

Alabama Workforce Investment System

**Alabama Department of Economic and Community Affairs
Workforce Development Division
401 Adams Avenue
Post Office Box 5690
Montgomery, Alabama 36103-5690**

MAY 1 2000

GOVERNOR'S WORKFORCE DEVELOPMENT DIRECTIVE NO. PY99- 16

SUBJECT: Certification of Eligible Training Providers

- 1. Purpose.** To transmit the State's policy on the certification of eligible training providers in Alabama.
- 2. Discussion.** Training providers selected for funding for Workforce Investment Act (WIA) Title I funded programs shall be selected in accordance with the provisions contained in in WIA Section 122.

WIA Section 122 (b)(2)(A) states that the Governor of the State shall establish procedures for use by local boards in determining the initial eligibility of a training provider to receive funds for a program of training services. Section 122 also requires the Governor to designate a State agency to receive from the local workforce investment areas lists of eligible training providers. The Governor has designated the Workforce Development Division as the agency to receive and maintain the list of eligible WIA Title I training providers for the State. Attached is the State policy on initial/subsequent certification of eligible training providers.

- 3. Action.** It is the responsibility of local boards to develop written procedures, consistent with the attached policy, to be used by potential training providers in making an application to be determined eligible to provide training services funded under Title I of WIA. When developing written procedures the local board must also specify the timing, manner, and additional contents of the required application.

Attached is a standardized application and related forms that must be used in each local workforce investment area to collect training provider eligibility information.

- 4. Contact.** Any questions regarding this Directive should be addressed to Ray Clenney, Workforce Development Division, at (334) 242-5300.



Steve Walkley, Division Director
Workforce Development Division

Attachment

The State's Policy on Training Provider Certification

The workforce investment system established under WIA emphasizes informed customer choice, system performance, and continuous improvement. The eligible training provider process is a part of this strategy for achieving these goals. Local Workforce Investment Boards (LWIBs), in partnership with the State, identify training providers who are qualified to receive WIA funds to provide training to eligible participants.

The ability of providers to successfully perform, the procedures State and local boards use to establish eligibility, and the degree to which information on those providers is made available to customers eligible for training services are key factors affecting the successful implementation of the statewide workforce investment system. Therefore, while the policy developed for this important function is broad, it is framed by a set of key principles that serve as a framework to guide the development of the system.

Training providers that are determined eligible by LWIBs to receive funding for Workforce Investment Act (WIA) Title I funded programs shall be selected in accordance with the provisions contained in WIA Section 122.

This policy addresses the following areas:

- ▶ Initial eligibility for automatic providers.
- ▶ Procedures for determining the initial eligibility of training providers that are not automatically qualified in Section 122(a)(2)(A) and (B);
- ▶ A procedure for use by local workforce investment boards (LWIBs) in the state in determining the subsequent eligibility of a provider to continue to receive funds made available under Section 133(b) for the provision of training services described in Section 134(d)(4); and
- ▶ Procedures for providers of training services to appeal:
 - a denial of eligibility by a LWIB or the designated State agency under Subsection (b), (c) or (e) of Section 122, or
 - a termination of eligibility or other action by the LWIB or State agency under Subsection (f) of Section 122.

Eligible Provider of Training Services

Eligible providers of training services are those entities eligible to receive WIA Title I funds to provide a program of training services, described in Section 134(d)(4) of the Act, to eligible adult and dislocated worker customers. Local boards, in partnership with the State, identify providers whose performance qualifies them to receive WIA training funds. After receiving core and intensive services and in consultation with case managers, eligible participants who need training use the list of these eligible providers to make an informed choice. Different provider eligibility procedures are described in WIA for determinations of "initial" and "subsequent" eligibility. Because the processes are different, they are discussed separately.

Initial Eligibility Determination

The Act extends automatic initial eligibility to a provider that is either:

- ▶ a postsecondary institution that is eligible to receive Federal Pell Grant funds under Title IV of the Higher Education Act of 1965 and provides a program that leads to an associate degree, baccalaureate degree, or certificate; or
- ▶ an entity that carries out programs under the National Apprenticeship Act.

