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WORKFORCE DEVELOPMENT PROGRAMS
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Subject#:	Expenditure Authorization (EA) Procedures
Source:	Workforce Development Programs (WDP)
Replace:	Revises Letter #08-12-P, #10-07-P
Contact:	Workforce Development Programs Contract Coordinator
Distribution:	Workforce Region Directors, Workforce Region Financial Staff, Workforce Development Programs Staff, CDLE Financial Reporting and Analysis Staff
Colorado One-Stop System Program Guidance Letter (PGL) #: 11-03-P	
Date: March 1, 2011	

I. **REFERENCE(S):** Workforce Investment Act of 1998 (WIA), 20 CFR Part 652 et al effective August 7, 1998.; Wagner-Peyser Act of 1933, as amended by Public Law 105-220; Local Veteran's Representative and Disabled Veterans' Outreach Programs, Title 38 United States Code, Chapter 41; United States Department of Labor Employment and Training Administration - Trade Adjustment Assistance Reform Act of 2002, Public Law 107-210; the Veterans Employment and Training Service, and other Federal and State funding appropriations for workforce development programs, such as, National Emergency Grants, State Incentive Grants, the State's Displaced Homemaker Program.

II. **PURPOSE:** To provide revised procedures for using the Expenditure Authorization (EA) document to access funding allocated in the Notice of Fund Availability (NFA) letters provided under the current executed Workforce Development Programs Agreement. **This PGL replaces any prior PGLs on EAs.**

III. **BACKGROUND:** An EA is a legal agreement between the Workforce region and the State pursuant to the Workforce Development Programs Agreement (WDP Agreement) which has been fully executed for the current program year. The EA identifies the statement of work to be performed, the services to be delivered, an expenditure budget for program delivery, and other special conditions for the use of each funding source. An EA becomes part of the current WDP Agreement once it has been fully executed and is the mechanism by which funds are authorized for expenditure by the workforce regions. In addition, the EA serves as a primary source of data for program and fiscal monitoring purposes. This program guidance letter provides the procedures for using the EA for Workforce Development Programs under the Workforce Investment Act (WIA), the Wagner-Peyser Act, and under other Federal and State funded programs.

IV. **POLICY/ACTION:**

A. **Expenditure Authorizations (EAs)**

A fully completed EA shall be submitted for the disbursement of funds from each funding source identified on the Notice of Fund Availability (NFA) letter. An original EA is submitted as part of the

Local Plan in order to receive initial funding for the program year starting July 1. **All other signed EAs shall be submitted to CDLE within sixty (60) days of the date of the NFA letter.**

A fully completed EA includes an appropriate Budget Information Summary Table or a copy of the allocation table provided on the NFA letter, a narrative explanation of expenditures or appropriate budget information, Planned Participation Summary charts, and Projected Quarterly Expenditure charts, as appropriate. If there is a transfer between Adult and Dislocated Worker/25% Enhanced Dislocated Worker funds, the impact on program services as a result of such transfers shall be explained.

Signature requirements: Original EAs and Formal EA modifications shall be signed by the legal authorized signatory for the workforce region (i.e. the Chair of the Board of County Commissioners, the Chief Elected Official (CEO), the Mayor, or their designee), the Chair of the Local Workforce Investment Board (LWIB), the Workforce Center Director, the Colorado Department of Labor and Employment (CDLE) Executive Director, and the State Controller or designee. Workforce region may sign one signature page for an EA with multiple funding streams as long as the funding allocations were provided on NFAs that relate to one umbrella WDP Agreement document. Separate EAs would be required if the funding allocations were issued on NFAs under separate WDP Agreements.

For EAs that 1) increase or modify funding in an amount less than Two Hundred Fifty Thousand Dollars (\$250,000.00), 2) involve a transfer of funds between programs in an amount less than Two Hundred Fifty Thousand Dollars (\$250,000.00), or 3) increase the participant numbers in an amount more than 15% of the original local plan for that program year, only the Chair of the LWIB and the Workforce Center Director are required to sign the EA, subject to the legal signatory's authorization. The Colorado Department of Labor and Employment (CDLE) Executive Director and the State Controller, or designee, are required to sign the EA.

B. Review and Approval of EAs and EA Modifications.

To the extent possible, within **thirty (30)** working days of the date of the NFA letter, prior to routing an EA for final signatures, the Workforce region shall submit a draft EA electronically to CDLE for review and approval. To the extent possible, within ten (10) working days of receiving the electronic version of the EA, CDLE staff shall review and provide to the Workforce region comments for revisions or an approval of the EA for processing. To minimize time and ensure that the final version of the EA has been approved by all parties, the following review process shall be followed:

1. **Project Manager for Special Initiatives.** After receiving an NFA letter, the Workforce region shall prepare an EA to submit electronically to the State for review. The Project Manager shall be identified in the email that the Contract Coordinator sends out with the NFA letters. The draft EA shall be in one electronic document and shall include all pages completed including the signature page with the appropriate WDP Agreement number on it. The Workforce region shall email it to the Project Manager first for review of the programmatic statement of work, performance outcomes, and planned expenditures. After reviewing and providing comments on the EA and/or an approval, the Project Manager shall forward the draft EA to the Contract Coordinator with the comments/approval. If there is no Project Manager identified with the NFA letter, the Workforce region shall skip this step one and email the draft directly to the Contract Coordinator.

