

## **Local Area Plan Modifications and Revisions Policy**

### **References:**

Workforce Investment Act of 1998; Federal Register/Vol. 65, No. 156/Aug. 11, 2000; Local Plan Instructions.

### **Background:**

In accordance with 20 CFR 661.355, the Governor must establish procedures governing the modification of local plans.

### **Action:**

After the 10 day public review period, this policy is considered final. Questions and comments should be submitted in writing to Stan Odenthal, [stan.odenthal@nebraska.gov](mailto:stan.odenthal@nebraska.gov).

### **Policy:**

There are two methods by which a plan may be changed:

- modification, or
- revision.

All submissions for modifications and revisions must be done electronically. The Office of Employment and Training (OET) will confirm receipt.

### **MODIFICATION:**

Situations in which a modification is required by the Governor include:

- Significant changes in local economic conditions (labor market conditions);
- A change of more than 25% of the cumulative number of participants served in a program year;
- Redesignation of a workforce investment area, grantee, or administrative entity;
- A change of more than 15% in the financing available in any one of the individual WIA program funds (Adult, Dislocated Worker, or Youth) to support WIA Title I and partner-provided WIA services (including receipt of Program Year, Fiscal Year and additional funds from the State); or
- Changes to the local board membership structure.

Submit electronically to OET the modification for review and approval 21 days prior to the NWIB review/approval meeting, unless otherwise stated in an Issuance or other communication from the State. OET will confirm receipt.

Include in the modification package:

1. A cover letter outlining:
  - the reason for the modification
  - the effective date (recognizing that the local plan modification is not approved until a recommendation by the NWIB and approval by the Governor or his representative)
  - a brief description of the modified sections
  - any deletions from the original plan
  - identification of the PY/FY if funds are being transferred
2. A dated and signed signature page indicating joint submission and approval by the WIB Chair and the CEO. All local plan modifications must be approved by local area Workforce Investment Boards and follow any review processes described in the CEO Agreement.
3. Assurance that hard copies of the complete modification and signature page shall be kept on file at the local area administrative office and be available for review.
4. At least 30 days prior to its submission to the Governor or his representative [as noted in 20 CFR 661.345(b)(3)], modifications of the plan must be printed and a public notice must be published in a prominent newspaper in the Workforce Investment Area announcing that a plan modification is being submitted and is available for review. **To ensure this requirement is met, a proof of publication of the public notice must be submitted with the modification.**
5. The modified pages of local plan narrative.
6. *Budget, Participant, and Exit Summary* attachments for **any and all plan** modifications involving funds and/or participant enrollments/exits. See attachments to this policy for instructions on accurately completing the *Budget, Participant, and Exit Summary*.
7. Any comments that express disagreement with the local plan modification must be included in the modification request. [20 CFR 661.345(c)]

### **REVISION:**

A revision shall be made for the following reasons:

- A change of 25% or less of the cumulative number of participants served;
- A change of 15% or less of the financing available in any one of the individual WIA program funds (Adult, Dislocated Worker, or Youth) to support WIA Title I and partner-provided WIA services. This includes the receipt of Program Year, Fiscal Year and additional funds from the State;
- A need to revise strategies to meet performance goals; or
- Any change that does not meet the modification criteria and that is not defined as a substantial deviation from the state plan, i.e., program design issues.

All Local Plan revisions must be submitted electronically to OET within 30 days of the effective date.

The revision will contain:

1. A cover letter identifying: revised sections; the effective date; a brief description of the change.
2. A replacement page or pages for the revised item.
3. A signature sheet indicating review and approval by the WIB Chair and CEO prior to submittal.

### **Budget, Participant, And Exit Summary Instructions**

All plan modifications and revisions regarding budget and/or participant enrollment impacts **must** be accompanied by appropriate Budget, Participant, and Exit Summary sheet(s). These sheets reflect the planned use of local area funds and the participant enrollment impact of such funds. The Budget, Participant and Exit Summary sheet(s) must display cumulative information regarding funding throughout the year. These sheets are provided in Word format. Each column needs to be calculated and completed by the local area. Each new plan modification must include total financial information from the beginning of the program year to date.