This will include universities, colleges, community colleges, some proprietary schools and apprenticeship programs registered with the Bureau of Apprenticeship and Training within the U. S. Department of Labor.

Institutions or entities determined to be automatically eligible must submit an application to the local board(s) for the local area(s) in which the provider desires to provide training services that describes each program of training services, as defined in 20 CFR part 663.508. Although performance information is not required, it should be included so that it may be used by customers in making informed training choices. The local board must accept applications for initial eligibility from these institutions and entities.

A LWIB shall develop a written application process for other providers of training services that are **not** automatically eligible. These programs must meet stated performance criteria in order to secure WIA training services provider status. These initial eligibility procedures include instructions on how to submit applications to LWIBs, the contents of the application, program-specific performance and cost information and any additional requirements that the Governor has imposed. When developing written procedures, the local board must also specify the timing, manner, and contents of the required application. At a minimum, these procedures shall include:

- ▶ requirement for a submission of an application to the local board at such time and in such manner as may be determined, which contains a description of the program of training services;
- ▶ if the provider is currently providing a program of training services on the date of application, the procedures must require that the application include an appropriate portion of the performance information and the program cost information described in 20 CFR part 663.540, and that the program meets appropriate levels of performance; and
- ▶ if the provider does not provide a program of training services on that date, the procedures must require that the provider meets appropriate requirements specified in the procedures. (WIA Section 122(b)(2)(D)).

The LWIBs will provide to the Workforce Development Division (WDD) a list of providers submitting an application that are determined automatically qualified for initial eligibility and providers determined to be initially eligible consistent with the policy contained in this Directive. The list will contain program-specific performance and cost information for providers determined to meet initial eligibility requirements according to the policy contained in this Directive. The submission should also include a copy of the provider application forms for each provider. During the initial implementation year of WIA this list shall be submitted to the WDD, no later than July 31, 2000, at the address listed on the following page. In subsequent years, the deadline for submission will be June 30.

Division Director
ADECA/Workforce Development Division
P. O. Box 5690
Montgomery, AL 36103-5690

Local boards will be responsible for establishing the timelines for submittal of local applications. Such timelines must provide sufficient processing time to allow the local board to meet the State deadline for the initial list. Each LWIB will submit a list of all training providers that they have determined to be eligible providers of training. Documentation of training provider eligibility will be maintained by local boards and made available for State and Federal review. LWIBs may provide for limited additions to the local list during the initial year. These additional programs should be sent to the WDD at the time they are added. They will be treated as all other providers, and on the same schedule, in the annual determination of subsequent eligibility. Each LWIB is responsible for developing written procedures for ensuring that eligible training provider information is entered into the Statewide service provider system.

As a vital ingredient in an effective local application process, the local boards should broadly advertize the instructions for making a local application. Invitations should go out to known providers in the local workforce investment area in an effort to attract the broadest array of eligible training providers. Local workforce investment areas that border states other than Alabama, and which typically use out-of-state training providers, should make the process known to those providers and receive their applications for consideration to be added to the local list. In the initial year, the target date for disseminating the information will be September 2000. In subsequent years, the deadline will be August 1.

If the WDD, after consultation with a LWIB, determines that a provider or an individual providing information on behalf of the provider intentionally supplies inaccurate information the WDD shall terminate the eligibility of the provider to receive WIA funds for training services for a period of not less than two years.

Time Limit on the Period of Initial Eligibility

Section 122(c)(5) of the WIA states that the Governor must require training providers to submit performance information and meet performance levels annually in order to remain eligible providers. State policy requires that all eligible providers must submit performance information no later than thirty (30) days after the end of the program year. Eligible providers whose determination of initial eligibility occurred within six months of the date of submission are exempt from the preceding reporting requirement. They will be required to submit performance information at the end of the following program year. The effect of this requirement is that no training provider may have a period of initial eligibility that exceeds eighteen (18) months.

