TRADE AND ECONOMIC TRANSITION NATIONAL DISLOCATED WORKER GRANT PROJECT IMPLEMENTATION PLAN

I. Background

In the last 18 months, Wisconsin's Department of Workforce Development, Division of Employment and Training (DWD-DET) has received more than 200 layoff notices from businesses in the retail sector, impacting over 6,500 workers from a wide variety of retail stores and/or their corporate offices, call centers, and store distribution centers. The loss of sales from brick and mortar stores to online retail continues to grow nationally with the share of people employed in retail declining faster in Wisconsin than in the nation as a whole.

On September 26, 2018, the Department of Labor awarded DWD-DET a $2,000,000 Trade and Economic Transition National Dislocated Worker Grant ("Retail DWG") to serve dislocated workers from the retail sector in its entirety – stores and/or their corresponding corporate offices, call centers, and distribution centers. DWD-DET strongly encourages the local Workforce Development Boards participating in this project (i.e., "project operators") to prioritize serving eligible dislocated workers whose work histories primarily consist of lower-paid positions, and who would benefit from training to qualify for higher skill level positions offering higher pay. This emphasis is consistent with the service strategy DWD-DET articulated in its grant application. The project will also allow for significantly higher per-participant funding limits for training and supportive services. DWD-DET anticipates that this more holistic approach will address the needs of dislocated workers from the retail sector and will encourage greater program participation.

II. Grant Policies

Allowable Project Activities

Funds under the Retail DWG may be used towards career, training, and supportive services for project-eligible Dislocated Worker Program participants.

Project Eligibility

Dislocated Worker Eligibility:

Individuals can be served under the project if they meet the WIOA Title I-B Dislocated Worker Program eligibility criteria and have been or will be dislocated from a qualifying employer.

Qualifying Dislocation Event:

A Dislocated Worker Program participant can be served under this grant if they have been or will be dislocated from employers that are retail stores or their corresponding corporate offices, call centers, and distribution centers. A project operator may request funds to serve eligible participants under the project, regardless of whether the qualifying dislocation event was or is located within its local workforce development area.

To determine if a participant is from a qualifying dislocation event, the project operator must look up the employer's NAICS code. NAICS codes starting with 44 or 45 are retail stores. Corporate offices, call centers, and distribution centers likely do not start with 44 or 45, but can still qualify if they are directly associated with a retail store. If a project operator believes that a Dislocated Worker Program participant fits the project eligibility criteria but the employer's NAICS code does not correspond to the retail sector, the project operator must consult with DWD-DET for a case-by-case determination.

Leased and Contracted Workers:

Leased and contracted workers who have or will experience permanent job loss because of a qualifying dislocation event from an employer that is different than their employer of record can be covered by the grant.

Qualifying Lookback Period:

Project eligible participants may be served under the grant, regardless of when their qualifying dislocation event occurred. However, project operators can only fund services from the start date of their subaward through September 30, 2020, the end of the grant period.

Documenting Eligibility in ASSET:

Under Manage Programs: Eligible project participants' ASSET records must include both the actual name of the employer of dislocation in the Qualifying Employer (Name) field and the Dislocation Event ID (i.e., the RRETS ID) on the Manage Programs screen, Dislocated Worker tab. If the event for the participant's layoff does not yet exist in RRETS, staff with RRETS Editor rights must create the event.

Under Manage Services: Eligible project participant's ASSET record must indicate that the funding source is a "DWG Funded Grant." This is an option from the Funding Source dropdown list on the Service Details Screen. Career planners must select "Retail DWG – WI 46" from the dropdown list of Qualifying Employers for all services funded under the Retail DWG, instead of the actual name of the employer of dislocation.

Services

The primary purpose of this project is to more robustly fund Dislocated Worker Program services for eligible participants from the retail sector who have work histories of low-skill, low-pay jobs. The goal is to promote program engagement, especially training, for this segment which is generally less inclined to participate because of financial barriers. To better address these barriers, DWD-DET is establishing training and supportive service funding caps for this project that are significantly higher compared to the local formula caps. The funding caps for this project supersede any local policies that address funding limitations for Dislocated Worker Program participants.

Note: Training and supportive services funded by the Retail DWG **do not count** towards any local limitations (e.g., funding amount or time) as outlined in local WDB policy. For example, local caps on the number of semesters allowed for training, or caps on lifetime funding do not apply to Retail DWG funds. Participants in this project remain eligible for the full amount of training and supportive services afforded under local WDB policy.

Local WDBs are strongly encouraged to prioritize serving eligible dislocated workers whose work histories primarily consist of lower-paid positions, and who would benefit from training to qualify for higher skill level positions offering higher pay.

Expenditure Requirements:

At least 75% of the subaward's total program funds expended must be spent on training and/or supportive services. The remaining amount can be spent on career services.

