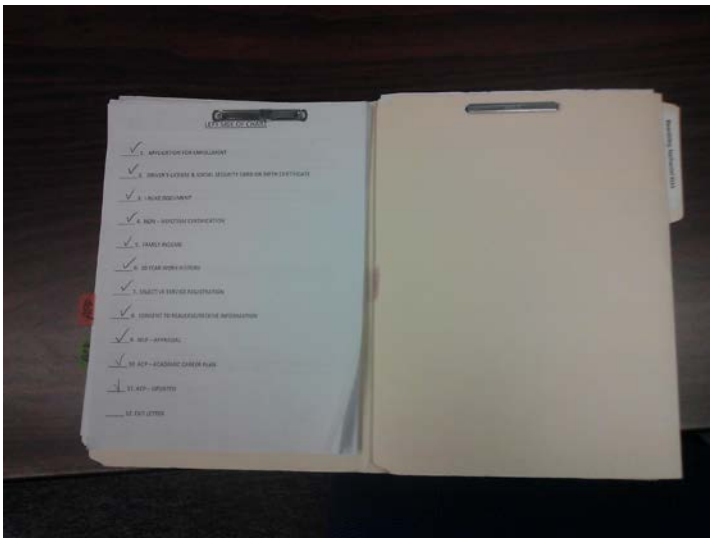
- Date on ITA/Voucher has wrong year on one of the dates. From 1/12/2015 to 05/09/2014.

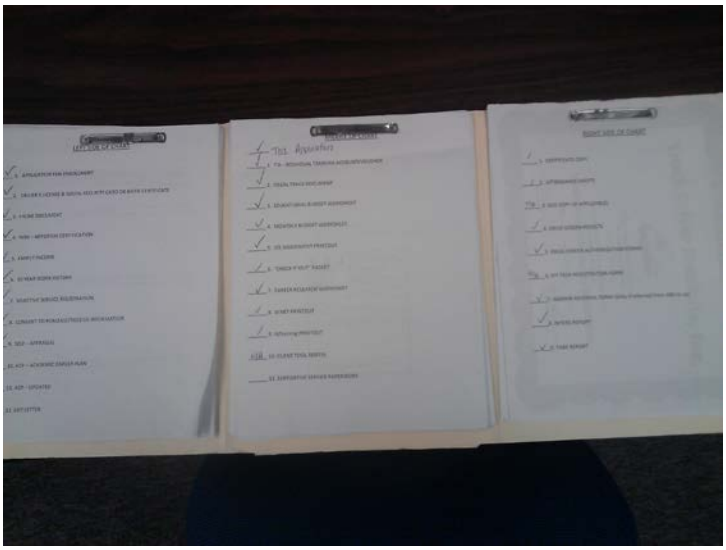
William J Vaughn:

- WorkIN funding not indicated on file anywhere

Recommendations

- It is the strong recommendation of National Able Network that RVR adopt the file organization method of the Seymour office. They utilize two manila folders joined together to create a three-section classification folder. The office also uses thorough section checklists. The file tabs are typed with name, last 4 of SSN, Title, and enrollment and exit dates. *Recommendation: add program information to index label to indicate Job to Job, Work Indiana, Wagner-Peyser, etc.* Their use of plastic tabs to further demarcate paperwork within the file is recommended as well.





- A formal, agency-wide Quality Control policy should be created and implemented. This should include an internal monitoring process and schedule, approved forms, and monitoring tools. Official forms should be identified, mandated across all sites, and electronically stored in a central location where everyone has access. These forms should include a file checklist and file organization tool based on the monitoring tools that DWD and NAN use to review files. The staff should be trained on the new process, use of the forms, and the required documentation in the file. After the training, staff should be given three months to review active files and work to ensure they comply with the file checklist and new file organization. At the end of the review period, another monitoring event should be carried out by NAN staff.

- The aforementioned Quality Control policy should include NAN performing a Quarterly Monitoring on a smaller scale, combining trips with other meetings. This will promote more regular attention to files and more frequent checks. It is recommended that the majority of the files reviewed at this time are those of new enrollees in order to identify and address improper practices early-on.

- All offices should review the policy for Nepotism Certifications. The monitors had concerns with the certifications at all but one of the offices monitored.

- Client email addresses should be gathered at time of intake. In addition, to assist with post-exit follow-ups which impact the Retention Rate performance measure, at time of exit, the email address and current phone numbers should be confirmed with the client.

SOUTHEAST INDIANA WORKFORCE INVESTMENT BOARD
WIB EXECUTIVE SERVICES AGREEMENT

This Agreement, entered into by and between the Southeast Indiana Workforce Investment Board, Inc. (the "Board") and National Able Network, Inc. ("Contractor") is executed pursuant to the terms and conditions set forth herein. In consideration of those mutual undertakings and covenants, the parties agree as follows:

1) Purpose:

The purpose of the activities funded by this Agreement is to provide WIB Executive Services as requested in the Request for Qualifications, RFQ-ES-9-13. Contractor submitted to the Board a comprehensive proposal for WIB Executive Services, a copy which is attached hereto as Exhibit C. The Board wishes to retain Contractor to perform WIB Executive Services according to the terms set forth in the proposal and in this agreement in Contractor's Statement of Work, attached hereto as Exhibit A and incorporated fully herein (the "Statement of Work"), as required by and in compliance with federal, state, and local laws as amended from time to time. These duties may be expanded by written agreement of the parties.

2) Agreement Period:

This contract covers a period of twenty-one months: October 1, 2013 through June 30, 2015 ("Year One" October 1, 2013 - June 30, 2014; "Year Two" July 1, 2014 - June 30, 2015), with the option to extend for an additional one year (365 day) term, at the Board's discretion and based upon Contractor's project performance, and contingent upon final approval by the WIB. Any extension must be in writing and agreed to by both parties. The terms and provisions of the extension shall be identical to the terms and provisions of this initial Agreement, unless otherwise agreed upon in writing by the parties.

3) Budget:

A nine month payment to the Contractor from the Board's fiscal agent shall not exceed the dollar amount listed in the Budget, attached hereto as Exhibit B and incorporated fully herein (the "Budget"). The budget for Year Two shall be determined by the Board and incorporated herein through amendment to this Agreement. This Agreement and budget shall be amended by the Board as necessary to reflect changes in the programs and level of effort required of the Contractor.

4) Authority to Bind Contractor:

Notwithstanding anything in the Agreement to the contrary, the signatory for the Contractor represents that he/she has been duly authorized to execute agreements on behalf of the Contractor and has obtained all necessary or applicable approval from the Board of Directors or other governing body of the Contractor to make this Agreement and its attachments fully binding upon the Contractor when his/her signature is affixed. In signing this contract, the signatory state that she/he has read this document and is in agreement with its content.

5) Modification of Program Components and Service Levels:

The parties agree that those program components, service levels, and line-item budget information detailed in the Statement of Work and Budget may be modified upon mutual written agreement of the Board's Chair or his/her designee and Contractor so long as the total payments under this Agreement are not increased and the basic goals and objectives of the program are not altered. Should the State of Indiana modify any program component and/or service level detailed in the attached Exhibits then the Contractor and the Board agrees to renegotiate corresponding modifications of this Agreement in good faith.

6) Performance Standards:

Contractor shall comply with and adhere to the performance accountability standards and general program requirements described in Sections 136 (Performance Standards) and 195 (General Program Requirements) of WIA, as well as applicable regulations and performance standards established by the Board. Should the Performance Requirements defined in the Agreement between the State of Indiana and the Board be changed, the parties agree to enter into good faith negotiations to amend, alter or modify this Agreement and its attachments to accommodate the changes.

7) Satisfactory Work:

Contractor shall execute its responsibilities by following and applying at all times the highest professional and technical guidelines and standards. If the Board becomes dissatisfied with the work product the Board may request in writing the corrective actions to remedy the dissatisfaction.

The Contractor shall respond in writing to monitoring reports and requests for corrective action plans within ten (10) working days after the receipt of or by the deadline date identified by the Board, whichever is sooner. The Contractor shall respond promptly to reasonable requests for information by the Board.

8) Reports:

Contractor shall maintain records and submit such reports, data and information at such times and in such form as the Board may reasonably require regarding the Contractor's services, activities, costs or other data relating to this Agreement.

9) Ownership and Use of Documents and Materials:

All documents and other materials developed in the course of or under this Agreement shall be the property of the Contractor, the Board, and the State of Indiana. The United States Government also reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, to the extent permitted by Federal law and regulations, the work developed under this Agreement. The Contractor shall have nonexclusive, unrestricted, and perpetual right to reproduce and/or otherwise use the documents and materials developed under this contract.

The Contractor shall retain the original of all documents and materials developed under this Agreement. Copies of all such documents and materials shall be provided to the

Board and the State of Indiana at no additional cost and in sufficient number for the Board's and the State of Indiana's internal program use. Additional copies of the documents and materials developed under this Agreement shall be provided by the Contractor upon request. A minimal fee may be charged by the Contractor for such additional copies provided that the charge does not exceed the Contractor's cost of reproducing the materials.

10) Access to Records:

Contractor shall allow the Federal awarding agency, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to this Agreement, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to a recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

11) Confidentiality:

Contractor understands and agrees that data, materials, and information disclosed to the Contractor may contain confidential and protected data. Therefore, the Contractor promises and assures that data, material, and information gathered, based upon or disclosed to the Contractor for the purpose of this Agreement, will not be disclosed to others or discussed with third parties without prior written consent of the Board.

12) Conflict of Interest:

Contractor will not participate in a conflict of interest or the appearance of a conflict of interest involving funds provided under this Agreement. The Contractor has an affirmative obligation under this Agreement to disclose to the Board when an employee of the Contractor becomes aware of a conflict of interest or a potential conflict of interest. The obligation under this section extends only to those facts that Contractor knows or reasonably could know.

13) Assignment; Successors:

Contractor binds its successors and assignees to all the terms and conditions of this Agreement. The Contractor shall not assign or subcontract the whole or any part of this Contract without the Board's prior written consent. The Contractor may assign its rights to receive payments to such third parties as the Contractor may desire without the prior written consent of the Board, provided that Contractor gives written notice (including evidence of such assignment) to the Board thirty (30) days in advance of any payment so assigned. The assignment shall cover all unpaid amounts under this Agreement and shall not be made to more than one party.