2. **Contract Coordinator.** The Contract Coordinator shall review the EA for accuracy of the allocation amount, budget information summary tables, budget categories, Vax numbers, signatures, period of performance, and the document in general to ensure that it meets the requirements of the WDP Agreement. After reviewing and noting any needed changes and/or approving the draft EA, the Contract Coordinator shall email the draft to the State Monitor for final review.

3. **State Monitor.** The State Monitor shall review the overall document with specific attention to the projected quarterly expenditure charts and program charts. Any remaining questions about the Statement of Work, Budgets, performance outcomes shall be addressed the State Monitor. After the Monitor has reviewed the EA, he/she will send it back to the Workforce region for final requested changes or to address any final concerns. Workforce region shall email the revised EA with all requested changes back to the Monitor. The State Monitor shall be the final reviewer and shall provide final approval to the Workforce region that the EA is ready to process for signatures and be submitted to the State. Upon approval, the State Monitor shall email the final document to the Project Manager, Contract Coordinator, and Workforce region.

After the Workforce region has received all the necessary signatures on the hard copies, the EAs shall be mailed to the Contract Coordinator for processing.

C. Modification of an Expenditure Authorization

1. **Formal modifications:** Modifications may be made to an Expenditure Authorization for the purposes of: receiving additional funding, implementing Federal grant rescissions, reducing allocations, processing reallocations, deobligating funds, extending the grant period of performance, transferring funds between programs, and executing program changes, such as, changes in the Statement of Work (e.g. modifications to the-Services, Program Activities, and/or Training to be provided and/or performance outcomes), reductions over 15% of the number of participants served, and changes to other planned activities and/or expenditures. Regions shall be required to submit a formal modification for the purpose of addressing a reduction in the number of participants of more than 15% of the original local plan goals. **If the EA modification includes more than a 15% reduction in participant numbers compared to the original numbers identified in the local plan, then the legal authorized signatory or their designee shall sign the EA.** The need for EA modifications will be identified during the State's program reviews or annual compliance monitoring sessions which occur within the period of performance of the original executed EA.

For a Formal Modification, a fully completed EA modification shall be submitted. A fully completed EA modification shall include: a revised Budget Information Summary Table (BIST) showing the transfer/change in funding and/or budgets; a narrative explaining the budget change(s); applicable revised Planned Participation Summary charts; revised Projected Quarterly Expenditure charts; and a modified Program Expenditure Chart for discretionary grants, if applicable. If the EA modification includes a reduction of more than 15% of the number of participants to be served compared to the original local plan, then the local authorized signatory shall sign the document. Otherwise, if the modification does not exceed an increase or a transfer of more than \$250,000.00, only the Chair of the LWIB and the Workforce Center Director are required to sign the EA. If the EA modification includes a transfer between funds, e.g. Adult to Dislocated Worker programs, and the amount of the transfer is over \$250,000.00 then the legal authorized signatory or their designee shall sign the EA modification document.

a. Budget transfers between programs which are allowable under the Workforce Investment Act (WIA), for example, from the Adult Program to the Dislocated Worker or 25% Enhanced Dislocated Worker Programs, require a formal EA modification. Transfers may only be made between funds with the same funding year, i.e. PY to PY or FY to FY.

Associated 10% Local Administration funds shall be transferred appropriately. Beginning with the availability of Fiscal Year 2010 funds (10/1/09) and thereafter, up to 50% of the Adult or Dislocated Worker/25% Enhanced Dislocated Worker allocation amounts may be transferred.

b. The transfer of funds between the Administrative and Program budgets within the Adult, Youth, Dislocated Worker, and 25% Enhanced Dislocated Worker programs may be made via an informal EA modification, as long as the local Administrative budget does not exceed 10% of the total funding allocation and/or does not exceed the % of administration dollars allowed by a specific grant or determined in applicable PGLs, grant solicitations, or other State and Federal guidelines. (see informal modifications below).

c. For WIA 25% funds that are described as "Enhanced Dislocated Worker" or "Rapid Response", the budgets for these programs may be exchanged or transferred between each program. (Funds identified as WIA 25% Layoff Reserve may not be transferred).

1. If 25% Enhanced Dislocated Worker funds are transferred to the Rapid Response Program, the Administrative budget associated with those 25% Enhanced Dislocated Worker funds shall also be transferred to the Rapid Response Program. These administrative funds become Rapid Response Program dollars because there is no Administrative Cost category for Rapid Response.
2. If Rapid Response funds are transferred to the 25% Enhanced Dislocated Worker program, up to 10% can be budgeted for administrative costs. The administrative budget will need to be identified.

d. For EA modifications that only involve changes to the planned participant numbers or projected quarterly expenditures for allocated Adult, Youth, Dislocated Worker or 25% Enhanced Dislocated Worker programs, the following applies:

1. EA modification requests shall not be accepted later than April 1 of any given program year for which a modification is being requested except under unusual circumstances. Such requests shall be reviewed and approved on an individual basis by the State Monitor.
2. Participant and expenditure numbers may not be changed for any quarter that has already been completed or is within one month of being completed.

e. For discretionary grants (e.g. Wagner Peyser 10%, WIA 10% and 25%, set aside projects, and other State-funded or Federal-funded discretionary grants), no later than sixty (60) days prior to the end of the grant performance period, workforce regions shall submit to their State Monitor any EA modification request for review and approval.