Training Services:

Program participants must be eligible to receive training services as outlined in WIOA and its Final Rule.[1] There is a $15,000 training services cap per participant under this project. This limit supersedes any caps on training as outlined in local WDB policy.

Training funded under this project must be used to help participants transition into existing and emerging in-demand industry sectors and occupations, as identified in Wisconsin's State Plan or the project operator's WIOA Local Plan (see Appendix E). Career planners should have access to Appendix E, to help project participants select appropriate trainings. Career planners must document the selected in-demand industry sector or occupation in the participant's ASSET case file. To do this, career planners must enter the following in the service details screen of the applicable training service: (1) the selected industry sector or occupation into the comments field and (2) the NAICS code of the industry and/or the O*Net code of the occupation the participant is training for.

Supportive Services:

There is a $15,000 supportive services cap per participant under this project. This limit supersedes any caps on supportive services as outlined in local WDB policy. There is no restriction on the types of supportive services that may be offered as part of this project. Local WDBs are to use their developed procedures to implement supportive services for this project, unless they wish to amend them specifically for the Retail DWG. If a local WDB does not have procedures in place for specific supportive services that are part of its project plan as outlined in its application (e.g., housing assistance payments), it must create those procedures. A local WDB may designate new or amended procedures as pertaining only to the Retail DWG, if it will not offer the supportive services to participants outside of this project. DWD-DET's Supportive Services Policy also applies to services provided under the Retail DWG.

[1] 20 CFR § 680.210

Amended and new procedures must be submitted to DWD-DET within 60 days of the subaward award. DWD-DET will review them within 5 business days and respond to the WDB with any changes it may require or suggest.

If a participant needs a supportive service outside of those listed in a local WDB's project plan, DWD-DET encourages the WDB to provide that service. In this case, the local WDB must develop and submit a copy of the procedure it will follow to DWD-DET before providing the service. DWD-DET will review the new procedure for WIOA compliance and will let the local WDB know if it can move forward with providing the service within five business days of receiving the procedure. The time needed for local boards to approve new procedures could prevent this type of flexibility. One option might be for local boards to give blanket authorization to local WDB staff to provide unplanned supportive services and create corresponding procedures to be used only for this project. DWD-DET can provide technical assistance and, potentially, examples of procedures used by other WDBs.

Career Services:

All WIOA Dislocated Worker Program career services are allowable under the grant.

Co-Enrollment

Current Participants:

Project eligible participants who are being funded by local formula or Additional Assistance grants may be co-enrolled (i.e., co-funded) in the Retail DWG. DWD-DET can assist local WDBs with identifying active participants who may be served under this project. To request assistance, email DETWIOAAnalysts@dwd.wisconsin.gov.

Career services may be transitioned to Retail DWG funding retroactively to the start date of the project operator's subaward. Training and similar ongoing services can be transitioned to the subaward at the first "logical break." For example, training begun before the beginning of the subaward period could be funded by the subaward at the beginning of the next semester or quarter.

New Participants:

Other Title I-B Programs: Retail DWG participants may be co-enrolled in other Title I-B programs as needed. Eligible program services for these participants should be funded by the Retail DWG whenever possible.

Trade Adjustment Assistance Program: If a retail dislocation is certified by TAA, eligible TAA participants may be co-enrolled in the Retail DWG. Training for these participants must be funded by TAA, and subaward funds may be used for wrap-around supportive and career services as needed.

Co-enrollment and Performance:

Performance outcomes for participants whose participation-causing services are funded solely through the Retail DWG will only count towards Wisconsin's DWG performance. Performance outcomes for

participants who receive participation-causing services funded by both formula and the Retail DWG will count towards both local area Dislocated Worker program and Wisconsin's DWG performance.

III. Subaward

Local WDB Subaward Application

To apply, local WDBs must use the official application template, found in the DWD forms repository. An unofficial example is found in Appendix A. A local WDB's application must include a project plan outlining how the local WDB plans to recruit, enroll, and serve project-eligible dislocated workers.

Funding is available on a first-come, first-served basis. DWD-DET will accept subaward applications on an ongoing basis. To promote the submission of high quality applications that include reasonable funding requests, DWD-DET will not review any applications before December 1, 2018. Local WDBs must submit completed applications and any subsequent modification requests to DETWIOAAnalysts@dwd.wisconsin.gov.

DWD-DET will use the following criteria to evaluate applications:

- the application demonstrates existing local need based on eligible dislocation events;
- the local WDB has current dislocated worker participants who fit the eligibility criteria for the Retail DWG and/or has outlined a plan for outreach and recruitment of new participants;
- the overall project plan and service strategy align with the goals of the Retail DWG; and
- the budget is reasonable and aligns with the project plan.