Subsequent Eligibility Determination

All providers of a program of training services, whether covered or exempt from the initial eligibility process, are subject to subsequent eligibility determination. The procedures for subsequent eligibility determination will include review of program-specific performance and cost information as well as a requirement to annually meet performance levels established by the State. The provider of training services shall submit information to the LWIB. The LWIB shall submit to the WDD a list of training providers, the performance information submitted by the training provider, and the

LWIB's determination of eligibility of the training provider. A LWIB may require higher levels of performance than required by the State.

All providers of training services are subject to the following policy provisions in order to continue to receive funds under WIA for the provision of training services. This includes training providers that were required to qualify for initial eligibility as well as providers exempt from the initial eligibility process.

Performance Information

In order to be determined to be subsequently eligible to receive WIA funds, a provider must submit to the LWIB verifiable program-specific performance information consisting of:

- ▶ **Program Information:**
 - program completion rates for all individuals participating in the applicable program,
 - percentage of all individuals participating in the applicable program who obtained unsubsidized employment, which may also include information specifying the percentage of individuals who obtained unsubsidized employment in an occupation related to the program of training, and
 - the wages at placement in employment of all individuals participating in the applicable program; and

- ▶ **Information on WIA program participants who received assistance under WIA Section 134:**
 - percentage of participants who have completed the applicable program who are placed in unsubsidized employment,
 - retention rates in unsubsidized employment of participants who have completed the applicable program, six months after the first day of the employment involved, and
 - wages received by participants who have completed the applicable program, six months after the first day of the employment involved, and
 - where appropriate, the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skills of the graduates of the applicable program; and

- ▶ **Information on program costs (e.g., tuition, fees, books, supplies, tools) for participants in the applicable program.**

The WDD shall provide for the LWIBs and training service providers information on the wages and the retention rates in unsubsidized employment of participants of the applicable program, six months after the first date of employment.

A LWIB may request the WDD to consider supplemental follow-up information regarding programs providing training for an occupation not covered by UI Wage Records. The WDD shall develop procedures to compute the rates of licensure, or certification, and attainment of other measures of skills of the graduates of the applicable program when appropriate.

Standards of Performance

Annually, the LWIB shall adopt local standards within thirty calendar days of the Governor's action to establish state standards of performance. LWIB standards must meet or exceed the standards adopted by the Governor. Performance standards for employment at six months, wages at six months, and rate of licensure, certification, degree completion and other skill attainment measures may be adjusted by the WDD for local conditions and should reflect continuous improvement within the local workforce investment area. The LWIB shall provide to each applicant the current levels of performance required by the State or levels of performance required by the LWIB if higher than those annually established by the State.

Board Consideration in Determining Subsequent Eligibility

In making a determination of subsequent eligibility, LWIBs must take into account:

- ▶ The specific economic, geographic, and demographic factors in the local areas in which providers seeking eligibility are located;
- ▶ The characteristics of the populations served by providers seeking eligibility, including the demonstrated difficulties in serving such populations, where applicable;
- ▶ Current and projected occupational demand within the local area;
- ▶ The performance of a provider of a program(s) of training services, including the extent to which the annual standards of performance established by the LWIB have been achieved;
- ▶ The program costs of training services;
- ▶ The involvement of employers in the establishment of skill requirements for the training programs; and
- ▶ The feedback of employers who employ individuals who recently completed WIA-funded training to verify that the training provided produced the expected skills.

Standards for Verifiable Program-Specific Performance Information

Performance information submitted for a program of training services as a part of the subsequent eligibility determination process must be verifiable. Training providers shall provide to the LWIB the participant and employer information determined by the LWIB to be necessary to utilize Unemployment Insurance Wage Records and employer-based, follow-up surveys to obtain performance information. The information must be submitted in a format and on a schedule as specified by the WDD.

Providers of training services shall retain participant program records for a period of six years from the date the participant completes or exits the program.

The LWIB and WDD may accept program-specific performance information consistent with the requirement for eligibility under Title IV of the Higher Education act of 1965 from the provider for purposes of enabling the provider to fulfill the applicable requirements for subsequent eligibility determination if the information is substantially similar to the information otherwise required. Approval or use of an alternate procedure shall not release the provider from the obligation to provide the information referenced above.