Formal EA modification requests may include, but are not limited to, adjustments to budget line items, performance outcomes, statements of work, and/or extensions of the grant period of performance.

2. **Informal Modifications: Informal modifications shall be requested no later than sixty (60) days prior to the end of the grant or period of performance.** An EA may be modified informally if the change is within one funding source or program. Informal modifications require an email from the workforce region Director explaining and approving the request and shall include revised BISTs, as applicable. Requests for informal modifications shall be emailed simultaneously to the State Monitor and the Contract Coordinator for review and approval. If the informal modification is for a discretionary grant, the request shall also be emailed to the Project Manager. To the extent possible, the State Monitor shall send a response or final approval to the Workforce region within five (5) working days of receiving the request. Upon approval by the State Monitor, the modification shall be processed.

- a. For changes in the Planned Participation numbers of less than 15% as compared to the original local plan, a request for an informal modification may be submitted for the State Monitor's review and approval. This informal modification requires a narrative explaining the changes requested along with a revised Planned Participation Summary chart and a revised Projected Quarterly Expenditures chart, as applicable. Such informal modification requests may not be submitted later than April 1 of the program year for which a modification is being requested. Informal modifications for discretionary grants and set aside projects shall be submitted no later than sixty (60) days prior to the end of the grant period of performance. In addition, participant numbers may not be changed for any completed quarter or a quarter within one month of completion.
- b. Transfers between the Program and Administrative cost categories within the Adult, Youth, Dislocated Worker, or 25% Enhanced Dislocated Worker funding streams may be accomplished through an informal modification as long as the Administrative budget does not exceed 10% of the total allocation and/or does not exceed the % of administration dollars allowed by a specific grant or determined in applicable PGLs, grant solicitations, or other State and Federal guidelines. Because both Administrative and Program budgets are tracked on the same Vax Account, regions can choose to transfer funds using the informal modification process.

D. Method of Payment:

Workforce regions are required to set up an Electronic Fund Transfer (EFT) authorization in order for disbursements to be transferred from the State to the Workforce region. Prior to disbursing any funds, CDLE's Controller's Office shall have on file an authorization letter identifying the Workforce region's legal authorized signatories for the Cash Request Form. This letter shall be submitted to CDLE's Controller's Office annually prior to the start of each program year on July 1.

Workforce regions may receive Cash draw-downs from each funding source, previously approved in a fully executed EA, by using the following procedures:

1. Cash requests may be made weekly or monthly by phone, fax, or email to the Colorado Department of Labor and Employment Controller's office. **Requests shall be received during the hours of 7:30 am until Noon on Mondays** (Tuesdays if Monday is a State holiday). Phone: 303-318-8119 or Fax: 303-318-8128.
2. An original, signed Cash Request Form (VAX print command /PCN) shall be submitted to CDLE's Controller's Office within the week of making the Cash Request. The signature on the

Cash Request Form shall match the signature on the authorization letter submitted annually to CDLE's Controller's Office prior to the start of each program year.

3. Payment vouchers are processed immediately after the cash requests have been received on Monday mornings. Funds are then deposited into the Workforce region's account and are generally available by the end of the week.

E. Completing and Submitting the EA:

1. Signature Page and Number of Copies:

- a. Copy the allocation table from the applicable NFA letter onto the signature page. Make sure that your Workforce Region Name, the Program Year of the WDP Agreement, and the CMS# is correct and matched the header in the upper right corner of the EA.

Workforce Region: NAME	PYXX Agreement		CMS# XXXX
Funding Source	Term	Vax #	\$ Amount
PYXX WIA Adult	7/1/11 to 6/30/13		\$0.00
PYXX WIA Youth	7/1/11 to 6/30/13		\$0.00
PYXX WIA Dislocated Worker	7/1/11 to 6/30/13		\$0.00
PYXX Wagner Peyser	7/1/11 to 6/30/12		\$0.00

- b. After the review and approval process delineated in the above Section IV.B., Review and Approval of EAs and EA Modifications is completed, Workforce regions shall submit a minimum of **three** signed copies of an EA to the Workforce Development Programs Contract Coordinator for processing. After the EA is fully executed, CDLE will keep two original copies and mail one original copy to the Workforce region. If the Workforce region requires more than one original copy of an EA, additional fully completed copies may be submitted and, once executed, remaining copies (beyond CDLE's required two copies) shall be returned to the Workforce region.

The signature page shall be **stapled** on the top of the EA. Each copy of the EA shall have original signatures from the required signatories. Each EA can include requests for multiple sources of funds as identified on the applicable NFA letter(s). If funds have been provided under separate WDP Agreements, and therefore under a separate series of NFA letters, then those funds shall be submitted on separate EAs.

2. **Local Plan Signature Page.** When the initial EA is submitted as part of a new Program Year Local Plan Modification, the Local Plan Signature Page (see Exhibit B to this PGL) shall also be signed by the Workforce region's legal authorized signatories. This page is not signed by CDLE because it is a certification by the Workforce region that any modifications to the Workforce region's original Local Plan are included in this new Program Year's Local Plan document.