14) Subcontracting:

Contractor shall not subcontract for services under this Agreement without the prior consent of the Board. If the Board consents to a subcontract, in no event shall the subcontract alter, in any way, any legal responsibility of Contractor to the Board. The Board may refuse to pay obligations incurred under any subcontract that does not comply with the terms of this Agreement. All subcontracts must be in writing and copies provided to the Board upon request. Contractor shall ensure that all subcontracts for services and contracted staff are procured in compliance with appropriate federal/state procurement guidelines.

15) Notices:

Any notices, bills, invoices or reports required by this Agreement shall be deemed delivered if sent by the party in the United States mail, postage paid, to the address below. For purposes of calculating periods of time set forth in this Agreement, delivery is accomplished on the day of actual receipt by the addressee or its agent. Each party shall notify the other of any change in the address listed below/next page by certified mail, return receipt requested.

For the Contractor	For the Board
Grace Jenkins, President National Able Network, Inc. 567 W. Lake Street, Suite 1150 Chicago, IL 60661	**Patricia Yount, Chair** Southeast Indiana Workforce Investment Board, Inc. Attn: Crowe Horwath LLP, Jackie Zangrilli 3815 River Crossing Parkway, Suite 300 Indianapolis, Indiana 46240

16) Licensing Standards:

Contractor agrees to comply, and assures that its employees and subcontractors (if any) will comply with all applicable licensing standards, accrediting standards, and any other standards or criteria which any governmental entity requires of the Contractor or any subcontractors to deliver services pursuant to this Agreement. The Board shall not be required to reimburse the Contractor for any services performed when the Contractor or its employees or any subcontractors are not in compliance with applicable licensing, certifying, or accrediting standards. If licensure, certification, or accreditation expires or is revoked, the Contractor shall immediately notify the Board.

17) Compliance with Laws:

In its performance under this Agreement, Contractor shall fully comply with the requirements of all local, state and federal laws, regulations, and/or mandates as amended from time to time, including but not limited to the following whether or not otherwise referred to in this Agreement:

(a) The Workforce Investment Act of 1998 ("WIA") and all applicable federal statutes, regulations, policies, procedures and directives;

(b) Contractor and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State, as set forth in IC 4-2-6 et seq., the regulations promulgated hereunder, and Executive Order 04-08, dated April 27, 2005. If Contractor is not familiar with these ethical requirements, Contractor should refer questions to the Indiana State Ethics Commission website at <http://www.in.gov/ethics/>. If the Contractor or its agents violate any applicable ethical standards, the Board may, in its sole discretion, terminate this contract immediately upon notice to Contractor. In addition, this contract may be subject to penalties under IC 4-2-6-12.

(c) Contractor certifies by entering into this Agreement that neither it nor its principal(s) is presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. Further, the Contractor agrees that any payments in arrears and currently due to the State of Indiana may be withheld from payments due to the Contractor. Additionally, further work or payments may be withheld, delayed or denied and/or this Agreement suspended until the Contractor is current in its payments and has submitted proof of such payment to the Board.

(d) Contractor warrants that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State of Indiana, and agrees that it will immediately notify the Board of any such actions. During the term of such actions, Contractor agrees that the Board may delay, withhold, or deny work under any supplement or contractual device issued pursuant to this Agreement.

(e) Any payments that the Board may delay, withhold, deny, or apply under this section shall not be subject to penalty or interest under IC 5-17-5.

(f) Contractor warrants that the Contractor and its subcontractors, if any, shall obtain and maintain all required permits, licenses, and approvals, as well as comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for the Board. Failure to do so is a material breach of the contract and grounds for immediate termination of the Agreement.

(g) Contractor hereby affirms that it is properly registered and owes no outstanding reports with the Indiana Secretary of State.

(h) Contractor agrees that the Board may confirm, at any time, that no liabilities exist to the State of Indiana, and if such liabilities are discovered, the Board may bar Contractor from contracting with the Board in the future, cancel existing contracts, withhold payments to setoff such obligations and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the Board.

(i) As required by IC 5-22-3-7:

a. Contractor and any principals of Contractor certify that (A) Contractor, except for de minims and nonsystematic violations, has not violated the terms of (i) IC 24-4.7 [Telephone Solicitation of Consumers], (ii) IC 24-5-12 [Telephone Solicitations], or (iii) IC 24-5-14 [Regulation of Automatic Dialing Machines] in the previous three hundred sixty-five (365) days, even if IC 24-4.7 is preempted by federal law.

b. Contractor and any principals of the Contractor certify that an affiliate or principal of the Contractor and any agent acting on behalf of the Contractor or on behalf of an affiliate or principal of the Contractor: (A) except for de minims and nonsystematic violations, has not violated the terms of IC 24-4.7 in the previous

three hundred sixty-five (365) days, even IC 24-4.7 is preempted by federal law; and (B) will not violate the terms of IC 24-4.7 for the duration of the Contract, even if IC24-4.7 is preempted by federal law.

18) Independent Contractor:

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

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

19) Insurance:

Contractor shall furnish and keep in full force and effect at all times during the term of this Agreement the following insurance, for which Contractor shall pay all premiums, and for which Contractor shall furnish the Board, upon its request, with an appropriate certificate of insurance as evidence thereof:

(a) Public liability insurance in the name of Contractor in the minimum amounts of $100,000 for one person and of $300,000 for more than one person for loss from a tort resulting in bodily injury or death.
(b) Worker's compensation insurance covering all of Contractor's employees engaged in performing the services covered by this Agreement.

20) Complete Agreement:

This Agreement, including all attachments, constitutes the whole of the Agreement and final expression of the intention of the parties hereto, and any prior discussions or documents not incorporated herein shall be deemed null and void.

21) Modification:

a. The parties hereto reserve the right, subject to mutual assent, to modify the terms, conditions, and schedules as herein contained, as necessary and evidenced by a written, formal executed Amendment to this Agreement.
b. As described in the Budget, Contractor is authorized to make budget adjustments within cost categories so long as the adjusted cost category amount continues to meet any maximum/minimum limitations.

22) Severability;

Invalidity of any paragraph section, sub-section, clause or provision of this Agreement shall not affect the validity of the remaining paragraphs, sections, sub-sections, clauses or provisions hereof.

23) Waiver:

No delay or omission by either party hereto to exercise any right or power accruing upon any noncompliance or default by the other party with respect to any of the terms of this Agreement shall impair any such right or power or be construed to be a waiver thereof. A waiver by either of the parties hereto of any of the covenants, conditions, or agreements to be performed by the other shall not be construed to be a waiver of any succeeding breach thereof or of any other covenant, condition or agreement herein contained.

24) Payments:

All payment obligations shall be made in accordance with Indiana law and Board fiscal policies and procedures. Cash Draw requests and Monthly Expense Settlement Reports will be submitted in accordance with written policy.

25) Contingency of Funds:

Contractor acknowledges that the obligations of the Board under this Agreement are contingent upon the availability of Federal and/or State funds, as applicable, for the reimbursement of Contractor's expenditures, and inclusion of sufficient funds for the services hereunder in the budget approved by the Board each fiscal year this Agreement remains in effect or operation. In the event that such funding is terminated or reduced, the Board may terminate this Agreement upon 30 days' notice to Contractor, or may reduce the Board's maximum obligation, or seek to modify this Agreement. The Board Chair or his/her designee shall provide Contractor with written notification of such intention to reduce or to seek modification. If funding available to the Board to support the activities as outlined in the Statement of Work and Budget is terminated, withdrawn or reduced, then the Board's obligations to reimburse the Contractor shall be limited to the Region's available funds.

26) Funding Cancellation:

When IDWD makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Agreement, this Agreement shall be canceled. A determination by IDWD that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

27) Termination Upon Notice:

If at any time after the execution of this Contract the Board determines in good faith that Contractor's performance hereunder is not satisfactory; the Board may terminate this Agreement upon sixty (60) days written advance notice. In the event that the Board must terminate this Agreement in good faith, the Board shall be entitled to pursue all legal and equitable remedies available to it. The description of any unsatisfactory performance in the written notice of termination served by the Board upon Contractor shall in no way preclude the

Board from specifying additional or supplemental defaults in any action, arbitration, hearing, or suit relating to this Agreement or its termination.

28) Penalties, Interest, Taxes and Attorney Fees:

The Board will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest, or attorney's fees in connection with this Agreement, except as required by Indiana law. The Board will not be responsible for any taxes levied on Contractor as a result of this Agreement.

29) Governing Laws:

This Agreement shall be construed in accordance with and governed by the laws of the State of Indiana and suit, if any, must be brought in the State of Indiana.

30) Indemnification:

Both parties shall indemnity and hold harmless each other, their respective officers, employees, and agents from any and all loss, liability, claims, judgments, and liens, including costs and expenses, arising out of any negligent act or omission of the Board or Contractor or any of their officers, agents, employees, or subcontractors in the performance of this Agreement.

31) Default by Board:

If the Board, sixty (60) days after receipt of written notice, fails to correct or cure any breach of this Agreement, then the Contractor may cancel and terminate this Agreement and collect all monies due up to and including the date of termination.

32) Disputes:

(a) Should any disputes arise with respect to this Agreement, Contractor and the Board agree to act immediately to resolve such disputes. Time is of the essence in resolution of disputes.

(b) Contractor agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all its responsibilities under this Agreement that is not affected by the dispute. Should the Contractor fail to continue to perform its responsibilities regarding non-disputed work, without delay, any additional costs incurred by the Board or the Contractor as a result of such failure to proceed shall be borne by Contractor, and Contractor shall make no claim against the Board for such costs. If the Board and the Contractor cannot resolve a dispute within ten (10) working days following notification in writing by either party of the existence of a dispute, then the following procedures shall apply:

(i) The parties mutually agree to submit the dispute to arbitration for a determination or otherwise the dispute may be submitted to an Indiana court of competent jurisdiction.

(ii) The Board may withhold payments on disputed items pending resolution of the dispute. The unintentional nonpayment by the Board to the Contractor of one or more invoices not in dispute in accordance with the terms of this Agreement will not be cause for Contractor to terminate this Agreement.