A review of any alternate methodology used must be conducted on an annual basis by LWIB staff for programs of training services in which 100 or more WIA-supported students are served within

a twelve-month period. A review of the performance data collection methodology by programs that serve less than 100 WIA-supported students in a twelve-month period must be conducted by LWIB staff every two years. A report on the results of these reviews shall be made available to the WDD within thirty days of the completion of the report. The LWIB must consider the results of these reviews in determining subsequent eligibility for a training provider on an annual basis.

The verifiable program performance information must be submitted on a calendar quarter basis in a format and on schedule established by the WDD. The WDD may conduct performance verification throughout the year and may require training providers to submit additional information to resolve performance reporting anomalies or irregularities.

If the WDD, after consultation with a LWIB, determines that a provider or an individual providing information on behalf of the provider intentionally supplies inaccurate information, shall terminate the eligibility of the provider to receive WIA funds for training services for a period of not less than two years.

Local Identification and State List

Training providers who submit an application and are determined to be initially or subsequently eligible by the LWIB shall be placed on a list of providers to receive WIA funds to provide training services. The LWIB list shall be submitted to the WDD annually, and report any changes to the list on a monthly basis in a format as prescribed by the WDD.

If the WDD determines during an on-site review that a provider did not provide adequate documentation to support a determination of initial or subsequent eligibility, or that performance and cost does not meet the performance levels established by the State, the WDD may remove the provider from the lists of eligibles to receive WIA funding for training services. The performance and cost information on all eligible providers shall be made available to the one-stop system.

Exceptions to the Policy

Providers of on-the-job (OJT) training or customized training are not subject to this policy or the certification system. However, one-stop operators in a local area are responsible for collecting performance information from OJT and customized training providers as the State may require. The one-stop operators must determine whether the providers meet the performance criteria established by the State and disseminate information identifying providers that meet the criteria as eligible providers, and the performance information, through the local one-stop delivery system.

- ▶ **On-the-Job Training:** The term OJT means training by an employer that is provided to a paid participant while engaged in productive work in a job that (1) provides knowledge or skills essential to the full and adequate performance of the job, (2) provides reimbursement to the employer of up to fifty percent of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training, (3) is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work history of the participant, and the service strategy of the participant, as appropriate, and (4) that is conducted with a commitment by the employer to employ individuals upon successful completion of the training.

- ▶ **Customized Training:** The term customized training means training (1) that is designed to meet the special requirements of an employer (including a group of employers), (2) that is conducted with a commitment by the employer to employ individuals upon successful completion of the training, and (3) for which the employer (or groups of employers) pays for not less than fifty percent of the cost of the training.
- ▶ **Eligible Youth Activities Providers:** Providers of youth activities are not subject to this policy or the certification system. LWIBs will identify eligible providers of youth activities by awarding grants or contracts on a competitive basis, based on the recommendation of the Youth Council and on the criteria contained in the State plan.

Required Application Elements

All applicants shall provide to the LWIB the information required by the standardized *Provider Application for Eligibility Under the Workforce Investment Act* (Form TPCS-1).

Application Submission and Timeline

Applications for eligibility determination shall be submitted to the LWIB of the local workforce investment area in which the provider of training services desires to provide training. Applications will be accepted throughout the year. A LWIB shall provide a written determination of acceptance or rejection to an applying entry within ninety calendar days of the receipt of the initial eligibility determination application.

LWIB staff or representatives shall, as determined reasonable by the LWIB, make an on-site visit to training provider sites for the purpose of confirming training provider initial eligibility application information.

LWIB policy shall determine the circumstances under which reconsideration of a denied application may be afforded to a provider that was denied initial eligibility determination. An entity whose application for certification was denied may reapply no sooner than six months after the written notice of denial.

Appeals

If a LWIB rejects an application for initial eligibility determination for a program of training service, the board must provide notice with a letter of rejection and the reasons for rejection as well as the availability of an appeal process.