- Attachment A - Budget, Participant, and Exit Summary – **Adult**
- Attachment B - Budget, Participant, and Exit Summary – **Dislocated Workers**
- Attachment C - Budget, Participant, and Exit Summary – **Youth**
- Attachment D - Budget Summary -- **Administration**
- Attachment E - Instructions for the Budget, Participant, and Exit Summary Sheets – **Adult & Dislocated Workers**
- Attachment F: Instructions for the Budget, Participant, and Exit Summary Sheets – **Youth**
- Attachment G: Instructions for the Budget Summary Sheets – **Administration**

**BUDGET, PARTICIPANT, AND EXIT SUMMARY – Adult**

Program Area Adults (Training Funds - 90%) Issuance No. \_\_\_\_\_  
 Program Period \_\_\_\_\_

				Additional and/or Transferred Funds	
<b>I. Funds Available</b>	1. Carry In Funds	2. PY Funds (July – Sept.)	3. FY Funds (Oct – June)	4. Name/Year Effective Date	5. Total Available Funds
A. Program (90%)					
B. Additional/Transfer					
C. Additional/Transfer					
D. Additional/Transfer					
<b>E. Total Funds</b>					

**II. Projected Costs**

A. Participant Costs					
B. Staff Costs					
C. Operational Costs					
D. Equipment Costs					
<b>E. Total Projected</b>					

**III. Projected Carry-In**  
(to next Program Year)

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**IV. Actual  
Expenditures**

A. Program

1. 1st Qtr (July-Sept.)	2. 2nd Qtr (Oct.-Dec.)	3. 3rd Qtr (Jan.-March)	4. 4th Qtr (April-June)	5. Cumulative Total

**V. Participants**

A. Prior Year Carry-In

B. New Enrollees

1. 1st Qtr (July-Sept.)	2. 2nd Qtr (Oct.-Dec.)	3. 3rd Qtr (Jan.-March)	4. 4th Qtr (April-June)	5. Cumulative Totals	6. Carry-In to Next PY

**VI. Exits**

A. Planned Exits

B. Entered Employment


**Projected Cost per Participant**  
For Current Year

#DIV/0!

**Actual Cost per Participant**  
For Previous Year

#DIV/0!

**BUDGET, PARTICIPANT, AND EXIT SUMMARY – DLW**Program Area DLW (Training Funds - 90%)

Issuance No. \_\_\_\_\_

Program Period \_\_\_\_\_

				Additional and/or Transferred Funds	
	1. Carry In Funds	2. PY Funds (July – Sept.)	3. FY Funds (Oct – June)	4. Name/Year Effective Date	5. Total Available Funds
<b>I. Funds Available</b>					
A. Program (90%)					
B. Additional/Transfer					
C. Additional/Transfer					
D. Additional/Transfer					
<b>E. Total Funds</b>					

**II. Projected Costs**

- A. Participant Costs  
B. Staff Costs  
C. Operational Costs  
D. Equipment Costs


**E. Total Projected****III. Projected Carry-In**  
(to next Program Year)

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**IV. Actual  
Expenditures**

- A. Program

1. 1st Qtr (July-Sept.)	2. 2nd Qtr (Oct.-Dec.)	3. 3rd Qtr (Jan.-March)	4. 4th Qtr (April-June)	5. Cumulative Total

**V. Participants**

- A. Prior Year Carry-In  
B. New Enrollees

1. 1st Qtr (July-Sept.)	2. 2nd Qtr (Oct.-Dec.)	3. 3rd Qtr (Jan.-March)	4. 4th Qtr (April-June)	5. Cumulative Totals	6. Carry-In to Next PY

**VI. Exits**

- A. Planned Exits  
B. Entered Employment


**Projected Cost per Participant**  
For Current Year

#DIV/0!

**Actual Cost per Participant**  
For Previous Year

#DIV/0!