Subaward Period and Amounts

Subaward Period:

The start date for the subaward will be the first day of the quarter in which the application is submitted. The submission date is the date the subaward application is emailed to DWD-DET. The end date of all subawards will be September 30, 2020.

Subaward Amount:

Initial Request: The following are the **maximum** program amounts a local WDB may request as part of an initial application:

- $150,000 if, as of the date of the issuance of this Project Implementation Plan, the local WDB had one or more Additional Assistance grants serving eligible participants under this project;
- $100,000 if the local WDB participated on the Retail DWG application planning call with DWD-DET on 8/24/2018; OR
- $60,000 for all other local WDBs.

Subsequent Requests: Each local WDB is allowed one subaward that will fund services for eligible participants throughout the grant period. A subaward can serve all project-eligible dislocated workers as funding allows; there is no need for modifications for new dislocation events from qualifying employers.

Local WDBs may request additional funding in increments of up to $100,000, excluding administrative costs, per request. To request additional funding under the subaward, the local WDB must have expended and/or obligated at least 75% of previously-awarded funds. To request additional funding, the local WDB must complete and submit the official subaward modification template, found in the DWD forms repository. An unofficial example is found in Appendix B. Local WDBs must submit completed applications and any subsequent modification requests to DETWIOAAnalysts@dwd.wisconsin.gov.

Reasonableness Standard:

To promote the effective use of funding, local WDBs are strongly encouraged to submit requests for amounts that reasonably reflect anticipated costs. **DWD-DET will examine all application requests for reasonableness and reserves the right to award less than the amount requested.**

Deobligation and Reallocation of Funds:

DWD-DET reserves the right to deobligate and reallocate funds as it deems appropriate, based on the local WDB's reported expenditures and obligations. In the event that funds will be deobligated, DWD-DET will provide advanced notice to the project operator.

Administrative Funds

Breakdown:

Up to 10 percent of the total grant award may be used for administrative costs associated with operating Trade and Economic Transition National Dislocated Worker Grants.[2] Under Wisconsin's Retail DWG, $200,000 (10% of $2 million) may be used for administrative costs. This is broken into: $62,450 (3.1%) for DWD-DET and $137,550 (6.9%) for project operators.

For local WDB subawards, the amount of administrative funds awarded is based on the percent of the total program funds awarded. For example, if a local WDB is awarded $100,000 in program funds (which represents 5.55% of the total program budget of $1,800,000), the local WDB will receive 5.55% of the total administrative funds, or $7,641 of $137,550.

The amount of allowable administrative funds is determined by actual program expenditures at the end of the grant. Therefore, local WDBs may only spend administrative funds proportional to the amount of program funds spent. For example, if a local WDB is awarded $100,000 in program funds and $7,641 in administrative funds, but only spends $50,000 in program funds, they may spend no more than $3,820.50 of the awarded administrative funds.

[2] TEGL 2-18, Sec. 7

Allowable Costs:

Project operators may use administrative funds to cover the following functions and activities:

1. accounting, budgeting, financial and cash management functions;
2. procurement and purchasing functions;
3. property management functions;
4. personnel management functions;
5. payroll functions;
6. coordinating the resolution of findings arising from audits, reviews, investigations and incident reports;
7. audit functions;
8. general legal services functions;
9. developing systems and procedures, including information systems, required for carrying out administrative functions;
10. fiscal agent responsibilities;
11. performing oversight and monitoring responsibilities related to WIOA administrative functions;
12. costs of goods and services required for administrative functions of the program, including rental or purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space;
13. travel costs incurred for official business in carrying out administrative activities or the overall management of the WIOA system; and
14. costs of information systems related to administrative functions (for example, personnel, procurement, purchasing, property management, accounting and payroll systems) including the purchase, systems development and operating costs of such systems.[3]

Awards to subrecipients or contractors that are solely for the performance of administrative functions are classified as administrative costs; otherwise, all costs incurred for the functions and activities of subrecipients and contractors are program costs. **Personnel and related non-personnel costs of staff who perform both administrative functions and programmatic services or activities must be allocated appropriately as program or administrative** based on documented distributions of actual time worked or other equitable cost allocation methods. Specific costs charged to an overhead or indirect cost pool that can be identified directly as program costs are to be charged as program costs. Documentation of such charges must be maintained.

DWGs are subject to the Uniform Guidance: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR Part 200 and OMB's approved exceptions for the Department at 2 CFR Part 2900.

V. Training and Communication

[3] 20 CFR § 683.215

Initial Retail DWG Project Implementation Plan Conference Call (Optional):

All local WDBs that wish to apply for a subaward are strongly encouraged to take part in an initial conference call at an agreed upon time. During this call, DWD-DET will go over this Project Implementation Plan in detail and provide technical assistance as needed. Questions may be submitted to DETWIOAAnalysts@dwd.wisconsin.gov before the initial call.

