

WORKFORCE INVESTMENT ACT DISLOCATED WORKER ADDITIONAL ASSISTANCE PROJECT APPLICATION GUIDELINES

INTRODUCTION

The Governor may reserve up to 25 percent of Workforce Investment Act (WIA) dislocated worker funds for Rapid Response and Additional Assistance projects. These guidelines address Dislocated Worker Additional Assistance projects only.

POLICY

Purpose

Additional Assistance grants augment existing dislocated worker funding and finance the increased activities required to deliver services in response to a substantial increase in the number of unemployed persons seeking services. Additional Assistance grants are not intended to supplant formula allocations that are already budgeted or otherwise set aside for ongoing operational costs, and accordingly, are not intended to create savings of such budgeted funding.

Project Applications

Additional Assistance project applications should be submitted in response to the occurrence of “dislocation events”—specific employer layoffs due to natural disasters, plant closings, mass layoffs or “**other events**” that change the local economic conditions and create a demand for services that exceeds the capacity of existing resources.

The State has defined the term “other events” as broadly as possible within the parameters of federal law and regulations:

other events - any economic conditions, circumstances, trends, series or combination of events that resulted in the documented dislocation of a substantial number of individuals. Additional Assistance funding may be used flexibly so long as it meets the purpose of serving dislocated workers, and this includes activities that are designed to prevent layoffs.

Eligibility for Funding

Additional Assistance funds for dislocated worker activities, as described in WIA Section 134(a)(2)(A)(ii), may be granted to Local Workforce Investment Boards (LWIB)

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only. Non-LWIBs may only be co-applicants under the leadership of, and in cooperation with, one or more LWIBs.

In order to ensure a coordinated approach to service delivery and reduce the potential for duplication of effort, coordination among local/regional partners will be required. Roles, responsibilities, and areas of accountability will be identified and agreed upon in the local Memoranda of Understanding negotiated as part of each LWIB's WIA job training plan.

Funding Requests

Requests for funding should be the result of a planning process that has been activated through Rapid Response and, as appropriate, an early intervention assistance process that may include local WIA formula funds to initiate dislocated worker services. Additional Assistance funds should supplement and expand the local capability to respond effectively to dislocation events. Ideally, projects should be funded from multiple sources, and Additional Assistance funds should be used to serve more dislocated workers and to achieve a higher quality of services and outcomes.

In previous years, the State accepted applications for Additional Assistance funding that were based on the contention of dislocated worker allocation "formula insufficiency." This option has been removed on the basis that the State, in cooperation with local partners, conducted a comprehensive review of the dislocated worker allocation formula and recommended a major revision designed to improve its relevance to the dislocated worker participant eligibility factors specified in WIA. The workgroup that did this review held the position throughout its deliberations that Dislocated Worker Additional Assistance funds should not be used to balance inequities in the formula, but should instead be tied to actual layoff events and need emerging during the program year. This new allocation formula, which was approved by the California Workforce Investment Board on November 30, 2006, is described in Information Bulletin [WIAB06-55](#), dated March 16, 2007.

APPLICATION REQUIREMENTS

Additional Assistance project applications shall consist of the following documents:

- Application/Amendment Signature Page
- Narrative
- Participant Plan
- Budget Summary Plan

Note: The documents listed above are included in Attachment 2 of this directive.

Applications for Additional Assistance grants must clearly demonstrate why the dislocations cannot be served with existing resources (i.e., address expenditure levels and ongoing funding commitments which limit the LWIB's ability to fund this unforeseen need for dislocated worker services). Requests for funding must clearly demonstrate

not only the cause of the increase, but the resulting increases in service demand, and accordingly, the anticipated funding shortfalls resulting from this increase in service demand.

Additionally, applications must include the dislocations (e.g., WARN notices, layoff notices) and why the LWIB has determined that they are “substantial,” (e.g., extraordinarily large in number, or represent a significant increase in dislocations in the local economy or an industry sector).

Dislocated Worker Additional Assistance projects will usually be conducted over a 12-month operational period unless negotiated otherwise with the State. Applications will be accepted on an as-needed basis.

To request funding, submit two copies of the completed application, both with original signatures, to your assigned Regional Advisor.

REVIEW AND APPROVAL

The Employment Development Department (EDD) Workforce Services Division (WSD) will review the Dislocated Worker Additional Assistance project applications. Funding recommendations will be submitted to the EDD Director for approval, and then, as appropriate, recommended to the Secretary of the Labor and Workforce Development Agency (LWDA) for approval on behalf of the Governor.

The EDD Director will approve Additional Assistance requests up to \$1 million. Requests above \$1 million will be submitted to the LWDA for consideration and approval.

The LWDA Secretary will approve Additional Assistance requests when funds are going to be used to address potential layoffs forecasted to occur at some future point.

Award levels may be negotiated. A consideration in the level of funding to be awarded will be the demonstrated ability of subgrantees to have effectively expended their prior year’s allocations of Adult and Dislocated Worker formula funding. Applications should also clearly demonstrate that carry forward and current Adult and Dislocated Worker funds are insufficient to address the needs of the dislocated workers in the local area. Applications must illustrate that, without the Additional Assistance grant, serving the proposed participants, in addition to existing customers, would exhaust available resources.

PROJECT FUNDING

Funding for Additional Assistance projects is available beginning July 1 of each year. Projects spanning program years may be split-year funded. Full expenditure of funds is expected within each award period which may extend to up to 18 months if requested and shown to be necessary.

Applications approved for funding will become the approved project plan document. The approved project plan will be used for program monitoring and evaluation purposes. The funding for approved applications will be unilaterally modified into the applicant LWIB's WIA Title I master subgrant as a separate line item.

REPORTING

By accepting a subgrant for Dislocated Worker Additional Assistance funding, the subgrantee agrees that it will compile and submit reports of participants, expenditures, status-of-cash and closeout information by the specified dates and in the specified formats as prescribed by the State.

MONITORING AND OVERSIGHT

Section 183 of WIA and Section 667.400 of Title 20 Code of Federal Regulations provide authorization for the Secretary of Labor and Governors to monitor all grantees to determine whether they are complying with the provisions of the WIA and the associated regulations. The EDD has oversight responsibility to ensure that grantees comply with WIA, the associated regulations and the subgrant provisions. Additional Assistance projects are subject to the EDD monitoring policies.

TECHNICAL ASSISTANCE

Technical assistance to applicants is available through the [Regional Advisor](#) assigned to that Local Workforce Investment Area.

PROJECT AMENDMENTS

Changes in project specifications, such as the target population, budget details, or the term of the project, require advance approval via a plan amendment request. (Note: Redirection of approved Additional Assistance funds to address dislocation events where closures/layoffs that formed the basis for the original award did not eventuate, will only be approved on an exception basis where the applicant and the State agree that this is the most timely and cost effective way to address new, unforeseen layoffs.)

It is suggested that all project plan amendment requests be initiated by discussions with the assigned State representative regarding the circumstances requiring the change. If it is determined an amendment is required, the project amendment request must include revised versions of any documents contained in the approved project plan that are to be revised.

Requests to reprogram or deobligate funds should be submitted as soon as possible after the need for such a circumstance is identified. Requests for increases in the amount of approved project funding will require a new application.