**BUDGET, PARTICIPANT, AND EXIT SUMMARY PY12 – Youth**

Program Area  
Program Period

Youth (90%)

Issuance No. \_\_\_\_\_

			Additional Funds	
<u>I. Funds Available</u>	1. Carry In Funds	2. PY Funds 7/1/13	3. Program/ Year Effective Date	4. Total Available Funds
A. Program (90%)				
B. Additional Funds				
C. Additional Funds				
D. Additional Funds				

II. Projected Costs**A. Out of School Youth**

1. Participant Funds
2. Staff Costs
3. Operational Costs
4. Equipment Costs

**B. In School Youth**

1. Participant Funds
2. Staff Costs
3. Operational Costs
4. Equipment Costs

1. Carry-In Funds	2. PY Funds	3. Program/ Year Effective Date	4. Total Costs

III. Projected Carry-In Funds  
 (to next Program Year)

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IV. Actual Expenditures

- A. Out of School
- B. In School
- C. Total Expenditures

1. 1st Qtr (July-Sept.)	2. 2nd Qtr (Oct.-Dec.)	3. 3rd Qtr (Jan.-Mar.)	4. 4th Qtr (April-June)	5. Cumulative Total

**V. Participants**

A. Prior Year Carry-In

B. New Enrollees

1. Low Income/ Econ.  
Disadvantaged

2. High School Dropouts/ No  
GED

3. Unemployed

4. Out of School

5. In School

1. 1st Qtr (July-Sept.)	2. 2nd Qtr (Oct.-Dec.)	3. 3rd Qtr (Jan.-Mar.)	4. 4th Qtr (April-June)	5. Cumulative Totals	6.

**VI. Exits**

**A. Exits**

1. Placement in Empl. / Educ.

2. Attain Degree / Certificate

3. Literacy/Numeracy Gains


**Projected Cost per Participant**      **#DIV/0!**  
For Current Year

**Actual Cost per Participant**      **#DIV/0!**  
For Previous Year

## BUDGET SUMMARY – Administration

Program Area Administration (10%) Issuance No. \_\_\_\_\_  
 Program Period \_\_\_\_\_

				Other Funds	
	1. Carry In Funds	2. PY Funds (July – Sept.)	3. FYFunds (Oct – June)	4. Source	5. Total Available Funds
<b>I. Funds Available</b>					
A. Adult					
B. DLW					
C. Youth					
<b>D. Total Funds</b>					

### II. Projected Costs

A. Staff Costs					
B. Overhead Costs					
<b>C. Total Projected</b>					

### III. Projected Carry-In (to next Program Year)

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### IV. Actual Expenditures

	1st Qtr PY (July-Sept.)	2nd Qtr FY (Oct.-Dec.)	3rd Qtr (Jan.-Mar.)	4th Qtr (April-June)	Cumulative Totals
A. Administration					



# Attachment E

## INSTRUCTIONS FOR THE BUDGET, PARTICIPANT, AND EXIT SUMMARY SHEETS—Adults & Dislocated Workers

The correct Issuance number and Program Period must be completed. If an Issuance is not applicable, indicate "N/A." Program Period must be completed, and include Program and Fiscal Year. The Budget, Participant, and Exit Summary sheet should only reflect program costs (90% funds) and no administrative costs (10%).

### I. Funds Available

Under the Funds Available section:

- **Column 1** should reflect the estimated carry-in funds from the previous year.
- **Column 2** should reflect the Program Year (PY), July through September funds the local area will receive. This amount should match the amount provided for planning purposes in the State Issuance.
- **Column 3** should reflect the Fiscal Year (FY), October-June funds the local area will receive. This amount should also match the amount provided for planning purposes in the State Issuance.
- **Column 4** is to be used when transferring funds between adult and dislocated workers. In the header column, the local area will need to identify the Name (i.e. PY or FY) and the Effective Date which is the program or fiscal year the funds were initially awarded to the State. When transferring funds the original funds source should be displayed as a negative and the receiving funding source should be displayed as a positive.
- **Column 5** is the total of Columns 1, 2, 3 and, if applicable, 4.

### II. Projected Costs

Under the Projected Costs section, staff costs are salary and benefit cost that will be charged to the adult program and operational costs are those expenses needed to operate the adult program (i.e. all cost related to the program that are not a personnel cost such as; rent, utilities, publications and printing, travel, etc.). :

- **Column 1** should reflect the amount of carry in funds that will be spent on participant costs, staff costs, operational costs, and equipment costs.
- **Column 2** should reflect the amount of Program Year funds that will be spent on participant costs, staff costs, operational costs, and equipment costs.
- **Column 3** should reflect the amount of Fiscal Year funds that will be spent on participant costs, staff costs, operational costs, and equipment costs.
- **Column 4** should identify any participant, staff, operational, or equipment costs that will be charged to additional or transferred funds.
- **Column 5** should be the total of Columns 1-3 and, if applicable, 4, for participant, staff, operational, and equipment costs.