Individual Technical Assistance Conference Calls (Optional):

A local WDB may request a technical assistance conference call with DWD-DET to discuss plans to apply and/or questions or issues with implementing a subaward. Requests for individual calls should be submitted to DETWIOAAnalysts@dwd.wisconsin.gov.

Monthly Technical Assistance Conference Calls (Mandatory):

DWD-DET will host a monthly Retail DWG conference call. Project operators are required to have at least one appropriate staff member participate. DWD-DET encourages service provider staff, including career planners assigned to this project, to also participate. During these calls, DWD-DET will answer questions, discuss progress, and facilitate discussion on challenges and successful practices. The Monthly Technical Assistance Conference Calls will be held the second Tuesday of each month at 10:00am.

Email inquiries (Optional):

Any project-related questions can be directed to DETWIOAAnalysts@dwd.wisconsin.gov at any time.

VI. Participant Outreach

Subaward applications must include the local WDB's plans for outreach to potentially eligible individuals. DWD-DET encourages local WDBs to prioritize serving eligible dislocated workers whose work histories primarily consist of lower-paid positions, and who would benefit from training to qualify for higher skill level positions offering higher pay. Depending on its strategy, the local WDB may need to conduct proactive outreach to inform potentially eligible individuals of the services and opportunities available to them through the Retail DWG.

Proactive outreach efforts may include:

- using worker lists (from qualifying employers, UI scans, or dislocated worker survey results) to reach out to potentially eligible individuals by email, mail, or phone;

- issuing press releases that complies with the federal award rules[4], to seek media coverage for the Retail DWG;
- posting information about the Retail DWG within Job Centers and libraries and on social media; and
- reaching out to partners that may be serving potentially eligible individuals.

DWD-DET may assist with outreach efforts in a variety of ways. DWD-DET can request UI scans of recent claimants to identify potentially eligible individuals. This information can either be passed onto local project operators for outreach or used by DWD-DET to conduct the outreach directly. DWD-DET will also work with the project operators to identify the need for standardized outreach materials and lead efforts to prepare those materials (e.g., informational flyers, explainer videos, customizable outreach communication templates for project operators' use).

VII. Monitoring

General Requirements

DWD-DET and project operators must provide regular oversight and monitoring of the subaward to ensure:

1) compliance with WIOA and its regulations, including the nondiscrimination, disability and equal opportunity requirements;
2) compliance with the terms and conditions of the subaward;
3) expenditures are appropriate and accurately reported; and
4) performance goals are on track to be achieved.[5]

DWD-DET Requirements:

DWD-DET will perform monthly desk monitoring of project enrollments and expenditures to evaluate if project operators are on track to meet goals. DWD-DET will also monitor to ensure that participants served under the project are eligible. Monitoring will use information from ASSET, the state's participant reporting system, and COMET, the state's financial reporting system for subaward recipients. DWD-DET will take appropriate action to address any concerns (e.g., technical assistance, training, deobligation of funds, termination of subaward). Additionally, DWD-DET will perform on-site compliance reviews of case files and fiscal files as part of its routine annual monitoring. After the review, DWD-DET will issue a written evaluation of the findings and description of any required corrective action; this will be included

[4] WIOA requires that any materials developed with these grant funds and disseminated to the public must acknowledge the federal funding source (TEGL 36-11 p. 4). Project operators must also use the "American Job Center" identifier or "a proud partner of the American Job Center network" logos on any printed, purchased, or electronic materials (20 CFR § 678.900(b) and (c)). Branding logos are included in Appendix F.

[5] 20 CFR § 683.410(a)

in the local WDB's annual monitoring report. DWD-DET may determine that additional monitoring is required. DWD-DET reserves the right to perform monitoring activities at any time.

Project Operator Requirements:

Project operators must review project enrollments and expenditures on a monthly basis to ensure that the project is on track to meet goals. Additionally, project operators are responsible for monitoring their service providers at least once per program year, for the duration of the subaward. Monitoring must include a review of case files and fiscal files for compliance with the terms of the subaward and with federal, state, and local requirements.

Information Requests:

DWD-DET reserves the right to request any information from a local WDB at any time related to the subaward, including information on expenditures and obligations.

VIII. Reporting

DWD-DET Federal Reporting

Quarterly Financial Reports:

DWD will report project expenditures to DOL quarterly using the ETA 9130 form. Reports are due no later than 45 days after the end of each reporting quarter. DWD will submit (1) a final financial report no later than 90 calendar days after the end of the grant period and (2) a closeout report during the closeout process.

Quarterly Performance Reports:

DWD-DET will submit quarterly performance reports through DOL's WIPS, using the Full PIRL schema, no later than 45 days after the end of each calendar year quarter.