33) Nondiscrimination:

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

34) Federal Participation:

Pursuant to Pub. L. 103-333, 108 Stat/ 3573, when issuing statements, press releases, request for proposals, bid solicitations, and other documents describing the activities funded through this agreement, the Contractor shall clearly state: 1) the percentage of the total costs of the program or project which will be financed with Federal funds; 2) the dollar amount of Federal funds for the project or program; and 3) the percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

35) Certification Regarding Lobbying:

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

(b) If any non-federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Agreement, Contractor shall complete and submit *Standard Form LLL* ("Disclosure of Lobbying Activities").

36) Debarment and Suspension:

Contractor certifies by entering into this Agreement that neither it nor its principals, nor any of its subcontractors, if any, are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into this Agreement by any federal agency or by any department, agency or political subdivision of the State. The term "principal" for purposes of this Agreement means an officer, director, owner, partner, key employee or other person with primary management or supervisory responsibilities, or a person who has a critical influence on or substantive control over the operations of the Contractor.

37) State of Indiana Drug-Free Workplace Certification:

Contractor hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. Contractor will give written notice to the Board within ten (10) days after receiving actual notice that the Contractor or an employee of the Contractor in the State of Indiana has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of Agreement payments, termination of this Agreement, and/or debarment of contracting opportunities with the Board for up to three (3) years.

Contractor certifies and agrees that it will provide a drug-free workplace by:

a. Publishing and providing to all of its employees a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; and
b. Establishing a drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the Contractor's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and, (4) the penalties that may be imposed upon any employee for drug abuse violations occurring in the workplace;
c. Notifying ail employees in the statement required by subparagraph (a) above that as a condition of continued employment the employee will (1) abide by the terms of the statement; and (2) notify the employer of any criminal drug statute conviction for violation occurring in the workplace no later than five (5) days after such conviction;
d. Notifying the Board, in writing, within ten (10) days after receiving notice from an employee under subdivision (c)(2) above, or otherwise receiving actual notice of such conviction;
e. Within thirty (30) days after receiving notice under subdivision (c)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for

such purposes by a Federal, State or local health, law enforcement, or other appropriate agency; and

f. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (a) and (e) above.

38) Non-Collusion and Acceptance:

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

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The parties, having read and understanding the foregoing terms of this Agreement, do by their respective signatures dated below hereby agree to the terms thereof:

CONTRACTOR:

Grace Jenkins
Signature

GRACE JENKINS PRESIDENT&CEO
Printed Name & Title

9-30-2013
Date

National Able Network, Inc.
Grace Jenkins, President

BOARD:

Patricia M. Yount
Signature

Patricia Yount-Chair
Printed Name & Title

09/27/13
Date

Southeast Indiana Workforce
Investment Board, Inc.
Patricia Yount, Chair

EXHIBIT A
Statement of Work

The Contract is hereby engaged to represent the interests of the Board as the Executive Services team for Indiana Economic Growth Region 9 ("Region 9"). The WIB is governed by a volunteer board that will initiate program directives and provide oversight and guidance on program operations of the following counties: Bartholomew, Dearborn, Decatur, Franklin, Jackson, Jefferson, Jennings, Ohio, Ripley, and Switzerland counties. The WIB Executive shall serve as the administrative arm of the WIB, defined by WIA as One-Stop Operator. Refer to WIA Section 121(d) and 20 CFR Part 662.410 for federal requirements for the One-Stop Operator designation and responsibilities. WIB Executive staff shall attend all board meetings, presenting performance data, any administrative concerns and new programs that fit into the WIB's strategic planning. The WIB Executive team will provide support services for the WIB, including fundraising, management of staff, oversight of one-stop operation and service provider functions and will provide oversight for the WorkOne offices in the region. Duties performed by WIB Executive team will be performed in a professional and ethical manner. WIB Executive team should help to promote the WIB and Region as a leader in excellence for workforce development, while bolstering the WIB's reputation as an innovative and creative entity for job placement while being business and economic development driven.

WIB Executive team responsibilities include:

1. ***Responsible for overseeing the contracts for the delivery of an integrated client services system*** in accordance with federal and state legislation and regulations, state policy, and the Indiana Strategic State Plan. Programs include, but are not limited to the following:

   – Workforce Investment Act Title I Adult,
   – Dislocated Worker,
   – Youth,
   – Wagner- Peyser Act,
   – Veterans employment and training programs,
   – and
   – Other programs will be incorporated

- Ensure adherence of the system to state policies. Policies of the Indiana Department of Workforce Development may be found at http://www.in.gov/dwd/2544.htm.

- Ensure adherence to the Regional Integration Policy as outlined in DWD Policy 2007-20, http://www.in.gov/dwd/files/2007_20.pdf.

The WIB is an active, business-led, volunteer board that establishes policy and drives the region's strategy for workforce development. WIB Executive staff must provide proactive support to this board. The WIB must be notified of any proposed change in staffing of WIB Executive team. The purpose and role of WIB Executive staff is to:

a. Assist the WIB to think strategically regarding the development of a comprehensive workforce system and alignment of the workforce system with economic development and education
b. Assist the WIB to develop into a dynamic, cooperative, and positive team with the

capacity to achieve established goals

c. Cultivate a climate that actively engages WIB Executive staff members as well as WIB members, so that value-added results are seen and individuals sense the benefits of participating
d. Assist the WIB in developing and using an industry cluster approach to workforce, education, and economic development policy and practice
e. Identify and use a strategic planning process that will produce both short and long-term goals, and achievements resulting in visible actionable plans
f. Ensure that the WIB meets its responsibilities with respect to contracts in force
g. Provide data-based performance reports to the WIB on a regular basis
h. Compile and publish data-based performance indicators in graphic form on a regular basis
i. Perform other related duties as determined by the WIB

2. ***Oversee the contracts which manage the flow and delivery of services in each WorkOne Center* located in the region.**

- Oversee the contracts which manage the flow and delivery of services in each WorkOne located in the region in accordance with the State's Regional Integration Policy and mutually agreed to service level standards.

- Provide technical assistance to the workforce service providers in the WorkOne system, including the non-procured partners in the one-stop system.

- Create a budget and procurement policy for the WIB 's approval, including budgeting for the work of the WIB.

- Ensure compliance with the region's procurement policy, including execution of all contracts.

- Provide participant reporting and data validation functions, in conjunction with the WIB.

- Coordinate / Cooperate with the Fiscal Agent concerning fiscal and financial reporting formats and processes. The WIB Fiscal Agent pays the bills for the Board, direct client expenses and all sub-grantees such as Service Providers.

3. ***Seek additional funding sources and partnering opportunities*** that will enhance the region's ability to provide workforce development services. Staff will be expected to go beyond basic one-stop system oversight and continually look for ways to strategically grow jobs, employment and personal income in Region 9. Staff must be able to form coalitions and partnerships to achieve these results. Obtain additional funding by utilizing the existing and available resources of regional grant writers.

- Conduct research, analysis and strategic planning (or contract for same) to develop a community audit with annual updates and publication of a State of the Workforce report. To share the information with the public and gain insights for strategic planning, the WIB Executive team will be expected to organize an annual Community Workforce Summit to inform the broadest segment of the regional community of the issues, challenges, and accomplishments of workforce development, economic development, and education. Strategies resulting from the research and summit and subsequent board planning are to be included in the region's strategic plan of workforce investment, developed by the WIB Executive team.

4. ***Promote the efforts of the WorkOne System and the Boards initiatives.***

- Execute the Board's marketing plan.

- Implement solutions to skill shortages identified through the state's strategic skills initiative. Full information about the initiative may be found at http://www.in.gov/dwd/2500.htm.

- Update and maintain the eligible training provider data including, but not limited to the acceptance of applications from training providers, the entry of applications into the state system and the first level approval or denial of such applications. Such actions will be in coordination with the regional workforce board and the State workforce board. The state's eligible training provider policy may be found at http://www.in.gov/dwd/files/1998-65-wiawtw.pdf

- Develop RFQ's for service providers and all other contractors in coordination with the Fiscal Agent and oversee the evaluation and selection process with the approval of the WIB.

- Perform duties identified for the One-Stop Operator in federal and state legislation, regulations, policies and procedures.

- Receive, along with the WIB, technical assistance and support from the Indiana Department of Workforce Development.

- Develop strategy for keeping WIB 9 in top quartile performance standards for all state regions.

EXHIBIT B
National Able Network Budget

The following budget is effective for **Year One** (October 1, 2013 through June 30, 2014), and will be funded by the programs listed in the table below:

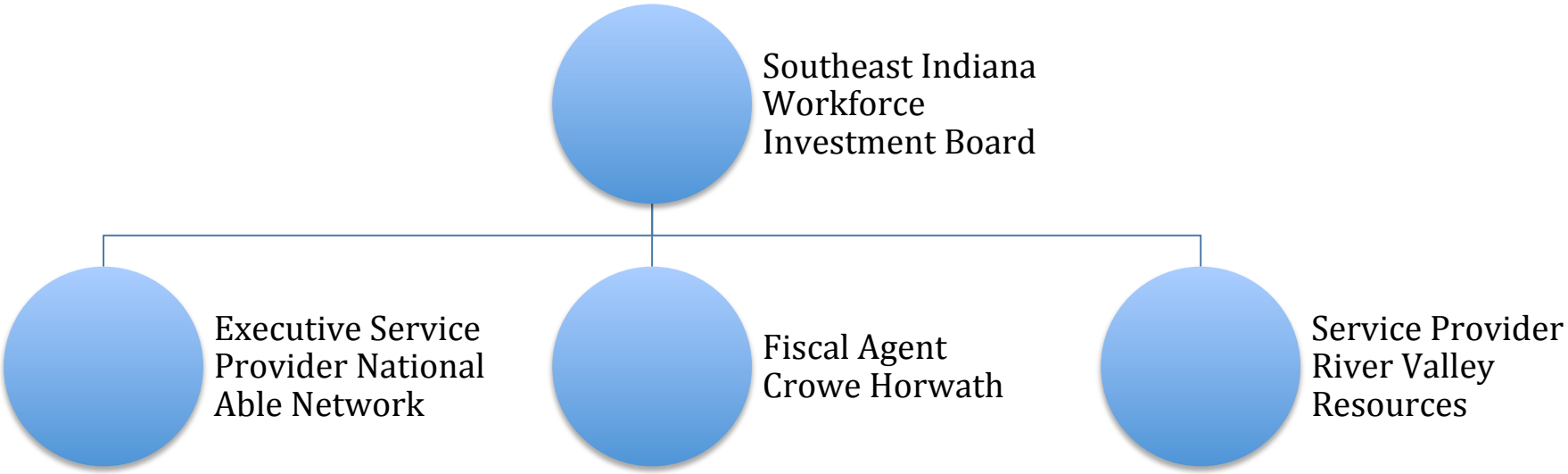
	CFDA 17.258 WIA Adult	CFDA 17.278 WIA DW	CFDA 17.259 WIA Youth	CFDA 17.277 NEGDWT	State WorkINdiana	State JAG Expansion	Total Budget
Salaries							$ 208,456
Benefits							6,300
Rent/Utilities/Maintenance							6,750
Furniture/Equipment							6,608
Information Technology							8,500
Office Supplies							9,500
Staff Development/Travel							200
Professional Services							1,000
Membership Dues							1,500
Printing/Marketing							42,298
Other							
Total	**$ 160,570**	**$ 74,000**	**$ 38,000**	**$ 1,494**	**$ 5,212**	**$ 11,836**	**$ 291,112**

WIA funds include both program and administrative funds.
NEGDWT, WorkINdiana, and JAG funds include administrative costs only. Program costs are included in the Board and Service Provider budgets.