- ▶ **Local Appeals:** Each LWIB shall develop a written appeal process. The procedure shall include an opportunity for a hearing, with a final written decision on the appeal to be provided within sixty days of the date of the LWIB's receipt of the request for appeal. A provider claiming that it was denied a hearing shall have the right to file a grievance.
- ▶ **State Level Appeals:** A WDD determination that a provider is not eligible to receive WIA funding may be appealed. The written request for an appeal must be received by the WDD within thirty days of the date of written notification to the provider of the determination of ineligibility. The appeal may be requested by the training provider or LWIB in the area in which the provider was applying for eligibility determination.

A hearing shall be conducted by the Director of the Alabama Department of Economic and Community Affairs or his designated representative, with a final written decision to be provided within sixty days of the WDD's receipt of the request for a hearing.

**Alabama Training Provider Certification System
Provider Application for Eligibility**

Please complete the attached Training Provider Application and the requested program and cost information tables, for each program you propose to provide, and submit your package to the Local Workforce Investment Board at the address listed below by the close of business on _____. A separate training provider application must be submitted for each program (WIA Section 122(2)(D)). If you are submitting more than one program of training, you only need to complete Sections I and II once. The information requested in this form is required in order for your application to be processed. If you fail to provide all of the information requested, your application will returned to you. If your program/course is certified by the local board, the information will be included in the Workforce Development Division's statewide list of WIA-certified training providers. A program of training is one or more courses or classes that upon successful completion leads to a certificate, an associate or baccalaureate degree, or skills and competencies recognized by employers.

If part of the information submitted is in a catalog or some other form not easily reproduced, submit four copies. Indicate by the appropriate item where in the package the information can be found. If you are currently providing a program as described below in Section III. T 2, submit program cost and performance information as indicated and return application to the LWIB at the address listed below:

Authorized Signature: By signing this application, I hereby certify that all information contained in this document, including any attachments, is accurate as of the date of submission. I further certify my understanding that any of the items included in the application or attachments, may be provided to the public as part of the WDD's statewide list of WIA-certified training providers. I also agree to cooperate with monitors from the LWIB, WDD, or U. S. Department of Labor if I am selected for an oversight review.

Certified By:

Signature of Authorized Official

Typed/Printed Name of Signatory

Signatory's Official Title

Date

**Alabama Training Provider Certification System
Training Provider Application**

Section I. Application Summary Information

- A 1. Local Workforce Investment Area: _____
- A 2. Provider's FICE Code: _____ Provider's FEIN: _____
- A 3. Provider's Name: _____
- A 4. Training Location (Physical Address):
Street: _____ County: _____
City/State: _____ Zip Code: _____
- A 5. Mailing address (if different from above):
Street/PO Box: _____ County: _____
City/State: _____ Zip Code: _____
- A 6. Main Telephone (if applicable): () _____ FAX: () _____
- A 7. Main E-mail Address: _____
- A 8. Administrative Contact: Name _____ Title _____
Phone: () _____ FAX: () _____ E-mail/Web Page: _____
- A 9. In order to be eligible to provide training and to receive WIA Title I funds, the organization must meet the requirements of WIA section 122. Please indicate if you are eligible for one or more of the following:
- A postsecondary institution that
 - is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965; and
 - provides a program that leads to an associate degree, baccalaureate degree, or certificate;
 - An entity that carries out programs under the National Apprenticeship Act; or
 - Another public or private provider of a program of training services.
- A 10. Attach a description of the specific geographical area where you propose to provide training services.
- A 11. Attach a description of how you plan to develop linkages with the local one-stop career center operator(s).
- A 12. Are students in this program/course eligible for Pell Grants under Title IV of the Higher Education Act of 1965 (as reauthorized in 1998)?
- Yes - Date certification granted by the Department of Education. mm ____ dd ____ yy ____
 - No - Is application pending with the Department of Education? Yes ____ No ____
- A 13. Is this an apprenticeship program registered with the U. S. Department of Labor's Bureau of Apprenticeship and Training?
- Yes - Date registered with the Department of Labor mm ____ dd ____ yy ____
 - No - Is application pending with the Department of Labor? Yes ____ No ____
- A 14. Attach a copy of your Alabama Business License.