### III. Projected Carry-In

In this section the local area should indicate the planned amount to be carried in for the following program year.

- **Column 1** should be left blank.
- **Columns 2-3** and, if applicable, 4, should be totaled and reflected in Column 5.

#### IV. **Actual Expenditures**

This section only needs to be completed when the local plan is being modified or revised after the beginning of the program year. Depending on the quarter of the program year the modification is submitted, the local area needs to complete in the appropriate column (1-4), the actual per quarter expenditures for the quarters completed to date.

- Column 5 should reflect the total of columns 1-4 as appropriate.

#### V. **Participants**

- **Columns 1-4** of this section should show the planned number of new enrolled participants per quarter. Each column should only show the number of **new** enrollees per quarter.
- **Column 1** reflects both the number of prior year carry-in participants and the new enrollees for 1<sup>st</sup> quarter.
- **Column 5** is the annual cumulative total over a four quarter period which includes the prior year carry-in shown in Column 1 and the addition of Columns 1-4 of new enrollees.
- **Column 6** needs to show the number of planned participants to be carried into the next program year.

#### VI. **Exits**

- **Columns 1-4** – The number of planned Exits per quarter should be shown in Columns 1-4. Of the planned Exits, Columns 1-4 also asks how many will enter employment.
- **Column 5** is the cumulative total of Exits over a 4 quarter period and of those exited how many will enter employment

**VII. Projected Cost Per Participant** is the planned average cost per participant for the program period. **Actual Cost Per Participant** is the local area's average cost per participant for the previous program year.

## INSTRUCTIONS FOR THE BUDGET, PARTICIPANT, AND EXIT SUMMARY SHEETS – YOUTH

The correct Issuance number and Program Period must be completed. If an Issuance is not applicable, indicate "N/A." Program Period must be completed, and include Program and Fiscal Year. The Budget, Participant, and Exit Summary sheet should only reflect program costs (90% funds) and no administrative costs (10%).

### **I. Funds Available**

Under the Funds Available section:

- **Column 1** should reflect the estimated carry-in funds from the previous year.
- **Column 2** should reflect the Program Year (PY), July through June funds the local area will receive. This amount should match the amount provided for planning purposes in the State Issuance.
- **Column 3** should reflect any additional youth funds the local area may receive. In the header of Column 3, the local area will need to identify the source of the additional funds and the Effective Date which is the program or fiscal year the funds were initially awarded to the State.
- **Column 4** is the total of Columns 1, 2 and 3, if applicable.

### **II. Projected Costs**

The Projected Cost section has two parts; A. Out of School Youth, and B. In School youth. For the purpose of this section, staff costs are salary and benefit cost that will be charged to the youth program and operational costs are those expenses needed to operate the adult program (i.e. all cost related to the program that are not a personnel cost such as; rent, utilities, publications and printing, travel, etc.).

- **Column 1** should reflect the amount of carry in funds that will be spent on participant costs, staff costs, operational costs, and equipment costs for both A. Out of School Youth and B. In School Youth.
- **Column 2** should reflect the amount of Program Year funds that will be spent on participant costs, staff costs, operational costs, and equipment costs for both A. Out of School Youth and B. In School Youth.
- **Column 3** should reflect any additional funds the local area received that will be spent on participant costs, staff costs, operational costs, and equipment costs. Additional funds must also be identified as either Out of School, In School, or both.
- **Column 4** should be the total cost for participant, staff, operational, and equipment expense (Columns 1-3).

### **III. Projected Carry-In Funds**

In this section the local area should indicate the planned amount to be carried in for the following program year.

- **Column 1** should be left blank.
- **Columns 2-4** should be totaled and reflected in Column 5.