3. **Completing the Expenditure Authorization Document:**

- I. BUDGET TABLES. You may copy the allocation table from the applicable NFA letter here. However, if the EA includes a transfer between the Adult and/or Dislocated Worker/25%

Enhanced Dislocated Worker funding streams, you SHALL use a Budget Information Summary Table (BIST).

Workforce Region: NAME	PYXX Agreement		CMS# XXXX
Funding Source	Term	Vax #	\$ Amount
PYXX WIA Adult	7/1/11 to 6/30/13	AAAA	\$0.00
PYXX WIA Youth	7/1/11 to 6/30/13	BBBB	\$0.00
PYXX WIA Dislocated Worker	7/1/11 to 6/30/13	CCCC	\$0.00
PYXX Wagner Peyser	7/1/11 to 6/30/12	DDDD	\$0.00

Modify the following BIST as applicable for Adult, Dislocated Worker, or 25% Enhanced Dislocated Worker funds.

Workforce Region: NAME	PYXX Agreement		CMS# XXXX
Funding Stream: PY11 Adult	Period of Performance: 7/1/11 - 6/30/13		
	Revised Period of Performance:		
Original Allocation:	\$000,000.00		Vax #
Original Program Budget:	\$0,000.00	Original Admin Budget:	\$0.00
Transfer In (+):	\$00.000	From Fund Year and Name:	
Transfer Out (-):	(\$00.00)	To Fund Year and Name:	
Cost Category	Current Budget	Transfer In/Out (+/-)	Revised Budget
Admin	\$0.00		\$0.00
Program	\$0.00		\$0.00
DW-Admin (transfer in)	\$0.00		\$0.00
DW-Program (transfer in)	\$0.00		\$0.00
25% Enh DW Admin (transfer in)	\$0.00		\$0.00
25% Enh DW Prog (transfer in)	\$0.00		\$0.00
Total Program	\$0.00		\$0.00

Use the following for Youth funds.. The Out-of-School budget amount shall be at least 30% of your total Program budget.

Funding Stream: PY11 Youth	Period of Performance: 7/1/11 - 6/30/13		
	Revised Period of Performance:		
Original Allocation:	\$000,000.00		Vax #
Original Program Budget:	\$0,000.00	Original Admin Budget:	\$0,000.00
Cost Category	Current Budget	Changes In/Out (+/-)	Revised Budget

Admin	\$0.00		\$0.00
Out-of-School	\$0.00		\$0.00
In-School	\$0.00		\$0.00
Total Program	\$0.00		\$0.00

II. BUDGET INFORMATION:

If the EA includes a transfer between the Adult and/or Dislocated Worker/25% Enhanced Dislocated worker funding streams, provide an explanation of what you are doing with the funds and its impact on program activities and outcomes (e.g. how will the participant numbers or carry in numbers change, what will the impact be on the program versus administrative budgets, projected quarterly expenditures, etc.).

If this EA is for a Discretionary Grant, attach to the EA, a copy of the approved grant proposal, outreach activities plan, statement of work, and/or special initiative plan, which includes an administrative and program expenditures budget, performance measures, participation numbers, and an explanation of projected quarterly expenditures, as applicable.

If these documents are not being attached to the EA, then a Program Expenditure Chart showing the budgeted amounts for the following categories: Salaries, benefits, travel; equipment; supplies; contractual services; operating/overhead costs; direct training; program related supportive services; and other participant-related services costs, shall be included in the EA. The total in this chart shall coincide with the projected quarterly expenditure charts included in the EA.

III. STATEMENT OF WORK:

A. Services, Program Activities, and/or Training to be provided: Subsection A must be completed on all EAs unless an approved Grant Proposal is attached as part of the EA. If EA is for an EA Modification, skip all of Section III and complete Section IV. If a Grant Proposal is attached to the EA, please indicate that here.

1. Describe the services, program activities, and/or training that will be provided using these funds.
2. Identify whether the primary focus is participant services, program planning, capacity building, supportive services, training, etc., and/or if there are specific intended outcomes

B. Program Integration: This section shall be completed for EAs covering special initiatives and/or discretionary grants.

Describe how services, program activities and training that you provide with these funds shall be integrated into and coordinated with those of your Adult, Youth, and Dislocated Programs and/or other One Stop operations?

Program Integration strategies aim to improve knowledge of staff, avoid duplication of services, enhance customers' options for services, increase the efficient use of funds and optimize communication among staff so that customers are receiving comprehensive services and taking

full advantage of special initiative grants to supplement standard WIA services. Examples of program integration include: co-enrolling participants, leveraging funds, collaborating between programs, and other strategies to improve service delivery to customers.

C. Performance Outcomes: If performance outcomes are not identified on the program charts, then a narrative identifying and describing the performance outcomes shall be included here. This would primarily apply to EAs covering special initiatives and/or discretionary grants or EAs covering other miscellaneous workforce funding.

IV. EA MODIFICATION(S). If this is an EA modification, then sections A and B below shall be completed. Any budget changes shall be shown on appropriate, modified BISTs.

A. Purpose and Rationale for Modification(s).

Describe the modification(s) covered by this EA and the reasons for the modification(s).