Quarterly Narrative Report:

DWD-DET will submit a quarterly narrative report through DOL's WIPS, using the ETA-9179 template, no later than 45 days after the end of each calendar year quarter. DWD-DET will complete the report using information gathered from the project operators, as well as information from ASSET and COMET.

Local WDB Responsibilities

Quarterly Reports:

Project operators must submit a progress report at the end of each quarter using the progress report template (see Appendix C). The quarterly progress report is due 30 days from the last day of the quarter.

Submit progress reports to DETWIOAAnalysts@dwd.wisconsin.gov. Failure to submit quarterly reports in a timely manner may result in loss of funds. Do not wait for quarterly reporting time to inform DWD-DET of any problems, delays, or adverse conditions that impair implementation of your subaward.

Financial Status Reports:

Project operators must submit a Financial Status Report (FSR) on a monthly basis using DWD's COMET System. The FSR includes a report of total expenditures by type, which includes Career Services, Supportive Services, Training Services, and Administrative Costs. The monthly FSR is due 30 days from the close of the month.

APPENDIX A
Trade and Economic Transition National Dislocated Worker Grant (Retail DWG)
Subaward Application Template Form

Funding is available on a first-come, first-served basis. DWD-DET will accept subaward applications on a rolling basis. To promote the submission of high quality applications that include reasonable funding requests, DWD-DET will not review any completed applications before December 1, 2018. Local WDBs must submit completed applications to DETWIOAAnalysts@dwd.wisconsin.gov.

The start date for the subaward will be the first day of the quarter in which the application is submitted. The end date of all subawards will be September 30, 2020.

The following are the **maximum** program amounts a local WDB may request as part of an initial application:

- $150,000 if, as of the date of the issuance of the Project Implementation Plan, the local WDB had one or more Additional Assistance grants serving eligible participants under this project;
- $100,000 if the local WDB participated on the Retail DWG application planning call with DWD-DET on 8/24/2018; OR
- $60,000 for all other local WDBs.

DWD-DET will automatically add the appropriate amount of administrative funds based on the program amount requested.

To promote effective use of funding across all workforce development areas, local WDBs are strongly encouraged to submit requests for amounts that reasonably reflect anticipated costs. **DWD-DET will examine all application requests for reasonableness and reserves the right to award less than the amount requested.**

Application Information

Project Operator: enter program operator name here

Address: enter address here

Contact: enter point of contact here
Title: enter point of contact title here
Phone: enter point of contact phone here
Email: enter point of contact email here

Application Questions

Overview

1a. Describe eligible events from qualifying employers in your local workforce area. Include RRETS event IDs.

1b. Briefly describe how your project plan and service strategy align with the overall goals of the Retail DWG.

1c. How do you plan on prioritizing serving eligible dislocated workers whose work histories primarily consist of lower-paid positions, and who would benefit from training to qualify for higher skill level positions offering higher pay?

Current Eligible Participants

2a. How many dislocated worker participants are you currently serving (i.e. currently have open services in ASSET) that fit the eligibility criteria for the Retail DWG?

2b. Will you transfer any of the current participants described above onto the subaward, and if so, how many?

2c. How many of them are currently in training and will be transferred onto the subaward? Please provide ASSET PINs for those participants.

Outreach to Potential Participants

3a. Will you conduct outreach to potential participants and if so, what kind of outreach are you planning?

3b. Please describe any assistance that would be helpful for DWD-DET to provide related to outreach to potential participants.

Service Strategy

4a. Please describe your overall training strategy including how you will encourage participants to enroll in training, when appropriate.

4b. Please indicate which types of project-funded supportive services you plan to provide and whether your local WDB has procedures in place for them:

SUPPORTIVE SERVICE	**We plan to provide this supportive service and have a procedure in place**	**We plan to provide this supportive service but do not yet have a**	**We do not plan to provide this supportive service.**

	for providing this service.	procedure in place for providing this service.	
Transportation assistance			
Child care and dependent care assistance			
Housing assistance			
Needs-related payments			
Assistance with educational testing			
Reasonable accommodations for individuals with disabilities			
Services provided by legal aid organizations			
Uniforms, work attire, and work-related equipment/tools			
Books, fees, and school supplies			
Payments/fees for employment and training-related applications, tests, certifications and licenses			
Other (please indicate):			
Other (please indicate):			
Other (please indicate):			
Other (please indicate):			

4c. How many total participants do you estimate to enroll in the subaward?

Amount Requested

Career Services: $enter amount here

Training Services: $enter amount here

Supportive Services: $enter amount here

Total Program Amount Requested: $enter amount here

*Administration Costs Note: DWD-DET will add the appropriate amount for administration, based on the total program funds the local WDB receives.