### **IV. Actual Expenditures**

This section only needs to be completed when the local plan is being modified or revised after the beginning of the program year. Depending on the quarter of the program year the modification is submitted, the local area needs to complete, in the appropriate column (1-4), the

actual per quarter expenditures for the quarters completed to date. This information must be provided specific to Out of School and In School Youth expenditures.

- **Column 5** should reflect the total of Columns 1-4.

#### V. **Participants**

- **Columns 1-4** of this section should show the planned number of new enrolled participants per quarter. Each column should only show the number of new enrollees **per** quarter.
- **Column 1** reflects both the number of prior year carry-in participants and the new enrollees for 1<sup>st</sup> quarter. Of the combined total, A. prior year carry-in and B. new enrollees, indicate how many are planned to be: 1. Low income/economically disadvantaged, 2. High school dropout/ no GED, 3. Unemployed, 4. Out of school and, 5. In school.
- **Column 5** is the annual cumulative total over a four quarter period which includes A. prior year carry-in shown in Column 1 and B. new enrollees in Columns 1-4.
- **Column 6** needs to show the number of planned participants to be carried into the next program year.

#### VI. **Exits**

- The number of planned Exits per quarter should be shown under A. Exits in **Columns 1-4**.
- Of the planned Exits, **Columns 1-4** also asks per quarter how many will: 1. Be placed in Employment/Education, 2. Attain a degree/certificate, and/or 3. Achieve literary/numeracy gains.
- **Column 5** is the cumulative total of Exits over a four quarter period and a cumulative total of those exited how many plan to: 1. Be placed in Employment/Education, 2. Attain a degree/certificate, and/or 3. Achieve literary/numeracy gains.

#### VII. **Projected Cost Per Participant** is the planned average cost per participant for the program period.

**Actual Cost Per Participant** is the local area's average cost per participant for the previous program year.

## INSTRUCTIONS FOR THE BUDGET SUMMARY SHEETS - Administration

***This Budget Summary Sheet should only reflect the 10% Administrative set aside funds allowed for administration under the WIA Adult, Youth and Dislocated Worker Programs.***

The correct Issuance number and Program Period must be completed. If an Issuance is not applicable, indicate "N/A." Program Period must be completed, and include Program and Fiscal Year. The Budget, Participant, and Exit Summary sheet should only reflect program costs (90% funds) and no administrative costs (10%).

### **I. Funds Available**

Under the Funds Available section:

- **Column 1** should reflect the estimated carry-in funds from the previous year.
- **Column 2** should reflect the Program Year (PY), July through September funds the local area will receive. This amount should match the amount provided for planning purposes in the State Issuance.
- **Column 3** should reflect the Fiscal Year (FY), October-June funds the local area will receive. This amount should also match the amount provided for planning purposes in the State Issuance.
- **Column 4** is to be used when the local area receives any other funds for administration. The local area will need to identify the source of the administrative funds.
- **Column 5** is the total of Columns 1, 2, 3 and, if applicable, 4. This section should only reflect program costs (90% funds) and no administrative costs (10% funds).

### **II. Projected Costs**

Under the Projected Costs section, staff costs are salary and benefit cost that will be charged to administrative funds and overhead costs are those expenses needed to support administrative functions (i.e. all cost related to the program that are not a personnel cost such as; rent, utilities, publications and printing, travel, etc.):

- **Column 1** should reflect the amount of carry in funds that will be spent on: A. staff costs and B. overhead costs.
- **Column 2** should reflect the amount of Program Year funds that will be spent on staff costs and overhead costs.
- **Column 3** should reflect the amount of Fiscal Year funds that will be spent on staff costs and overhead costs.
- **Column 4** should identify any administrative costs (staff or overhead) the local area may receive.
- **Column 5** should be the total of Columns 1-4 for participant, staff, operational, and equipment costs.

### **III. Projected Carry-In**

In this section the local area should indicate the planned amount to be carried in for the following program year.

- **Column 1** should be left blank.
- **Columns 2-4** should be totaled and reflected in Column 5.

#### **IV. Actual Expenditures**

This section only needs to be completed when the local plan is being modified or revised after the beginning of the program year. Depending on the quarter of the program year the modification is submitted, the local area needs to complete in the appropriate column (1-4), the actual per quarter expense for the quarters completed to date.

- Column 5 should reflect the total of columns 1-4 as appropriate.