B. Revised Services, Program Activities, Training, and Performance Outcomes:

1. Describe the impact that the modification(s) will have on the delivery of Services, Program Activities, and/or Training to be provided
2. Describe the changes to Performance Outcomes and attach a revised Planned Participation Summary Chart to the EA.

V. OTHER PROGRAM REQUIREMENTS OR SPECIFIC FUNDING PROVISIONS

The following sections shall be completed contingent upon the special initiative and/or discretionary grant requirements, applicable PGLs, and/or funding provisions and other directives identified in the NFA letter.

A. The Workforce region agrees to adhere to the requirements of relevant Policy Guidance Letters, program Information, and/or the specifications outlined in section B. below.

B. NFA Funding Provisions. *Add NFA letter funding provisions here.*

C. Other Internal financial resources to support the grant/initiative. *Internal financial resources are other funds administered by the workforce region that will be used in support of the goals and outcomes of this grant or special initiative. Internal financial resources include Federal and County grants, TANF programs, Housing programs, etc. (See definition in Attachment A).*

D. Subcontracting arrangements, if any, for delivery of services. *(See definition in Attachment A)*

E. Other External Financial Resources to support the grant/initiative. *Other external financial resources are funds not administered by the workforce region which may be used in support of the goals and outcomes of this grant or special initiative. These may be funds from other One Stop partners, Federal and/or State grants, private donations, community-based organizations, or other business donations. (See definition in the EA PGL Attachment A).*

If external financial resources shall be used or if there is a cost sharing plan or a match requirement related to this grant/initiative, complete the following table:

Cost Sharing/Matching/Leverage Summary Table			
Name of Collaborating Entity	Planned Contribution(s)	Match Source (Federal/State/Private)	Type of Leverage (Cash, In-kind, Staff Time, Materials/Supplies, Other)

F. Add any other provisions, as needed.

V. Instructions for completing the BIST Tables and Program Charts

Detailed instructions for completing the BISTs and Program charts are provided in Attachment A to this PGL.

VI. EXPENDITURE AUTHORIZATION DOCUMENT:

The model Expenditure Authorization document (EA) is attached to this PGL as Exhibit C.

VII. IMPLEMENTATION DATE: **March 1, 2011**

VIII. INQUIRIES: If you have any questions regarding these Expenditure Authorization procedures, please contact the Workforce Development Programs Contract Coordinator at (303) 318-8820 or email: chrystalynn@state.co.us.

Clarke D. Becker, Director
 Workforce Development Programs
 Colorado Department of Labor and Employment

EA INSTRUCTIONS

DEFINITIONS

1. Discretionary Grants are provided based on an approved grant application and/or project proposal. These grants fund projects, programs, and/or special initiatives that are integrated into the Workforce region's WIA or Wagner-Peyser programs. Discretionary grants included but are not limited to, Performance Incentive Grants, Outreach activities Grants, On-Line Education and Training programs, On the Job Training Programs, grants in support of special populations, etc.

2. External Financial Resources to support the grant/initiative. Other external financial resources are funds not administered by the workforce region which may be used in support of the goals and outcomes of this grant or special initiative. These may be funds from other One Stop partners, Federal and/or State grants, private donations, community-based organizations, or other business donations.

3. Internal Financial Resources are other funds administered by the workforce region that will be used in support of the goals and outcomes of this grant or special initiative. Internal financial resources include Federal and County grants, TANF programs, Housing programs, etc

4. Program Integration strategies aim to improve knowledge of staff, avoid duplication of services, enhance customers' options for services, increase the efficient use of funds and optimize communication among staff so that customers are receiving comprehensive services and taking full advantage of special initiative grants to supplement standard WIA services. Examples of program integration include: co-enrolling participants, leveraging funds, collaborating between programs, and other strategies to improve service delivery to customers.

5. Subcontracting Arrangements include agreements with vendors or contractors for procured services and special purchases in support of a grant's goals and outcomes. For the purpose of explanation in the EA, these are services that are NOT client support services, services used from approved training providers, or miscellaneous purchases of goods and products used in the specific program or initiative.

BUDGET INFORMATION SUMMARY TABLES (BISTS)

The following instructions apply to applicable fields on the BISTS. A copy of the funding allocation table on the NFA letter or a separate BIST shall be included for each funding stream. Each funding allocation table or BIST shall be inserted in EA Section I., Budget Tables with details provided in EA Section II., Budget Information.

Funding Stream and Period of Performance: Enter the applicable funding stream (PY or FY, Adult, Youth, Dislocated Worker) and the period of performance for the funds. The original Period of Performance shall match the Period of Performance as stated on the original NFA for each funding stream. If the NFA is providing an extension of the period of performance then the Revised Period of Performance field shall reflect the revised dates.

Vax Numbers: Enter the Expense Report Vax number for the funding source. The Vax number can be found in the allocation and summary tables in the NFA letter.

Original Allocation: Enter the total allocation amount for the applicable funding stream. For Adult, Youth, and Dislocated Worker programs, this amount shall include the administration dollars. This number shall remain the same on any subsequent EA modification.

Original Administration Budget: Show the amount of local administration dollars taken out of the Original Allocation of funds. For the Adult, Youth, and Dislocated Worker programs this amount can be up to 10% of the allocation. If the BIST represents funds for a new program, check the NFA funding provisions, email guidance, PGL guidance, etc. to ensure an Administration budget is allowed. If not, then only one Program line on the BIST table is needed.