APPENDIX B
Trade and Economic Transition National Dislocated Worker Grant (Retail DWG)
Subaward Modification Request Form

Local WDBs may request additional funding in increments of up to $100,000, excluding administrative costs, per request. To request additional funding under the subaward, the local WDB must have expended or obligated at least 75% of previously-awarded funds. Funding is available on a first-come, first-served basis. Local WDBs must submit completed subaward modification applications to DETWIOAAnalysts@dwd.wisconsin.gov.

To promote effective use of funding across all workforce development areas, local WDBs are strongly encouraged to submit requests for amounts that reasonably reflect anticipated costs. **DWD-DET will examine all application requests for reasonableness and reserves the right to award less than the amount requested.**

Application Information

Project Operator: enter program operator name here

Address: enter address here

Contact: enter point of contact here
Title: enter point of contact title here
Phone: enter point of contact phone here
Email: enter point of contact email here

Subaward ID: enter grant ID number here

Application Questions

1. Explain why you are requesting additional funding. If you plan to increase enrollment in the subaward, how many additional participants do you estimate you will enroll? enter text here

2. Have you expended or obligated at least 75% of your total awarded project funds? If this is not reflected in COMET, provide up-to-date expenditures. enter response here

Amount Requested

Service Type	Current Award	Additional Request	TOTAL

Career Services	$enter original grant amount here	$enter additional amount requested here	**$**enter new total here
Training Services	$enter original grant amount here	$enter additional amount requested here	**$**enter new total here
Supportive Services	$enter original grant amount here	$enter additional amount requested here	**$**enter new total here
TOTAL	**$**enter original grant total here	**$**enter additional amount requested total here	**$**enter new grand total here

Administration Costs Note: DWD-DET will add the appropriate amount for administration, based on the total program funds the local WDB receives.

APPENDIX C
Trade and Economic Transition National Dislocated Worker Grant (Retail DWG)
Subaward Quarterly Progress Report

DWD-DET will use the information from this quarterly report to monitor the progress of the subaward, help the local WDB identify implementation challenges, and identify any best practices to be shared with others. DWD-DET will also use the information to complete the ETA-9179 quarterly narrative report due to DOL.

Reports are due no later than 30 days after the last day of the calendar quarter. Submit progress reports to DETWIOAAnalysts@dwd.wisconsin.gov.

Section I: Project Operator Information

A. Project Operator:

B. Subward ID:

C. Quarter Reporting (quarter end date):

Section II: Progress of Subaward

A. Provide an update of your project's progress for the quarter as it aligns with the goals and objectives outlined in the submitted project plan. Include a description of key accomplishments and outcomes achieved.

B. Provide a detailed updates of outreach activities conducted this quarter. Provide a copy of any outreach documents (i.e., flyers, mailers) developed this quarter.

C. Provide detailed updates on training services provided this quarter including information on the types of training services offered this quarter.

D. Provide detailed updates on supportive services provided this quarter, any new or innovative delivery strategies, and how the services contributed to a participant's ability to fully participate in subaward-funded activities.

E. Provide a detailed update of any performance improvement efforts conducted this quarter including monitoring, training and technical assistance efforts directed to service providers.

F. Describe next steps or key areas of emphasis planned for the subaward in the next quarter.

G. If you have no updates for this section for this quarter, explain why.

Section III: Development and Implementation of Effective Practices and Program Model Strategies

A. Describe how the Retail DWG program model (i.e. increased funding caps for training and supportive services, and proactive outreach efforts conducted) has helped to more effectively serve dislocated workers from the retail sector, specifically workers with histories of low-paying, low-skill jobs.

B. Describe any lessons learned this quarter and how you will integrate those lessons into ongoing subaward activities.

C. If you have no updates for this section for this quarter, please explain why.

Section IV: Status Update on Employer Engagement Strategies

A. Describe efforts taken this quarter to engage employers in this project. Examples could include:
   - seeking input from local employers to identify their employee pipeline needs.
   - securing employer commitment to interview, assess, train, and/or hire participants from this project.
   - developing new employer partnerships.
   - recruiting employers to serve as mentors to project participants.
   - identifying new work-based training opportunities.

B. Describe any positive employment outcomes for project participants.

C. If you have no updates for this section for this quarter, explain why.

Section V: Key Issues and Technical Assistance Needs

A. Summarize significant issues, or challenges (such as under-enrollment or drop outs) encountered during the quarter and any resolution of issues and challenges identified in previous quarters. Describe actions taken or plans to address the identified issues.

B. Describe any questions you have for DWD-DET and/or any technical assistance needs you have.

Section VI: Significant Activities, Accomplishments, and Success Stories

A. Describe in detail any promising practices, innovative processes, and/or strategic partnerships your project developed or engaged in during this quarter.