Section II.**Provider Information**

P 1. Legal Name (if different from item A-3.) _____

P 2. Federal EIN: _____

P 3. Admission's Office Phone: () _____

P 4. Financial Aid Office Phone: () _____

P 5. Type of Provider (Check One):

Educational Institution:

College/University

2-Year State Tech./Comm. College

Local Education Agency/BOE

Not-for-Profit:

Community Based Organization

Other Public Not-for-Profit

Private Non-Profit

Private-for-Profit:

Sole Proprietorship

Corporation

Partnership

Other (Specify) _____

P 6. Attach a brief description (not to exceed 100 words) of the training facility or training provider.

P 7. Attach documentation of financial stability (refer to instructions).

The following information must be completed on every program/course for which you are seeking certification.

Section III.**Training Program Information**

T 1. Indicate the type(s) of targeted population you plan to serve:

- | | | | | | |
|---------------------|-----------------------|-----------------------------|-----------------------|----------------------|-----------------------|
| Youth (14-21) | <input type="radio"/> | Out-of-School Youth (14-21) | <input type="radio"/> | Adult (18+) | <input type="radio"/> |
| Older Youth (18-21) | <input type="radio"/> | Younger Youth (14-18) | <input type="radio"/> | Displaced Homemakers | <input type="radio"/> |
| Welfare-to-Work | <input type="radio"/> | Offenders | <input type="radio"/> | Homeless | <input type="radio"/> |
| Older Workers | <input type="radio"/> | Dislocated Workers (18+) | <input type="radio"/> | Incumbent Workers | <input type="radio"/> |
| TANF | <input type="radio"/> | Disabled | <input type="radio"/> | Other _____ | <input type="radio"/> |

T 2. Indicate the type(s) of training you plan to provide:

- Adult Literacy (in combination with other training service)
- Entrepreneurial Training
- Job Readiness Training
- Occupational Skills Training
- Registered Apprenticeship Program
- Skill Upgrading and Retraining
- Workplace Training (combined with related instruction; includes cooperative education program)
- Other _____

T 3. Type of Offering (check one):

- Course/Seminar/Workshop
- Certificate Program: Skill Set
- Certificate Program: Less than 1 full-time equivalent academic year
- Certificate Program: At least 1 but less than 2 full-time academic years
- Certificate Program: A least 2 but less than 4 full-time academic years
- Associate Degree
- Baccalaureate Degree
- Post-Baccalaureate Degree
- Registered Apprenticeship Program
- Other: Specify_

T 4. Attach a brief description (not to exceed 100 words) of the activity you propose to provide.

T 5. Attach a description (not to exceed 100 words) of the skills which will be acquired through the program of training.

T 6. Attach a list of occupations (O*NET) in which these acquired skills will provide entry-level employment.

T 7. Attach a description of employer input, if any, into the development of training curriculum.

T 8. Attach a description of minimum entry-level requirements (e.g. reading or math level, high school diploma or GED, other educational requirements) for enrollment.

T 9. Is this program/course designed to prepare the participant for certification or registration?

- Yes - If yes, list the type of certification or registration AND the name of the certifying or registering body:

Type _____ Name _____

- No

T 10. Is the program/course intended to prepare the participant for licensure?

- Yes - If yes, list the type of license AND the name of the licensing body:

Type _____ Name _____

- No

- T 11. If a non-credit program/course, are Continuing Education Units (CEUs) offered to successful program/course completers?
 Yes - If yes, number of CEUs earned: _____
 No
- T 12. Class Size: Maximum _____ Minimum _____ Average _____
- T 13. Student to instructor ratio: Student _____ to Instructor _____
- T 14. Attach information on the training instructor(s) qualifications.
- T 15. Attach a description of the equipment to be used.
- T 16. Detail Cost Information Below (per participant):

Tuition and Required Fees			Related Program Expenses		
Tuition (In-State)			Books		
Tuition (Out-of-State)			Equipment		
			Supplies		
			Tools		
			Uniforms		
	Specify Type	Cost		Specify Type	Cost
Required Fee			Other		
Required Fee			Other		
Required Fee			Other		
Required Fee			Other		
Required Fee			Other		
Required Fee			Other		
Required Fee			Other		
Required Fee			Other		
Required Fee			Other		
Total Tuition and Required Fee (should match information provided in A-9)			Total Program Expenses		

T 17. Attach an outline of the program/course curriculum criteria for "successful completion".