Original Program Budget: Enter the amount of the Original Program budget. For Adult, Youth, and Dislocated Worker programs, this amount will be the original allocation minus the amount of dollars used for local Administration. For the Youth Program, enter the original Program Budget amount for Out-of-School Youth plus the amount for In-School Youth. The Out-of School Youth line item shall equal at least 30% of the Approved Current Budget.

Transfers In (+)/ Transfers Out (-): These fields are used ONLY IF you are transferring funds as allowed between the Adult and Dislocated Worker/25% Enhanced Dislocated Worker programs. Transfers would only apply under the provisions of Section 133(b)(4) of WIA for transferring Program funds from one funding stream to another. Enter the amount of the transfer in or transfer out on the applicable lines. Otherwise, leave it as "\$0.00".

From Fund Year and Name/To Fund Year and Name: Identify the PY/FY of Funds and Name of Funding Stream for each amount of Transfer In and Transfer Out. The transfer can only occur between the same funding year, e.g. PY to PY and FY to FY.

Approved Current Budget: Enter the approved current budget dollar amount for each cost category prior to any transfers. The approved current budget changes for each EA modification.

Transfer In(+)/Out(-): In the middle column of the BIST, enter the dollar amount that is being increased or decreased to the Approved Current Budget. Leave the column blank if not applicable. If a transfer between the Adult and Dislocated Worker funding streams is included in the EA, then the associated administration dollars transferring between each funding stream shall be identified on the appropriate BISTs. The Revised Budget will then show the new total of administration funds associated with each program.

Revised Budget: Add the amount in the Transfer In(+)/Out(-) column to the amount in the Approved Current Budget column to calculate the Revised Budget. The revised budget will then become the Approved Current Budget on any future EA modifications.

OTHER BISTS FORMATS

The BISTs may be modified and adapted to address the needs of the financial transaction associated with the specific EA transaction. Additional lines and columns may be added to show transfers to set aside projects, to split out two different expiration dates for different grants within the same funding stream, or to clarify a number of transactions that are being processed simultaneously. The following is an example for moving funds to a set aside project:

Funding Stream: FY12 Dislocated Worker		Period of Performance: 10/1/11 – 6/30/13	
Original Allocation:	\$230,084.00	Original Administration Budget:	\$15,000.00
Original Program Budget:	\$215,084.00	Vax #	####
Transfer In (+):	\$0.00	From Fund Year and Name:	
Transfer Out (-):	\$0.00	To Fund Year and Name:	
Revised Program Budget:	\$215,084.00		
Cost Category	Current Budget	Transfer In/Out (+/-)	Revised Budget

Administration	\$15,000.00		\$15,000.00
Program	\$ 215,084.00	(\$ 21,508.00)	\$193,576.00
10% DW Set-aside	\$0.00	\$21,508.00	\$21,508.00
Total Program	\$230,084.00		\$230,084.00

VI. PROJECTED QUARTERLY EXPENDITURES (CUMULATIVE) CHARTS

1. **General Instructions.** Project the quarterly expenditures for program and administration funds, and then sum the total of the two for the total cumulative grant amount. For formula allocated Adult, Youth, Dislocated Worker and 25% Enhanced Dislocated Worker grants, the expenditure projections shall include costs against all sources and years of funding combined and available for the program, and shall equal the cumulative total of projected expenditures, including obligations, accruals, any anticipated amounts of carry-in, plus current year funding.

For example, the quarterly expenditure projections for the Dislocated Worker program shall combine all costs for carry-in funds and current year funds for both Dislocated Worker and 25% Enhanced Dislocated Worker funding streams. The Carry In/Carry out line breaks out the amount of Carry In/Carry Out that is included in the total. The 4th Quarter Projections column shall equal the total amount of the allocation for that funding stream plus any carry-in dollars. The Carry In/Carry out line shows the amount of Carry In/Carry Out that is included in the above Program and Administration totals.

2. **Adult, Youth, Dislocated Worker, and Wagner Peyser Programs.** Complete the chart for each formula allocated grant included in the EA, including WIA Adult, Youth, Dislocated Worker, 25% Enhanced Dislocated Worker and Wagner Peyser grants. For the formula allocated programs, only four quarters of data are required. The first quarter shall cover July 1 through September 30, the second quarter shall cover October 1 through December 31, the third quarter shall cover January 1 through March 31 and the fourth quarter shall cover April 1 through June 30.

3. **Discretionary and/or Special Initiative Grants.** A Projected Quarterly Expenditures Chart shall be completed for each discretionary, special project, and/or set-aside grant included in the EA. These charts shall reflect all quarters for the full grant period of performance. Because discretionary grants can start any quarter, the projected quarterly expenditures shall begin in the first quarter date range that coincides with the start date of the grant and continue for all quarters thereafter as applicable. If the grant period of performance is longer than four quarters, add another chart below it to show the quarterly expenditures through the end of the grant period. For example, if it is an eighteen month grant, then you will have a second chart showing the additional Quarters Five and Six and identifying the applicable three month date ranges. All applicable quarters shall be completed.