The Contractor is authorized to make adjustments to line items in the budgets presented in this exhibit without increase to overall total budget up to 10% of each line item amount. Any adjustment to these budgets in excess of 10% of each line item or which increase the budget total require the approval of the Board or a designated committee of the Board.

EXHIBIT C
National Able Network Proposal
RFQ-ES-9-13

The complete proposal response is included on following pages.


Southeast Indiana Workforce Investment Board
Executive Service Provider National Able Network
Fiscal Agent Crowe Horwath
Service Provider River Valley Resources

SOUTHEAST INDIANA WORKFORCE INVESTMENT BOARD
WIA ADULT & DISLOCATED WORKER AND OTHER PROGRAM FUNDING
SERVICE PROVIDER AGREEMENT

This Agreement, entered into by and between the Southeast Indiana Workforce Investment Board, Inc. (the "Board") and River Valley Resources, Inc. ("Contractor") is executed pursuant to the terms and conditions set forth herein. In consideration of those mutual undertakings and covenants, the parties agree as follows:

1) Purpose:

The purpose of the activities funded by this Agreement is Service Provision by the Contractor for WIA Adult & Dislocated Worker and other program activities as requested in the Request for Qualifications, RFQ-SP-9-13. Contractor submitted to the Board a comprehensive proposal for Service Provision, a copy which is attached hereto as Exhibit C. The Board wishes to retain Contractor to perform Service Provision according to the terms set forth in the proposal and in this agreement in the Contractor's Statement of Work, attached hereto as Exhibit A and incorporated fully herein (the "Statement of Work"), as required by and in compliance with federal, state, and local laws as amended from time to time. These duties may be expanded by written agreement of the parties.

2) Agreement Period:

This contract covers a period of twenty-one months: October 1, 2013 through June 30, 2015 ("Year One" October 1, 2013 - June 30, 2014; "Year Two" July 1, 2014 - June 30, 2015), with the option to extend for an additional one-year (365 day) term, at the Board's discretion and based upon Contractor's project performance, and contingent upon final approval by the WIB. Any extension must be in writing and agreed to by both parties. The terms and provisions of the extension shall be identical to the terms and provisions of this initial Agreement, unless otherwise agreed upon in writing by the parties.

3) Budget:

The nine month payment to the Contractor from the Board's fiscal agent shall not exceed the dollar amount listed in the Budget, attached hereto as Exhibit B and incorporated fully herein (the "Budget"). The budget for Year Two shall be determined by the Board and incorporated herein through amendment to this Agreement. This Agreement and budget shall be amended by the Board as necessary to reflect changes in the programs and level of effort required of the Service Provider.

4) Authority to Bind Contractor:

Notwithstanding anything in the Agreement to the contrary, the signatory for the Contractor represents that he/she has been duly authorized to execute agreements on behalf of the Contractor and has obtained all necessary or applicable approval from the Board of Directors or other governing body of the Contractor to make this Agreement and its attachments fully binding upon the Contractor when his/her signature is affixed. In signing this contract, the signatory state that s/he has read this document and is in agreement with its content.

5) Modification of Program Components and Service Levels:

The parties agree that those program components, service levels, and line-item budget information detailed in the Statement of Work and Budget may be modified upon mutual written agreement of the Board's Chair or his/her designee and Contractor so long as the total payments under this Agreement are not increased and the basic goals and objectives of the program are not altered. Should the State of Indiana modify any program component and/or service level detailed in the attached Exhibits then the Contractor and the Board agrees to renegotiate corresponding modifications of this Agreement in good faith.

6) Performance Standards:

Contractor shall comply with and adhere to the performance accountability standards and general program requirements described in Sections 136 (Performance Standards) and 195 (General Program Requirements) of WIA, as well as applicable regulations and performance standards established by the Board. Should the Performance Requirements defined in the Agreement between the State of Indiana and the Board be changed, the parties agree to enter into good faith negotiations to amend, alter or modify this Agreement and its attachments to accommodate the changes.

7) Satisfactory Work:

Contractor shall execute its responsibilities by following and applying at all times the highest professional and technical guidelines and standards. If the Board becomes dissatisfied with the work product the Board may request in writing the corrective actions to remedy the dissatisfaction.

The Contractor shall respond in writing to monitoring reports and requests for corrective action plans within ten (10) working days after the receipt of or by the deadline date identified by the Board, whichever is sooner. The Contractor shall respond promptly to reasonable requests for information by the Board.

8) Reports:

Contractor shall maintain records and submit such reports, data and information at such times and in such form as the Board may reasonably require regarding the Contractor's services, activities, costs or other data relating to this Agreement.

9) Ownership and Use of Documents and Materials:

All documents and other materials developed in the course of or under this Agreement shall be the prope1ty of the Contractor, the Board, and the State of Indiana. The United States Government also reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, to the extent permitted by Federal law and regulations, the work developed under this Agreement. The Contractor shall have nonexclusive, unrestricted, and perpetual right to reproduce and/or otherwise use the documents and materials developed under this contract.

The Contractor shall retain the original of all documents and materials developed under this Agreement. Copies of all such documents and materials shall be provided to the

Board and the State of Indiana at no additional cost and in sufficient number for the Board's and the State of Indiana's internal program use. Additional copies of the documents and materials developed under this Agreement shall be provided by the Contractor upon request. A minimal fee may be charged by the Contractor for such additional copies provided that the charge does not exceed the Contractor's cost of reproducing the materials.

10) Access to Records:

Contractor shall allow the Federal awarding agency, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to this Agreement, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to a recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

11) Confidentiality:

Contractor understands and agrees that data, materials, and information disclosed to the Contractor may contain confidential and protected data. Therefore, the Contractor promises and assures that data, material, and information gathered, based upon or disclosed to the Contractor for the purpose of this Agreement, will not be disclosed to others or discussed with third parties without prior written consent of the Board.

12) Conflict of Interest:

Contractor will not participate in a conflict of interest or the appearance of a conflict of interest involving funds provided under this Agreement. The Contractor has an affirmative obligation under this Agreement to disclose to the Board when an employee of the Contractor becomes aware of a conflict of interest or a potential conflict of interest. The obligation under this section extends only to those facts that Contractor knows or reasonably could know.

13) Assignment; Successors:

Contractor binds its successors and assignees to all the terms and conditions of this Agreement. The Contractor shall not assign or subcontract the whole or any part of this Contract without the Board's prior written consent. The Contractor may assign its rights to receive payments to such third parties as the Contractor may desire without the prior written consent of the Board, provided that Contractor gives written notice (including evidence of such assignment) to the Board thirty (30) days in advance of any payment so assigned. The assignment shall cover all unpaid amounts under this Agreement and shall not be made to more than one party.

14) Subcontracting:

Contractor shall not subcontract for services under this Agreement without the prior consent of the Board. If the Board consents to a subcontract, in no event shall the subcontract alter, in any way, any legal responsibility of Contractor to the Board. The Board may refuse to pay obligations incurred under any subcontract that does not comply with the terms of this Agreement. All subcontracts must be in writing and copies provided to the Board upon request. Contractor shall ensure that all subcontracts for services and contracted staff are procured in compliance with appropriate federal/state procurement guidelines.

15) Notices:

Any notices, bills, invoices or reports required by this Agreement shall be deemed delivered if sent by the party in the United States mail, postage paid, to the address below. For purposes of calculating periods of time set forth in this Agreement, delivery is accomplished on the day of actual receipt by the addressee or its agent. Each party shall notify the other of any change in the address listed below/next page by certified mail, return receipt requested.

For the Contractor	For the Board
Margo Olson, ~~Vice President~~ Executive Director River Valley Resources, Inc. 215 E. Main Street, Suite 1 Madison, Indiana 47250	**Patricia Yount, Chair** Southeast Indiana Workforce Investment Board, Inc. Attn: Crowe Horwath LLP, Jackie Zangrilli 3815 River Crossing Parkway, Suite 300 Indianapolis, Indiana 46240

16) Licensing Standards:

Contractor agrees to comply, and assures that its employees and subcontractors (if any) will comply with all applicable licensing standards, accrediting standards, and any other standards or criteria which any governmental entity requires of the Contractor or any subcontractors to deliver services pursuant to this Agreement. The Board shall not be required to reimburse the Contractor for any services performed when the Contractor or its employees or any subcontractors are not in compliance with applicable licensing, certifying, or accrediting standards. If licensure, certification, or accreditation expires or is revoked, the Contractor shall immediately notify the Board.

17) Compliance with Laws:

In its performance under this Agreement, Contractor shall fully comply with the requirements of all local, state and federal laws, regulations, and/or mandates as amended from time to time, including but not limited to the following whether or not otherwise referred to in this Agreement:

(a) The Workforce Investment Act of 1998 ("WIA") and all applicable federal statutes, regulations, policies, procedures and directives;

(b) Contractor and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State, as set forth in IC 4-2-6 et seq., the regulations promulgated hereunder, and Executive Order 04-08, dated April 27, 2005. If Contractor is not familiar with these ethical requirements, Contractor should refer questions to the Indiana State Ethics Commission website at <http://www.in.gov/ethics/>. If the Contractor or its agents violate any applicable ethical standards, the Board may, in its sole discretion, terminate this contract immediately upon notice to Contractor. In addition, this contract may be subject to penalties under IC 4-2-6-12.