Section IV. Performance Data

Attach a description of the methodology used to collect and verify the performance data reported below.

- D 1. For each program/course you plan to provide, give the following verifiable performance information. Data should be based on all individuals participating in the applicable program during the most recent two year reporting period:**
- a. the program completion rate for all individuals participating in the applicable program conducted by the provider;**
 - b. the percentage of all individuals who obtained unsubsidized employment for all individuals participating;**
 - c. the percentage of all individuals who obtained unsubsidized employment in an occupation related to the training program/course for all individuals participating; and**
 - d. the average hourly placement wage of all individuals participating in the applicable program.**
- D 2. Give the following verifiable performance information for second and subsequent years as a provider of training services under the WIA for all participants who receive training at your institution/entity under Section 134 of WIA:**
- a. percentage of participants who have completed the applicable training program;**
 - b. percentage of participants who have been placed in unsubsidized employment;**
 - c. six-month retention rate for participants who have completed the applicable training course/activity and were placed in unsubsidized employment;**
 - d. average wage of participants who have completed the applicable training course/activity, six months after placement in unsubsidized employment; and**
 - e. where appropriate, the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skills, of the graduates of the applicable program.**

Section V. Additional Local Workforce Investment Board Requirements (if applicable)

**Alabama Training Provider Certification System
TPCS-1 Form Instructions - Provider Application for Eligibility
Under the Workforce Investment Act (WIA)**

General Information	
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A separate application (TPCS-1) is required for each program/course. In addition, if applying for a given program/course to be offered at different training sites, a separate application is required for each training location. The form is available from the Workforce Development Division (WDD) of ADECA. If submitting multiple programs/courses for certification, Sections I and II of the application form should be completed only once.

Section I.	Application Summary Information
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All items in Section I are required in order for the application to be processed. This information may be used to compile the statewide list of training providers certified as eligible to receive funding under the Workforce Investment Act. Any/all application information may appear in the statewide list of eligible training providers and the ADECA Internet Web Site. Forms may also be obtained from Local Workforce Investment Boards. A catalog or alternative form may be used to provide required information. If used, please indicate the page number or section in which the information may be found. **If a catalog or some other form not easily reproduced is used, submit four copies.**

- | | |
|------------------|--|
| A 1. LWIA | The Local Workforce Investment Area in which the provider is applying for consideration to be certified as an approved training provider under the Workforce Investment Act of 1998. NOTE: It is suggested that this item be pre-filled by LWIB staff prior to issuing the application. |
|------------------|--|
- | | |
|---|--|
| A 2. Provider's FICE Code and FEIN | For the location where the training program will be offered, enter the Six-digit Federal Interagency Commission on Education (FICE) Code and Federal Employer Identification Number. |
|---|--|
- | | |
|-----------------------------|---|
| A 3. Provider's Name | Name under which the institution, organization or individual operates as a provider of training services. NOTE: This is the name that will be displayed on the Alabama statewide list of WIA-certified training providers. |
|-----------------------------|---|
- | | |
|---|---|
| A 4. Training Location (Physical Location) | The physical address at which training services will be offered. Include street address, city, county, state, and zip code. |
|---|---|
- | | |
|-----------------------------|--|
| A 5. Mailing Address | If different from item A-4, enter the provider's mailing address. Include street address or P. O. Box number, city, county, state, and zip code. |
|-----------------------------|--|
- | | |
|--|---|
| A 6. Main Telephone/ FAX Number | The main phone number for the institution, organization or individual applying. |
|--|---|
- | | |
|--|--|
| A 7. Main E-mail address and Web page | The primary, general e-mail address and web page for the institution, organization or individual applying (if applicable). |
|--|--|
- | | |
|------------------------------------|--|
| A 8. Administrative Contact | Individual who is the primary contact for questions regarding the application and supporting documentation. Include name, title, phone and fax number, and e-mail address (if applicable). |
|------------------------------------|--|
- | | |
|--|---|
| A 9. Eligible to Provide Training | Indicate each category that applies to your organization/institution. |
|--|---|
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| A 10. Geographical Area | Attach a description of the area(s) of the state that your organization/institution plans to offer training programs/courses. Label "Item A 10." |
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- A 11. Linkages** Attach a description of your plan for establishing linkages with the local area one-stop career center operator. Label as "A 11."
- A 12. Pell Grants** Indicate if your organization/institution has been approved by the U. S. Department of Education for Pell Grant eligibility. Indicate date of approval or status of application for eligibility.
- A 13. Apprenticeship Program** Indicate if your organization/institution is offering an apprenticeship training program/course approved by the U. S. Department of Labor's Bureau of Apprenticeship and Training. Include date of approval or status of application.
- A 14. Alabama Business License** Attach a copy of your current Alabama Business License.