V. PLANNED PARTICIPATION SUMMARY (CUMULATIVE) CHARTS

1. **EA Modifications.** Whenever formal EA modifications having fiscal impact are submitted to the State, modifications shall occur to all budget tables, BISTs, projected quarterly expenditure charts and program charts, as applicable. This includes EA modifications for funding transfers, rescissions, and additional allocations that occur during the current program year. The Projected Quarterly Expenditure Chart shall be updated to reflect any of these increases and/or decreases in funding levels. This EA PGL provides detailed guidelines for when and how formal modifications shall occur. Note: Expenditure projections shall not be changed for any quarter that has already been completed or is within one month of being completed.

2. Program Monitoring.

- a. For the Adult and Dislocated Worker programs, the performance measures included in the Planned Participation Summary Chart for Total Participants, Entered Employment Rate, Employment Retention Rate, and Average Earnings/Wage shall be formally monitored based on planned versus actual numbers. **An EA modification shall be required when a reduction in the number of participants is more than 15% of the original local plan goals.** All other items in the charts are used for the purpose of reviewing program delivery strategies.
- b. For the Youth program, the performance measures included in the Planned Participation Summary Chart for Total Participants, Placement in Employment or Education, Attainment of a Degree or Certificate, and Literacy & Numeracy Gains shall be formally monitored based on planned versus actual numbers. **An EA modification shall be required when a reduction in the number of participants is more than 15% of the original local plan goals.** All other items in the charts are used for the purpose of reviewing program delivery strategies.
- c. For the Wagner Peyser program, , the performance measures included in the Planned Participation Summary Chart for Entered Employment Rate, Employment Retention Rate, Average Earnings/Wage shall be formally monitored based on planned versus actual numbers. All other items in the charts are used for the purpose of reviewing program delivery strategies.
- d. For Discretionary and/or Special Initiative Grants, the performance measures, outcomes, and/or deliverables included in the EA, or the approved grant proposal attached to the EA, shall be monitored by the Project Manager in conjunction with the State Monitor.

3. WIA ADULT and DISLOCATED WORKER

Identify the Workforce Region, Program Year of Funds, and the WDP Agreement CMS# at the top of the page. Submit one page for the Adult Program and one page for the Dislocated Worker Program. The data shall account for both PY and FY funding streams combined.

- a. **TOTAL PARTICIPANTS** - Record the planned total number of adult/dislocated worker participants who will be served each quarter. For each quarter, New and Carry In shall equal Total Participants. This is a cumulative number carried through each quarter. **(Data Source: ConnectingColorado AS report- line 1)**
- b. **CARRY IN** - Record the planned number of adult/dislocated worker participants who will be carried in from the previous program year. The same number is to be entered in each quarter to show the Total Carry In for the current program year. **(Data Source: ConnectingColorado AS report- line 2)**
- c. **NEW** - Record the planned number of new adult/dislocated worker participants who will be enrolled each quarter. This is a cumulative number carried through each quarter. **(Data Source: ConnectingColorado AS report- line 3)**
- d. **ENTERED EMPLOYMENT RATE** – Definition: Of those who are not employed at the date of participation: The number of participants who are employed in the first quarter after exit divided by the number of participants who exit during the quarter. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado CO report)**
- e. **EMPLOYMENT RETENTION RATE** – Definition: Of those who are employed in the first quarter after exit: The number of participants who are employed in both the second and third quarters after exit divided by the number of participants who exit during the quarter. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado CO report)**

- f. **AVERAGE EARNINGS/WAGE** – Definition: Of those who are employed in the first, second, and third quarter after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter divided by the number of adult participants who exit during the quarter. For each of the four program year quarters, this planned average shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado CO report)**

4. PLANNED PROGRAM ACTIVITIES (CUMULATIVE) CHARTS - WIA ADULT and DISLOCATED WORKER

- a. **TRAINING SERVICES PARTICIPANTS (#)** – Record the planned number of WIA registered adult or DW participants who will receive training services each quarter. This is a cumulative number carried through each quarter. Any individual participant can be counted only once during the program year irrespective of the number of training services received. **(Data Source: ConnectingColorado AS report- Page 2, Ind [Individual] Column, Total Training line)**
- b. **TRAINING COMPLETIONS (#)** – Record the planned number of WIA registered Adult or DW participants who will successfully complete any of the training services during the year. This is a cumulative number for all four quarters. Any individual participant can be counted only once as a training completer even if more than one training service is completed during the program year. **(Data Source: ConnectingColorado AS report- Page 2, Succ [Successful Completions] Column, Total Training line)**
- c. **TRAINING RELATED PLACEMENTS (%)** – Definition: The total number of Training Related Placements divided by the total number of exited individuals who received a training service, whether or not the training was completed. Record the planned goal for the year. **(Data Source: ConnectingColorado AS report- line 30- Percent column)**

5. PLANNED PARTICIPATION SUMMARY (CUMULATIVE) CHARTS - WIA YOUTH (Younger and Older Youth Combined)

Identify the Workforce Region, Program Year of Funds, and the WDP Agreement CMS# at the top of the page.