B. If appropriate, please highlight one or two subaward- or participant-level success stories from this quarter, with the participant's expressed permission (if providing a participant success story). In documenting the success story, please describe:
   a. background, problem, issue, or concern prior to the project involvement;
   b. response or intervention provided by the project;

c. results and outcomes, including who benefited and what changed or improved; and
d. evidence of the success, including how the data was obtained and the methods used to measure success.

Section VII: Evidence and Evaluation

A. If applicable, describe how you are using or planning to use data, evidence, and evaluation findings to make improvements to the project. Include a discussion on accomplishments, strategies being implemented, and any barriers to success.

B. If applicable, please include information on any studies or evaluations you are conducting related to your project, including any internal evaluations. Describe the study, data source(s), and whether a third party is managing this project.

C. As part of the evaluation described above (if applicable), or as a separate project, are you using, or do you plan to use administrative data to better understand the Retail DWG, your subaward, or the population you are serving? If so, what data sources are you using, or would you like to use? What research or management questions can these data help you answer?

D. If you have no updates for this section for this quarter, explain why.

Section VIII: Additional Information

A. Describe any leveraged resources provided to your project this quarter, if applicable. If leveraged resources were provided this quarter, please include the organization(s) that contributed the resources, ways in which the resources were used during the current quarter, cumulative amount of leveraged resources, and type of leveraged resources (cash or in-kind).

B. Provide other important subaward-specific information not yet captured in other sections of this report, including any products, outside of outreach materials, developed as part of this project.

Section IX: Project Data Report

A. List any new eligible dislocation events from qualifying employers in your workforce area during this quarter. Include RRETS event IDs.

B. Fill in the Data Report Table for the end of each reporting quarter:

Participants	**Cumulative Number**
Total	
Number Receiving Career Services	
Number Receiving Supportive Services	
Number Receiving Training Services	
Exits	
Expenditures	**Cumulative Amount**
Career Services Amount	

Supportive Services Amount	
Training Services Amount	
Administrative Costs	
Total Expenditures	

APPENDIX D
SUBAWARD AGREEMENT BETWEEN
WISCONSIN DEPARTMENT OF WORKFORCE DEVELOPMENT
DIVISION OF EMPLOYMENT AND TRAINING (DWD-DET)
And
Click to enter subgrantee name
for the Project:
Trade and Economic Transition National Dislocated Worker Grant (Retail DWG)

Project Operator: Click to enter project operator		Supplier ID: Click to enter Supplier ID.
Fiscal Agent: Click to enter Fiscal Agent.		Subaward Period: Click to enter subgrant period.
DUNS No.: Click to enter DUNS No.	Log No.: Click to enter Log No.	CFDA No.: 17.278
Subaward No.: Click to enter subgrant No.		Federal Award No.: Click to enter Federal Award No. Federal Award Date: Click to enter Fed Award Date.
COMET Expenditure Activity		Subaward Amount
Program Total		$Click to enter amount.
Administration Total		$Click to enter amount.
SUBAWARD TOTAL		**$**Click to enter amount.

PURPOSE: The purpose of the Trade and Economic Transition National Dislocated Worker Grant (Retail DWG) is to provide local Workforce Development Boards (WDBs) funding for affected Dislocated Workers from the retail sector. Affected workers include those who worked at retail stores, retail store corporate offices, retail store call centers, and retail store distribution centers. These funds must be used in the provision of the Workforce Innovation and Opportunity Act (WIOA) Dislocated Worker Program services to qualifying program participants.

APPLICABLE AUTHORITY:

- The Workforce Innovation and Opportunity Act and its corresponding regulations, including 29 CFR Part 38 which covers the nondiscrimination and equal opportunity provisions;
- 2 CFR Part 200 Uniform Administrative Requirements, Cost Principals, and Audit Requirements for Federal Awards;
- 2 CFR Part 2900 which covers exceptions to 2 CFR Part 200;
- Federal advisories in the form of Training and Employment Guidance Letters (TEGLs) and Training and Employment Notices (TENs) applicable to WIOA Dislocated Worker Program;
- DWD-DET issued policies and procedures applicable to WIOA Dislocated Worker Program and the Retail DWG Project Implementation Plan;
- The most recent Wisconsin WIOA State Plan and the WDB's local plan; and
- The terms outlined in the Notice of Award for federal grant DW-32562-18-60-A-55 (attached separately).

DWD-DET OBLIGATIONS: DWD-DET agrees to pay the project operator allowable costs incurred in the performance of the Retail DWG subaward activities up to the awarded amount and not exceeding

the awarded amount. All payments are contingent on the availability of federal funds. The amount of administrative funds available is based on the amount of program funds awarded; however, the amount of allowable administrative funds is determined by actual program expenditures at the end of the grant. Therefore, if the project operator fails to fully expend its program funds by the end of the grant, its administrative funds will be proportionally decreased.