(c) Contractor certifies by entering into this Agreement that neither it nor its principal(s) is presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. Further, the Contractor agrees that any payments in arrears and currently due to the State of Indiana may be withheld from payments due to the Contractor. Additionally, further work or payments may be withheld, delayed or denied and/or this Agreement suspended until the Contractor is current in its payments and has submitted proof of such payment to the Board.

(d) Contractor warrants that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State of Indiana, and agrees that it will immediately notify the Board of any such actions. During the term of such actions, Contractor agrees that the Board may delay, withhold, or deny work under any supplement or contractual device issued pursuant to this Agreement.

(e) Any payments that the Board may delay, withhold, deny, or apply under this section shall not be subject to penalty or interest under IC 5-17-5.

(f) Contractor warrants that the Contractor and its subcontractors, if any, shall obtain and maintain all required permits, licenses, and approvals, as well as comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for the Board. Failure to do so is a material breach of the contract and grounds for immediate termination of the Agreement.

(g) Contractor hereby affirms that it is properly registered and owes no outstanding reports with the Indiana Secretary of State.

(h) Contractor agrees that the Board may confirm, at any time, that no liabilities exist to the State of Indiana, and if such liabilities are discovered, the Board may bar Contractor from contracting with the Board in the future, cancel existing contracts, withhold payments to setoff such obligations and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the Board.

(i) As required by IC 5-22-3-7:

a. Contractor and any principals of Contractor certify that (A) Contractor, except for de minims and nonsystematic violations, has not violated the terms of (i) IC 24-4.7 [Telephone Solicitation of Consumers], (ii) IC 24-5-12 [Telephone Solicitations], or (iii) IC 24-5-14 [Regulation of Automatic Dialing Machines] in the previous three hundred sixty-five (365) days, even if IC 24-4.7 is preempted by federal law.

b. Contractor and any principals of the Contractor certify that an affiliate or principal of the Contractor and any agent acting on behalf of the Contractor or on behalf of an affiliate or principal of the Contractor: (A) except for de minims and nonsystematic violations, has not violated the terms of IC 24-4.7 in the previous

three hundred sixty-five (365) days, even IC 24-4.7 is preempted by federal law; and (B) will not violate the terms of IC 24-4.7 for the duration of the Contract, even if IC24-4.7 is preempted by federal law.

18) Independent Contractor:

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

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

19) Insurance:

Contractor shall furnish and keep in full force and effect at all times during the term of this Agreement the following insurance, for which Contractor shall pay all premiums, and for which Contractor shall furnish the Board, upon its request, with an appropriate certificate of insurance as evidence thereof:

(a) Public liability insurance in the name of Contractor in the minimum amounts of $100,000 for one person and of $300,000 for more than one person for loss from a tort resulting in bodily injury or death.
(b) Worker's compensation insurance covering all of Contractor's employees engaged in performing the services covered by this Agreement.

20) Complete Agreement:

This Agreement, including all attachments, constitutes the whole of the Agreement and final expression of the intention of the parties hereto, and any prior discussions or documents not incorporated herein shall be deemed null and void.

21) Modification:

a. The parties hereto reserve the right, subject to mutual assent, to modify the terms, conditions, and schedules as herein contained, as necessary and evidenced by a written, formal executed Amendment to this Agreement.
b. As described in the Budget, Contractor is authorized to make budget adjustments within cost categories so long as the adjusted cost category amount continues to meet any maximum/minimum limitations.

22) Severability;

Invalidity of any paragraph section, sub-section, clause or provision of this Agreement shall not affect the validity of the remaining paragraphs, sections, sub-sections, clauses or provisions hereof.

23) Waiver:

No delay or omission by either party hereto to exercise any right or power accruing upon any noncompliance or default by the other party with respect to any of the terms of this Agreement shall impair any such right or power or be construed to be a waiver thereof. A waiver by either of the parties hereto of any of the covenants, conditions, or agreements to be performed by the other shall not be construed to be a waiver of any succeeding breach thereof or of any other covenant, condition or agreement herein contained.

24) Payments:

All payment obligations shall be made in accordance with Indiana law and Board fiscal policies and procedures. Cash Draw requests and Monthly Expense Settlement Reports will be submitted in accordance with written regional policy.

25) Contingency of Funds:

Contractor acknowledges that the obligations of the Board under this Agreement are contingent upon the availability of Federal and/or State funds, as applicable, for the reimbursement of Contractor's expenditures, and inclusion of sufficient funds for the services hereunder in the budget approved by the Board each fiscal year this Agreement remains in effect or operation. In the event that such funding is terminated or reduced, the Board may terminate this Agreement upon 30 days' notice to Contractor, or may reduce the Board's maximum obligation, or seek to modify this Agreement. The Board Chair or his/her designee shall provide Contractor with written notification of such intention to reduce or to seek modification. If funding available to the Board to support the activities as outlined in the Statement of Work and Budget is terminated, withdrawn or reduced, then the Board's obligations to reimburse the Contractor shall be limited to the Region's available funds.

26) Funding Cancellation:

When IDWD makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Agreement, this Agreement shall be canceled. A determination by IDWD that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

27) Termination Upon Notice:

If at any time after the execution of this Contract the Board determines in good faith that Contractor's performance hereunder is not satisfactory; the Board may terminate this Agreement

upon sixty (60) days written advance notice. In the event that the Board must terminate this Agreement in good faith, the Board shall be entitled to pursue all legal and equitable remedies available to it. The description of any unsatisfactory performance in the written notice of termination served by the Board upon Contractor shall in no way preclude the Board from specifying additional or supplemental defaults in any action, arbitration, hearing, or suit relating to this Agreement or its termination.

28) Penalties, Interest, Taxes and Attorney Fees:

The Board will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest, or attorney's fees in connection with this Agreement, except as required by Indiana law. The Board will not be responsible for any taxes levied on Contractor as a result of this Agreement.

29) Governing Laws:

This Agreement shall be construed in accordance with and governed by the laws of the State of Indiana and suit, if any, must be brought in the State of Indiana.

30) Indemnification:

Both parties shall indemnity and hold harmless each other, their respective officers, employees, and agents from any and all loss, liability, claims, judgments, and liens, including costs and expenses, arising out of any negligent act or omission of the Board or Contractor or any of their officers, agents, employees, or subcontractors in the performance of this Agreement.

31) Default by Board:

If the Board, sixty (60) days after receipt of written notice, fails to correct or cure any breach of this Agreement, then the Contractor may cancel and terminate this Agreement and collect all monies due up to and including the date of termination.

32) Disputes:

(a) Should any disputes arise with respect to this Agreement, Contractor and the Board agree to act immediately to resolve such disputes. Time is of the essence in resolution of disputes.
(b) Contractor agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all its responsibilities under this Agreement that is not affected by the dispute. Should the Contractor fail to continue to perform its responsibilities regarding non-disputed work, without delay, any additional costs incurred by the Board or the Contractor as a result of such failure to proceed shall be borne by Contractor, and Contractor shall make no claim against the Board for such costs. If the Board and the Contractor cannot resolve a dispute within ten (10) working days following notification in writing by either party of the existence of a dispute, then the following procedures shall apply:

(i) The parties mutually agree to submit the dispute to arbitration for a determination or otherwise the dispute may be submitted to an Indiana court of competent jurisdiction.

(ii) The Board may withhold payments on disputed items pending resolution of the dispute. The unintentional nonpayment by the Board to the Contractor of one or more invoices not in dispute in accordance with the terms of this Agreement will not be cause for Contractor to terminate this Agreement.

33) Nondiscrimination:

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

34) Federal Participation:

Pursuant to Pub. L. 103-333, 108 Stat/ 3573, when issuing statements, press releases, request for proposals, bid solicitations, and other documents describing the activities funded through this agreement, the Contractor shall clearly state: 1) the percentage of the total costs of the program or project which will be financed with Federal funds; 2) the dollar amount of Federal funds for the project or program; and 3) the percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

35) Certification Regarding Lobbying:

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

(b) If any non-federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Agreement, Contractor shall complete and submit *Standard Form LLL* ("Disclosure of Lobbying Activities").

36) Debarment and Suspension:

Contractor certifies by entering into this Agreement that neither it nor its principals, nor any of its subcontractors, if any, are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into this Agreement by any federal agency or by any department, agency or political subdivision of the State. The term "principal" for purposes of this Agreement means an officer, director, owner, partner, key employee or other person with primary management or supervisory responsibilities, or a person who has a critical influence on or substantive control over the operations of the Contractor.

37) State of Indiana Drug-Free Workplace Certification:

Contractor hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. Contractor will give written notice to the Board within ten (10) days after receiving actual notice that the Contractor or an employee of the Contractor in the State of Indiana has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of Agreement payments, termination of this Agreement, and/or debarment of contracting opportunities with the Board for up to three (3) years.

Contractor certifies and agrees that it will provide a drug-free workplace by:

a. Publishing and providing to all of its employees a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; and
b. Establishing a drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the Contractor's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and, (4) the penalties that may be imposed upon any employee for drug abuse violations occurring in the workplace;
c. Notifying ail employees in the statement required by subparagraph (a) above that as a condition of continued employment the employee will (1) abide by the terms of the statement; and (2) notify the employer of any criminal drug statute conviction for violation occurring in the workplace no later than five (5) days after such conviction;
d. Notifying the Board, in writing, within ten (10) days after receiving notice from an employee under subdivision (c)(2) above, or otherwise receiving actual notice of such conviction;
e. Within thirty (30) days after receiving notice under subdivision (c)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such

purposes by a Federal, State or local health, law enforcement, or other appropriate agency; and

f. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (a) and (e) above.

38) Non-Collusion and Acceptance:

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

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The parties, having read and understanding the foregoing terms of this Agreement, do by their respective signatures dated below hereby agree to the terms thereof:

CONTRACTOR:

Margo Olson

Signature

Margo Olson, Exec. Dir.