- a. **TOTAL PARTICIPANTS** - Record the planned total number of youth participants who will be served each quarter. For each quarter, New and Carry In shall equal Total Participants. This is a cumulative number carried through each quarter. **(Data Source: ConnectingColorado AS report- line 1)**
- b. **CARRY IN** - Record the planned number of participants who will be carried in from the previous program year. The same number is to be entered in each quarter to show the Total Carry In for the current program year. **(Data Source: ConnectingColorado AS report- line 2)**
- c. **NEW** - Record the planned number of new participants who will be enrolled each quarter. This is a cumulative number carried through each quarter. **(Data Source: ConnectingColorado AS report- line 3)**
- d. **PLACEMENT IN EMPLOYMENT OR EDUCATION** – Definition: Of those who are not in post-secondary education or employment (including the military) at the date of participation: The number of youth participants who are in employment (including the military) or enrolled in post-secondary education and/or advanced training/occupational skills training in the first quarter after the exit quarter, divided by the number of youth participants who exit during the quarter. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado CO report)**
- e. **ATTAINMENT OF A DEGREE OR CERTIFICATE** – Definition: Of those enrolled in education (at the date of participation or at any point during the program: The number of youth participants who attain a diploma, GED, or certificate by the end of the third quarter after the exit quarter, divided by the number of youth participants who exit during the quarter. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado CO report)**

- f. **LITERACY AND NUMERACY GAINS** - Definition: Of those out-of-school youth who are basic skills deficient: The number of youth participants who increase one or more educational functioning levels, divided by the number of youth participants who have completed a year in the program (i.e., one year from the date of first youth program service) plus the number of youth participants who exit before completing a year in the program. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado CO report)**
- g. **TRAINING SERVICES PARTICIPANTS (#s)**- Record the planned number of WIA registered youth participants who will receive training services each quarter. This is a cumulative number carried through each quarter. Any individual participant can be counted only once during the program year irrespective of the number of training services received. **(Data Source: ConnectingColorado AS report- Page 2, Ind [Individual] Column, Total Training line)**
- h. **TRAINING COMPLETIONS (#)** – Record the planned number of WIA registered Youth participants who will successfully complete any of the training services during the year. This is a cumulative number for all four quarters. Any individual participant can be counted only once as a training completer even if more than one training service is completed during the program year. **(Data Source: ConnectingColorado AS report- Page 2, Succ [Successful Completions] Column, Total Training line)**
- i. **TRAINING RELATED PLACEMENTS (%)** – Definition: The total number of Training Related Placements divided by the total number of exited individuals who received a training service, whether or not the training was completed. Record the planned goal for the year. **(Data Source: ConnectingColorado AS report- line 30- Percent column)**

6. PLANNED PARTICIPATION SUMMARY (CUMULATIVE) CHARTS - WAGNER PEYSER EMPLOYMENT SERVICES

Identify the Workforce Region, Program Year of Funds, and the WDP Agreement CMS# at the top of the page.

- a. **TOTAL PARTICIPANTS** - Record the planned total number of participants who will be served each quarter. This is a cumulative number carried through each quarter. **(Data Source: ConnectingColorado 9002 report, Page 1-Service to Job Seekers, Line 1A)**
- b. **ENTERED EMPLOYMENT RATE** – Definition: Of those who are not employed at the date of participation: The planned number of participants who are employed in the first quarter after exit divided by the number of participants who exit during the quarter. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado 9002 report, Page 4-Performance Outcomes-Job Seekers/Employers, Line 7A)**
- c. **EMPLOYMENT RETENTION RATE** – Definition: Of those who are employed in the first quarter after exit: The planned number of participants who are employed in both the second and third quarters after exit divided by the number of participants who exit during the quarter. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado 9002 report, Page 4-Performance Outcomes-Job Seekers/Employers, Line 10A)**
- d. **AVERAGE EARNINGS/WAGE** – Definition: Of those who are employed in the first, second, and third quarter after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter, divided by the number of participants who exit during the quarter. For each of the four program year quarters, this planned rate shall equal the performance level negotiated with the State. **(Data Source: ConnectingColorado 9002 report, Page 4-Performance Outcomes-Job Seekers/Employers, Line 11A)**
- e. **TOTAL EMPLOYERS SERVED** - Record the planned number of unduplicated employers who will receive a service or list job openings each quarter. This is a cumulative number carried through each quarter. **(Data Source: Connecting Colorado –Reports – Other Queries- Employers Served)**
- f. **TOTAL JOB OPENINGS RECEIVED** - Record the planned number of job openings to be received each quarter. This is a cumulative number carried through each quarter. **(Data Source: ConnectingColorado 9002 report, Page 7 –Job Openings Received, Line 1A)**

**Exhibit B
Workforce Investment Act
Local Plan Signature Page**

Workforce Region:	CMS #
Address:	
City/State/Zip	

This Exhibit B provides the Local Plan required under the Workforce Investment Act of 1998 (WIA) for implementation starting in Program Year 2011. This Local Plan shall be implemented to cover the interim period until the Workforce Investment Act of 1998 (WIA) is reauthorized.

We certify that all planned activities under the Local Plan are presented here for implementation beginning July 1, 2011 for Program Year 2011-2012.

By: _____
Local Elected Official Date
Chair, Board of County Commissioners

By: _____
Local Workforce Investment Date
Board, Chair

By: _____
Workforce Region Director Date

ADDITIONAL APPROVALS:

By: _____
Local Elected Official Date
Chair, Board of County Commissioners

By: _____
[Name, Title] Date