INFORMATION REQUESTS: The project operator agrees to provide DWD-DET any and all information requests as it relates to this subaward.

INCORPORATION OF APPLICATION MATERIALS: The project operator agrees to implement and carry out this subaward in accordance with its submitted grant application and any approved revisions thereof.

DEOBLIGATION AND REALLOCATION OF FUNDS: DWD-DET maintains the ability to deobligate and reallocate funds if deemed appropriate by DWD-DET, based on the WDBs' reported expenditures and obligations.

FAILURE TO COMPLY: DWD-DET reserves the right to audit the subaward at any time. Noncompliance may result in the termination of this subaward and/or disallowed costs.

Approved for the Project Operator by:

_____
Project Operator Authorized Representative

_____
Print Name

_____
Title

_____
Date

Approved for the DWD by:

_____
Chytania Brown, Administrator
Division of Employment and Training
Department of Workforce Development

_____
Date

Log No. Click here to enter Log No.

APPENDIX E

Figure 1 – Industry Sectors

Existing and emerging in-demand INDUSTRY SECTORS from State Plan and local Workforce Development Area (WDA) Plans (2016)	
State: Management of Companies and Enterprises; Self-Employed Workers (all jobs); Wholesale Trade; Arts, Entertainment and Recreation; Professional, Scientific and Technical Services; Professional and Business Services; Health Care and Social Assistance; Leisure and Hospitality; Accommodation and Food Services; Construction; Education and Health Science; Natural Resources and Mining; Transportation and Warehousing; Real Estate and Rental and Leasing; Other Services (except Government); Trade, Transportation and Utilities; Administrative Support and Waste Management and Remedial Services; Educational Services; Government; and Manufacturing	
WDA 1	Health and social assistance*
WDA 2	Transportation and warehouse*
WDA 3	*Same as State.*
WDA 4	Heavy equipment and truck drivers
WDA 5	Information technology (IT); customer service; and insurance*
WDA 6	Professional scientific and technical services; administrative support; waste management; remediation services; & management of companies
WDA 7	Healthcare technical occupations and practitioners; & personal care and social assistance*
WDA 8	Trade, transportation and utilities*
WDA 9	*Same as State*
WDA 10	*Same as State*
WDA 11	Trade transportation and utilities & information*

*Local Plan existing and emerging in-demand sectors also found in the State Plan were removed from this table for clarity.

Figure 2 - Occupations

Existing and emerging in-demand OCCUPATIONS from Wisconsin State and local Workforce Development Area (WDA) Plans (2016)	
State: Management; business and financial operations; financial specialist; computer and mathematical; architectural and engineering, life; physical and social science; community and social service; legal; education, training and library; arts, design, entertainment, sports and media; healthcare practitioners and technical; healthcare support protective service; building, grounds cleaning and maintenance; personal care and service; office and administrative support; farming, fishing and forestry; construction and extraction; installation, maintenance and repair; production; and transportation and material moving	
WDA 1	Heavy truck and tractor-trailer drivers; manufacturing technical products; registered nurse; industrial mechanics; CNC operation; & machinists; and accountants*
WDA 2	Registered nurses, accountants and auditors; general and operations managers; first-line supervisors (office and administrative); post-secondary teachers; lawyers; & market research analysts and marketing
WDA 3	Food preparation and serving, registered nurses*
WDA 4	Registered nurses; carpenters; first-line supervisors (office and administrative); CNC operators; accountants and auditors; industrial machinery mechanics; & insurance agents, and machinists*
WDA 5	Marine manufacturing; insurance; marine HVAC; welding; physical therapy; pharmacy technician; & nurse practitioners*
WDA 6	*Only industries listed, no occupations*
WDA 7	Management; teaching; registered nurses; medical assistant; protective services; carpentry; operating engineers; machinists; packaging; & water-vessel captains*
WDA 8	Medical secretaries; medical assistants; registered nurses; carpenters; & accountants*
WDA 9	Registered nurses; general and operations managers; first-line supervisors (office and administrative); carpenters; accountants and auditors; & administrative secretaries*
WDA 10	*See Attachment HH in Local Plan link below.*
WDA 11	Registered nurses; administrative support; carpenters; police and Sheriff's patrol; & metal and plastic*

*Local Plan existing and emerging in-demand sectors also found in the State Plan were removed from this table for clarity.

APPENDIX F

American Job Center Branding

The following logos are approved by DWD Communications for use for publication in accordance with 20 CFR § 679.900(b) and (c) and TEGL 36-11 pg. 4. Electronic copies may be requested from DETWIOAAnalysts@dwd.wisconsin.gov.