Printed Name & Title

9/27/2013

Date

River Valley Resources, Inc.
Margo Olson, ~~Vice President~~
Pro tem Executive Director

BOARD:

Patricia M. Yount

Signature

Patricia M. Yount - Chair

Printed Name & Title

09/27/13

Date

Southeast Indiana Workforce
Investment Board, Inc.
Patricia Yount, Chair

EXHIBIT A
Statement of Work

This Contract is hereby engaged to represent the interest of the Board as the Service Provider for the Southeast Indiana Workforce Investment Board. Contractor will serve as Service Provider providing services for WIA Adult & Dislocated Worker activities and other programs including but not limited to the following:

- The **Service Provider**(s) is responsible for:
  - Performing tasks for the delivery of Client Services under an integrated client services system in accordance with federal and state legislation and regulations, state policy, and the Indiana Strategic State Plan.
  - Ensuring adherence of the system to state policies. Policies of the Indiana Department of Workforce Development may be found at http://www.in.gov/dwd/2482.htm.
  - Duties performed by Service Provider will be performed in a professional and ethical manner.

Core Services are available to all Adults and Dislocated Workers and include, but are not limited to, the following:

The goal of the initial intake process is to collect customers' basic demographic information and to help them understand the options and services available to them. It should not be a cumbersome process, but rather one that aids customers in gaining quick access to services while collecting required information.

DWD anticipates that the "Welcome Team" will perform the initial intake and verification of demographic information as well as provide other Core services. Staffing requirement may necessitate adjustments, including members of other Work One teams providing Core services, particularly workshops. Consequently, Workforce Investment Boards have the discretion to make adjustments to their staffing levels and teams as they deem necessary and appropriate.

When implementing the initial intake process, the subsequent guidance should be followed:

- As much as possible, customers should be encouraged to enter their own information into the case management system.
- Staff should verify that a customer's information is in the case management database and is correct.
- Staff should encourage customers to take advantage of the Work One's services as appropriate to their educational and employment needs as indicated by demographic information.
- Staff will determine what level of services a customer might need.
- All full-service Work One Centers must offer an orientation workshop that includes information on all services available to customers a minimum of once a week.

- All Work One Centers and Express offices should provide an informational packet about Work One services that includes information on workshops, services, and other programs at Work One offices.
- Informational workshops should be offered on a number of topics that include resume writing, interview skills, discovering career interests, job search, unemployment insurance, digital literacy, healthy lifestyles, financial literacy, and work readiness.
- Customers who indicate that they would like to improve their skills and who have adequate computer literacy should be provided a license to Mind Leaders.
- Customers who indicate that they would like to explore their career interests should be encouraged to utilize Indiana Career Explorer (ICE).
- For customers who are applying to a Work Keys employer and need to take an assessment for job matching purposes, Work Keys can be considered a Core informational service.

Intensive Services are available to Adults and Dislocated Workers who are eligible for WIA Adult and/or Dislocated Worker services and have received at least one core service and are:

- Unemployed and are unable to obtain employment through core services and who have been determined to be in need of more intensive services in order to obtain employment; or
- Employed but who are determined to be in need of such intensive services in order to obtain or retain employment that allows for self-sufficiency.

Intensive services include, but are not limited to, the following:

- Customers who need further assistance with workforce development services should be given the opportunity to meet with a case manager to determine their eligibility for and the benefit of receiving additional services.
- The case manager should conduct an informational interview during which both eligibility for further services as well as the customer's needs, goals, and barriers are assessed and determined.
- Additionally, the case manager, together with the customer, should develop an Academic and Career Plan (ACP), which details the steps the customer should take to gain employment.
- Depending on the customer's intentions and needs (reemployment or occupational training), case managers should recommend appropriate next steps of either Reemployment Track or Education Track. Reemployment Track may include in-depth workshops, job clubs, supportive service referrals, use and interpretation of Indiana Career Explorer (ICE), or WorkKeys for foundational skills; the Education Track may include completion of TABE full battery; ICE; and referral to Academic and Career Counselor.
- Case managers will develop on-going relationships with their customers and act as a resource
- Case managers will communicate with the customer's Academic and Career Counselor and, if appropriate, Adult Education instructor.
- Case manager will help customers understand and act on customer's Academic and Career Plan, making adjustments if necessary.
- Case managers will perform regular check-ins with customers at least every 30 days.
- Customers will see the same case manager for check-ins and return visits/appointments until the customer finds employment or otherwise exits the system.
- Every customer who enters Intensive services shall have an ACP, which shall be jointly developed by the customer, the case manager, as well as the Academic and Career

Counselor, if appropriate. An evolving strategy, the ACP shall provide clear action steps that the customer can take to achiever his/her employment goal.

- The customer must "sign off" on the ACP before it is considered complete.
- The customer must receive a copy, signed by both the case manager and customer.

The Department of Workforce Development has procured the Tests of Adult Basic Education as the assessment for education attainment.

- In most cases, a customer's score should be 11-2.9 before such a referral.
- Customers who do not score high enough to enter credit bearing courses should be referred to an Adult Education provider for remediation.
- Ability to benefit scores on the TABE should be determined by the Academic and Career Counselor for pre-post-secondary study such as Career Pathways, Certified Nurse Aide, or Commercial Drivers Licenses programs.
- WorkKeys scores may also be utilized to determine if an individual is prepared to enter occupational training.

Indiana Career Explorer provides three assessments on career interests, skills, and values.

- Any customer who is interested in pursuing occupational training and/or post-secondary education must take all three components prior to speaking to a case manager.
- Any customer who is interested in conducting career exploration and development may take any combination of the assessments and should not be required to take all three.
- Any outcomes and guidance that result from ICE should be included in a customer's Academic and Career Plan.

WorkKeys assessments requiring interpretation should only be administered at the Intensive level for the purpose of identifying current foundational workplace skills.

- Quick Guide must be used as a locator.

With a new comprehensive regional approach in place, WorkOne Centers and Express offices should play a critical role in providing academic and career counseling to Adult Education clients who have identified employment goals.

- Customers should take the TABE survey prior to enrolling in Adult Education.
- When a customer self-discloses or is determined to need Adult Education services, a referral to an Adult Education provider should be made.
- Academic and Career Counselors must meet with Adult Education students who have either reached or tested at or above an 8th grade level within 30 days of reaching that level.
- WorkIN training "vouchers" may be issued to Adult Education customers scoring at a minimum 9th grade level.
- Customers who score below a 4th grade attainment level should be referred to an appropriate literacy service provider, where available.

Check-ins are intended to be a means by which a case manager can both keep a customer engaged in the process and ascertain how a customer is progressing toward his/her goals. Check-ins are defined as reciprocal communication between the WorkOne staff member and customer.

- Check-ins can occur via phone, e-mail, or in person.
- Check-ins are not a reportable service, but should be recorded for case management purposes.
- Check-ins should occur a minimum of every 30 days.

- Additional services should be offered or recommended either over the phone or in- person, as needed; this is an opportunity to provide an intensive service.

Training services for eligible individuals are provided through Individual Training Accounts (ITA) that can be used at any eligible INTraining provider. Training includes:

- Occupational skills training
- Drug Screen Policy must be followed.
- Maximum of $4500 for tuition per program year.
- FAFSA to be completed and Pell grant award applied before ITA utilization.
- Cost of books is supportive service.
- On the Job Training
- Drug Screen Policy must be followed.
- Programs that combine workplace training with related instruction
- Incumbent worker training
- Skills upgrading and retraining
- Adult education provided in combination with other training services
- Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training

While the above defines current Core, Intensive, and Training services, the service provider would be required to follow any changes made in the future.

WIA Performance Measures and Targeted Outcomes

The Workforce Investment Act (WIA) measures the success of services based on a comprehensive performance accountability system in order to optimize the return on investment of federal funds and to assess the effectiveness of local areas in achieving continuous improvement of workforce investment activities funded under Title I. The common measures are an integral part of ETA's performance accountability system.

Adult Measures	Dislocated Worker Measures
Entered Employment (*PY13 = 62%)	Entered Employment (*PY13 = 67%)
Retention (*PY13 = 83%)	Retention (*PY13 = 88%)
Earnings Increase (*PY13 = $13,000)	Earnings Increase (*PY13 = $15,750)

EXHIBIT B
River Valley Resources, Inc.

The following budget is effective for **Year One** (October 1, 2013 through June 30, 2014).

	CFDA 17.258 WIA Adult	CFDA 17.278 WIA DW	CFDA 17.278/.2 BC	CFDA 17.207 DEI	Total Budget
Management (foremerly Admin & Program Mgmt)					
Wages & Benefits	$ 4,462	$ 4,850			$ 9,312
Overhead (Rent, Utilities, etc.)	13,386	14550			27,936
Other (Contracts, Travel, Supplies, Equipment)	11,899	12933			24,832
Program (formerly Core & Intensive)					-
Wages and Benefits	280,966	305827			586,793
Other (Contracts, Travel, Supplies, Equipment)	16,500	17500			34,000
Business Consultant			$ 55,400		55,400
Disability Employment Initiative				$ 66,150	66,150
Total	**$ 327,213**	**$ 355,660**	**$ 55,400**	**$ 66,150**	**$ 804,423**

WIA funds include both program and administrative funds.

EXHIBIT C
River Valley Resources, Inc. Proposal
RFQ-SP-9-13

The complete proposal response is included on following pages.

SOUTHEAST INDIANA WORKFORCE INVESTMENT BOARD
YOUTH SERVICE PROVIDER AGREEMENT

This Agreement, entered into by and between the Southeast Indiana Workforce Investment Board, Inc. (the "Board") and River Valley Resources, Inc. ("Contractor") is executed pursuant to the terms and conditions set forth herein. In consideration of those mutual undertakings and covenants, the parties agree as follows:

1) Purpose:

The purpose of the activities funded by this Agreement is Service Provision by the Contractor for WIA Youth and Jobs for America's Graduates Expansion activities as requested in the Request for Qualifications, RFQ-SP-9-13. Contractor submitted to the Board a comprehensive proposal for Service Provision, a copy which is attached hereto as Exhibit C. The Board wishes to retain Contractor to perform Youth Service Provision according to the terms set forth in the proposal and in this agreement in the Contractor's Statement of Work, attached hereto as Exhibit A and incorporated fully herein (the "Statement of Work"), as required by and in compliance with federal, state, and local laws as amended from time to time. These duties may be expanded by written agreement of the parties.

2) Agreement Period:

This contract covers a period of nine (9) months: October 1, 2013 through June 30, 2014. Any terms and provisions of any extension shall be identical to the terms and provisions of this initial Agreement, unless otherwise agreed upon in writing by the parties.

3) Budget:

The nine (9) month payment to the Contractor from the Board's fiscal agent shall not exceed the dollar amount listed in the Budget, attached hereto as Exhibit B and incorporated fully herein (the "Budget"). This Agreement and budget shall be amended by the Board as necessary to reflect changes in the programs and level of effort required of the Service Provider.

4) Authority to Bind Contractor:

Notwithstanding anything in the Agreement to the contrary, the signatory for the Contractor represents that he/she has been duly authorized to execute agreements on behalf of the Contractor and has obtained all necessary or applicable approval from the Board of Directors or other governing body of the Contractor to make this Agreement and its attachments fully binding upon the Contractor when his/her signature is affixed. In signing this contract, the signatory state that s/he has read this document and is in agreement with its content.

5) Modification of Program Components and Service Levels:

The parties agree that those program components, service levels, and line-item budget information detailed in the Statement of Work and Budget may be modified upon mutual written agreement of the Board's Chair or his/her designee and Contractor so long as the total payments under this Agreement are not increased and the basic goals and objectives of the program are not altered. Should the State of Indiana modify any program component and/or service level detailed in the attached Exhibits then the Contractor and the Board agrees to renegotiate corresponding modifications of this Agreement in good faith.

6) Performance Standards:

Contractor shall comply with and adhere to the performance accountability standards and general program requirements described in Sections 136 (Performance Standards) and 195 (General Program Requirements) of WIA, as well as applicable regulations and performance standards established by the Board. Should the Performance Requirements defined in the Agreement between the State of Indiana and the Board be changed, the parties agree to enter into good faith negotiations to amend, alter or modify this Agreement and its attachments to accommodate the changes.

7) Satisfactory Work:

Contractor shall execute its responsibilities by following and applying at all times the highest professional and technical guidelines and standards. If the Board becomes dissatisfied with the work product the Board may request in writing the corrective actions to remedy the dissatisfaction.

The Contractor shall respond in writing to monitoring reports and requests for corrective action plans within ten (10) working days after the receipt of or by the deadline date identified by the Board, whichever is sooner. The Contractor shall respond promptly to reasonable requests for information by the Board.

8) Reports:

Contractor shall maintain records and submit such reports, data and information at such times and in such form as the Board may reasonably require regarding the Contractor's services, activities, costs or other data relating to this Agreement.

9) Ownership and Use of Documents and Materials:

All documents and other materials developed in the course of or under this Agreement shall be the prope1ty of the Contractor, the Board, and the State of Indiana. The United States Government also reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, to the extent permitted by Federal law and regulations, the work developed under this Agreement. The Contractor shall have nonexclusive, unrestricted, and perpetual right to reproduce and/or otherwise use the documents and materials developed under this contract.

The Contractor shall retain the original of all documents and materials developed under this Agreement. Copies of all such documents and materials shall be provided to the

Board and the State of Indiana at no additional cost and in sufficient number for the Board's and the State of Indiana's internal program use. Additional copies of the documents and materials developed under this Agreement shall be provided by the Contractor upon request. A minimal fee may be charged by the Contractor for such additional copies provided that the charge does not exceed the Contractor's cost of reproducing the materials.

10) Access to Records:

Contractor shall allow the Federal awarding agency, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to this Agreement, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to a recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

11) Confidentiality:

Contractor understands and agrees that data, materials, and information disclosed to the Contractor may contain confidential and protected data. Therefore, the Contractor promises and assures that data, material, and information gathered, based upon or disclosed to the Contractor for the purpose of this Agreement, will not be disclosed to others or discussed with third parties without prior written consent of the Board.

12) Conflict of Interest:

Contractor will not participate in a conflict of interest or the appearance of a conflict of interest involving funds provided under this Agreement. The Contractor has an affirmative obligation under this Agreement to disclose to the Board when an employee of the Contractor becomes aware of a conflict of interest or a potential conflict of interest. The obligation under this section extends only to those facts that Contractor knows or reasonably could know.

13) Assignment; Successors:

Contractor binds its successors and assignees to all the terms and conditions of this Agreement. The Contractor shall not assign or subcontract the whole or any part of this Contract without the Board's prior written consent. The Contractor may assign its rights to receive payments to such third parties as the Contractor may desire without the prior written consent of the Board, provided that Contractor gives written notice (including evidence of such assignment) to the Board thirty (30) days in advance of any payment so assigned. The assignment shall cover all unpaid amounts under this Agreement and shall not be made to more than one party.

14) Subcontracting:

Contractor shall not subcontract for services under this Agreement without the prior consent of the Board. If the Board consents to a subcontract, in no event shall the subcontract alter, in any way, any legal responsibility of Contractor to the Board. The Board may refuse to pay obligations incurred under any subcontract that does not comply with the terms of this Agreement. All subcontracts must be in writing and copies provided to the Board upon request. Contractor shall ensure that all subcontracts for services and contracted staff are procured in compliance with appropriate federal/state procurement guidelines.

15) Notices:

Any notices, bills, invoices or reports required by this Agreement shall be deemed delivered if sent by the party in the United States mail, postage paid, to the address below. For purposes of calculating periods of time set forth in this Agreement, delivery is accomplished on the day of actual receipt by the addressee or its agent. Each party shall notify the other of any change in the address listed below/next page by certified mail, return receipt requested.

For the Contractor	For the Board
Margo Olson, ~~Vice President~~ Executive Director River Valley Resources, Inc. 215 E. Main Street, Suite 1 Madison, Indiana 47250	**Patricia Yount, Chair** Southeast Indiana Workforce Investment Board, Inc. Attn: Crowe Horwath LLP, Jackie Zangrilli 3815 River Crossing Parkway, Suite 300 Indianapolis, Indiana 46240

16) Licensing Standards:

Contractor agrees to comply, and assures that its employees and subcontractors (if any) will comply with all applicable licensing standards, accrediting standards, and any other standards or criteria which any governmental entity requires of the Contractor or any subcontractors to deliver services pursuant to this Agreement. The Board shall not be required to reimburse the Contractor for any services performed when the Contractor or its employees or any subcontractors are not in compliance with applicable licensing, certifying, or accrediting standards. If licensure, certification, or accreditation expires or is revoked, the Contractor shall immediately notify the Board.

17) Compliance with Laws:

In its performance under this Agreement, Contractor shall fully comply with the requirements of all local, state and federal laws, regulations, and/or mandates as amended from time to time, including but not limited to the following whether or not otherwise referred to in this Agreement:

(a) The Workforce Investment Act of 1998 ("WIA") and all applicable federal statutes, regulations, policies, procedures and directives;

(b) Contractor and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State, as set forth in IC 4-2-6 et seq., the regulations promulgated hereunder, and Executive Order 04-08, dated April 27, 2005. If Contractor is not familiar with these ethical requirements, Contractor should refer questions to the Indiana State Ethics Commission website at <http://www.in.gov/ethics/>. If the Contractor or its agents violate any applicable ethical standards, the Board may, in its sole discretion, terminate this contract immediately upon notice to Contractor. In addition, this contract may be subject to penalties under IC 4-2-6-12.

(c) Contractor certifies by entering into this Agreement that neither it nor its principal(s) is presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. Further, the Contractor agrees that any payments in arrears and currently due to the State of Indiana may be withheld from payments due to the Contractor. Additionally, further work or payments may be withheld, delayed or denied and/or this Agreement suspended until the Contractor is current in its payments and has submitted proof of such payment to the Board.

(d) Contractor warrants that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State of Indiana, and agrees that it will immediately notify the Board of any such actions. During the term of such actions, Contractor agrees that the Board may delay, withhold, or deny work under any supplement or contractual device issued pursuant to this Agreement.

(e) Any payments that the Board may delay, withhold, deny, or apply under this section shall not be subject to penalty or interest under IC 5-17-5.

(f) Contractor warrants that the Contractor and its subcontractors, if any, shall obtain and maintain all required permits, licenses, and approvals, as well as comply with all health, safety, and environmental statutes, rules, or regulations in the performance of work activities for the Board. Failure to do so is a material breach of the contract and grounds for immediate termination of the Agreement.

(g) Contractor hereby affirms that it is properly registered and owes no outstanding reports with the Indiana Secretary of State.

(h) Contractor agrees that the Board may confirm, at any time, that no liabilities exist to the State of Indiana, and if such liabilities are discovered, the Board may bar Contractor from contracting with the Board in the future, cancel existing contracts, withhold payments to setoff such obligations and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the Board.

(i) As required by IC 5-22-3-7:

a. Contractor and any principals of Contractor certify that (A) Contractor, except for de minims and nonsystematic violations, has not violated the terms of (i) IC 24-4.7 [Telephone Solicitation of Consumers], (ii) IC 24-5-12 [Telephone Solicitations], or (iii) IC 24-5-14 [Regulation of Automatic Dialing Machines] in the previous three hundred sixty-five (365) days, even if IC 24-4.7 is preempted by federal law.

b. Contractor and any principals of the Contractor certify that an affiliate or principal of the Contractor and any agent acting on behalf of the Contractor or on behalf of an affiliate or principal of the Contractor: (A) except for de minims and nonsystematic violations, has not violated the terms of IC 24-4.7 in the previous

three hundred sixty-five (365) days, even IC 24-4.7 is preempted by federal law; and (B) will not violate the terms of IC 24-4.7 for the duration of the Contract, even if IC24-4.7 is preempted by federal law.

18) Independent Contractor:

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

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

19) Insurance:

Contractor shall furnish and keep in full force and effect at all times during the term of this Agreement the following insurance, for which Contractor shall pay all premiums, and for which Contractor shall furnish the Board, upon its request, with an appropriate certificate of insurance as evidence thereof:

(a) Public liability insurance in the name of Contractor in the minimum amounts of $100,000 for one person and of $300,000 for more than one person for loss from a tort resulting in bodily injury or death.
(b) Worker's compensation insurance covering all of Contractor's employees engaged in performing the services covered by this Agreement.

20) Complete Agreement:

This Agreement, including all attachments, constitutes the whole of the Agreement and final expression of the intention of the parties hereto, and any prior discussions or documents not incorporated herein shall be deemed null and void.

21) Modification:

a. The parties hereto reserve the right, subject to mutual assent, to modify the terms, conditions, and schedules as herein contained, as necessary and evidenced by a written, formal executed Amendment to this Agreement.
b. As described in the Budget, Contractor is authorized to make budget adjustments within cost categories so long as the adjusted cost category amount continues to meet any maximum/minimum limitations.

22) Severability;

Invalidity of any paragraph section, sub-section, clause or provision of this Agreement shall not affect the validity of the remaining paragraphs, sections, sub-sections, clauses or provisions hereof.

23) Waiver:

No delay or omission by either party hereto to exercise any right or power accruing upon any noncompliance or default by the other party with respect to any of the terms of this Agreement shall impair any such right or power or be construed to be a waiver thereof. A waiver by either of the parties hereto of any of the covenants, conditions, or agreements to be performed by the other shall not be construed to be a waiver of any succeeding breach thereof or of any other covenant, condition or agreement herein contained.

24) Payments:

All payment obligations shall be made in accordance with Indiana law and Board fiscal policies and procedures. Cash Draw requests and Monthly Expense Settlement Reports will be submitted in accordance with written policy.

25) Contingency of Funds:

Contractor acknowledges that the obligations of the Board under this Agreement are contingent upon the availability of Federal and/or State funds, as applicable, for the reimbursement of Contractor's expenditures, and inclusion of sufficient funds for the services hereunder in the budget approved by the Board each fiscal year this Agreement remains in effect or operation. In the event that such funding is terminated or reduced, the Board may terminate this Agreement upon 30 days' notice to Contractor, or may reduce the Board's maximum obligation, or seek to modify this Agreement. The Board Chair or his/her designee shall provide Contractor with written notification of such intention to reduce or to seek modification. If funding available to the Board to support the activities as outlined in the Statement of Work and Budget is terminated, withdrawn or reduced, then the Board's obligations to reimburse the Contractor shall be limited to the Region's available funds.

26) Funding Cancellation:

When IDWD makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Agreement, this Agreement shall be canceled. A determination by IDWD that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

27) Termination Upon Notice:

If at any time after the execution of this Contract the Board determines in good faith that Contractor's performance hereunder is not satisfactory; the Board may terminate this Agreement

upon sixty (60) days written advance notice. In the event that the Board must terminate this Agreement in good faith, the Board shall be entitled to pursue all legal and equitable remedies available to it. The description of any unsatisfactory performance in the written notice of termination served by the Board upon Contractor shall in no way preclude the Board from specifying additional or supplemental defaults in any action, arbitration, hearing, or suit relating to this Agreement or its termination.

28) Penalties, Interest, Taxes and Attorney Fees:

The Board will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest, or attorney's fees in connection with this Agreement, except as required by Indiana law. The Board will not be responsible for any taxes levied on Contractor as a result of this Agreement.

29) Governing Laws:

This Agreement shall be construed in accordance with and governed by the laws of the State of Indiana and suit, if any, must be brought in the State of Indiana.

30) Indemnification:

Both parties shall indemnity and hold harmless each other, their respective officers, employees, and agents from any and all loss, liability, claims, judgments, and liens, including costs and expenses, arising out of any negligent act or omission of the Board or Contractor or any of their officers, agents, employees, or subcontractors in the performance of this Agreement.

31) Default by Board:

If the Board, sixty (60) days after receipt of written notice, fails to correct or cure any breach of this Agreement, then the Contractor may cancel and terminate this Agreement and collect all monies due up to and including the date of termination.

32) Disputes:

(a) Should any disputes arise with respect to this Agreement, Contractor and the Board agree to act immediately to resolve such disputes. Time is of the essence in resolution of disputes.

(b) Contractor agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all its responsibilities under this Agreement that is not affected by the dispute. Should the Contractor fail to continue to perform its responsibilities regarding non-disputed work, without delay, any additional costs incurred by the Board or the Contractor as a result of such failure to proceed shall be borne by Contractor, and Contractor shall make no claim against the Board for such costs. If the Board and the Contractor cannot resolve a dispute within ten (10) working days following notification in writing by either party of the existence of a dispute, then the following procedures shall apply:

(i) The parties mutually agree to submit the dispute to arbitration for a determination or otherwise the dispute may be submitted to an Indiana court of competent jurisdiction.
(ii) The Board may withhold payments on disputed items pending resolution of the dispute. The unintentional nonpayment by the Board to the Contractor of one or more invoices not in dispute in accordance with the terms of this Agreement will not be cause for Contractor to terminate this Agreement.

33) Nondiscrimination:

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

34) Federal Participation:

Pursuant to Pub. L. 103-333, 108 Stat/ 3573, when issuing statements, press releases, request for proposals, bid solicitations, and other documents describing the activities funded through this agreement, the Contractor shall clearly state: 1) the percentage of the total costs of the program or project which will be financed with Federal funds; 2) the dollar amount of Federal funds for the project or program; and 3) the percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

35) Certification Regarding Lobbying:

(a) Pursuant to USC 1352, and any regulations promulgated thereunder, Contractor hereby assures and certifies, and will require any sub-recipient to assure and certify, that no federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
(b) If any non-federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Agreement, Contractor shall complete and submit *Standard Form LLL* ("Disclosure of Lobbying Activities").

36) Debarment and Suspension:

Contractor certifies by entering into this Agreement that neither it nor its principals, nor any of its subcontractors, if any, are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into this Agreement by any federal agency or by any department, agency or political subdivision of the State. The term "principal" for purposes of this Agreement means an officer, director, owner, partner, key employee or other person with primary management or supervisory responsibilities, or a person who has a critical influence on or substantive control over the operations of the Contractor.

37) State of Indiana Drug-Free Workplace Certification:

Contractor hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. Contractor will give written notice to the Board within ten (10) days after receiving actual notice that the Contractor or an employee of the Contractor in the State of Indiana has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of Agreement payments, termination of this Agreement, and/or debarment of contracting opportunities with the Board for up to three (3) years.

Contractor certifies and agrees that it will provide a drug-free workplace by:

a. Publishing and providing to all of its employees a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; and
b. Establishing a drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the Contractor's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and, (4) the penalties that may be imposed upon any employee for drug abuse violations occurring in the workplace;
c. Notifying ail employees in the statement required by subparagraph (a) above that as a condition of continued employment the employee will (1) abide by the terms of the statement; and (2) notify the employer of any criminal drug statute conviction for violation occurring in the workplace no later than five (5) days after such conviction;
d. Notifying the Board, in writing, within ten (10) days after receiving notice from an employee under subdivision (c)(2) above, or otherwise receiving actual notice of such conviction;
e. Within thirty (30) days after receiving notice under subdivision (c)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such

purposes by a Federal, State or local health, law enforcement, or other appropriate agency; and

f. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (a) and (e) above.

38) Non-Collusion and Acceptance:

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

REMAINDER OF THIS PAGE INTENTIONALLY LEFT BLANK

The parties, having read and understanding the foregoing terms of this Agreement, do by their respective signatures dated below hereby agree to the terms thereof:

CONTRACTOR:

Margo Olson

Signature

Margo Olson, Exec. Dir

Printed Name & Title

9/27/2013

Date

River Valley Resources, Inc.
Margo Olson, ~~Vice President~~
Executive Director

BOARD:

Patricia M. Yount

Signature

Patricia M. Yount Chair

Printed Name & Title

09/27/13

Date

Southeast Indiana Workforce
Investment Board, Inc.
Patricia Yount, Chair

EXHIBIT A
Statement of Work

This Contract is hereby engaged to represent the interest of the Board as the Youth Service Provider for the Southeast Indiana Workforce Investment Board. Contractor will serve as Service Provider providing services for Youth activities including but not limited to the following:

- The Service Provider is responsible for:
  - Ensuring adherence of the system to state policies. Policies of the Indiana Department of Workforce Development may be found at http://www.in.gov/dwd/2482.htm.
  - Duties performed by Service Provider will be performed in a professional and ethical manner.
  - Youth will be identified by the Welcome Team and referred to the Youth Specialist for eligibility determination. Eligibility will be established prior to enrollment. Eligible youth will be assessed per program requirements.
  - Youth 18 and older will be co-enrolled in accordance with the Integration plan.
  - Provide youth services in accordance with the ten Program Elements required by WIA.
  - Adhere to DWD Directives for eligibility determination.
  - Build a set of core assets and competencies in preparation for adult life. Using the services defined in the required elements, youth will enhance skills, work readiness and occupational skills.

WIA Performance Measures and Targeted Outcomes

The Workforce Investment Act (WIA) measures the success of services based on a comprehensive performance accountability system in order to optimize the return on investment of federal funds and to assess the effectiveness of local areas in achieving continuous improvement of workforce investment activities funded under Title I. The common measures are an integral part of ETA's performance accountability system.

Youth Measures

Placement in Employment or Education	PY13 = 64%
Attainment of a Degree or Certificate	PY13 = 83%
Literacy and Numeracy Gains	PY13 = 41%

The services provided by the Contractor shall be provided in accordance with the RFQ issued by the WIB and proposal submitted to the Southeast Indiana WIB on August 28, 2013 and the Southeast Indiana WIB Local Plan of Service. The proposal submitted by the Contractor is attached hereto as Exhibit C. If any clause, provision, specification or item of service presented in the proposal conflicts with any clause, provision, specification or item of service contained in this contract the contract shall take precedence over the proposal.

EXHIBIT B
River Valley Resources, Inc.

The following budget is effective for **Year One** (October 1, 2013 through June 30, 2014).

	CFDA 17.259 WIA Youth	JAG Expansion	Total Youth Budget
Management (foremerly Admin & Program Mgmt)			
Wages & Benefits	$ 3,760		$ 3,760
Overhead (Rent, Utilities, etc.)	11,280		11,280
Other (Contracts, Travel, Supplies, Equipment)	10,027		10,027
Program (formerly Core & Intensive)			-
Wages and Benefits	236,463		236,463
Other (Contracts, Travel, Supplies, Equipment)	14,200		14,200
JAG Expansion		$ 193,400	193,400
Work Experience	15,000		15,000
Total	**$ 290,730**	**$ 193,400**	**$ 484,130**

The WIB Fiscal Agent directly pays the bills for direct client services other than Work Experience, therefore, this line item is not included in the Service Provider budget.

EXHIBIT C
River Valley Resources, Inc. Proposal
RFQ-SP-9-13

The complete proposal response is included on following pages.