Section II.	Provider Information
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- P 1. Legal Name** If different from item A 3., provide the legal name of the applying entity.
- P 2. Federal EIN** Federal tax identification number.
- P 3. Admission Office Phone** Phone number for the admissions office or contact, if applicable.
- P 4. Financial Aid Office Phone** Phone number for the financial aid office or contact, if applicable.
- P 5. Type of Provider** Check the single category that best describes the applicant. If other, specify.
- P 6. Training Facility or Provider** Include a brief description of the training facility or training provider for which the application is being submitted. Not to exceed 100 words. Attachment should be labeled "Item P 6."
- P 7. Documentation of Financial Stability** Documentation of financial stability may include recent audit or financial statements. The LWIB is responsible for identifying their local protocol for documentation and submission requirements. Documentation to be attached and labeled "Item P 7."

Section III.	Training Program Information
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- T 1. Target Population** Indicate the type(s) of target population you plan to serve in your program/course.
- T 2. Program Category** Check the single category that best describes the program category for the program/course to be considered. If "other", specify.
- T 3. Type of Offering** Check the single category type that best describes the program category for the program/course to be considered. If "other", specify.
- T 4. Activity** Attach a brief description of the activity you plan to provide. Not to exceed 100 words. Label the attachment as "Item T 4."
- T 5. Skills to be Acquired** Attach a brief description of the skills to be acquired during enrollment. Not to exceed 100 words. Label the attachment as "Item T 5."
- T 6. Occupations** Attach a list of occupational codes, using *The Occupational Information Network* (O*NET), that training program/course will prepare a participant for entry-level employment. Label the attachment as "Item T 6."

T 7. Employer Input	Attach a description of any employer input that was considered in the development of the program/course. Label the attachment as "Item T 7."
T 8. Minimum Enrollment Requirements	Attach a description of minimum entry-level requirements for enrollment. Not to exceed 100 words. Label the attachment as "Item T 8."
T 9. Certification/Registration	Indicate if this program/course is designed to prepare the participant for certification or registration. If applicable, indicate the type of certification or registration and the name of the certifying or registering body.
T 10. Licensure	Indicate if the program/course is intended to prepare the participant for licensure. List the type of license and the licensing body.
T 11. CEUs	Indicate if the program/course offer Continuing Education Units (CEU).
T 12. Class Size	Indicate the maximum, minimum and average class size of the program/course.
T 13. Student/Instructor Ratio	Indicate the student/instructor ratio.
T 14. Qualifications	Attach a description of the trainers/instructor's qualifications. Not to exceed 100 words. Label the attachment as "Item T 14."
T 15. Equipment	Attach information on the equipment to be used in program/course. Not to exceed 100 words. Label the attachment as "Item T 15."
T 16. Cost Information	Include only amounts required, per participant, of all programs.
T 17. Program/Course Outline	Attach the curriculum outline for the program or course to be considered. Include criteria used to determine "successful completion" of the program/ course. Label the attachment as "Item T 17." Two and four-year institutions may attach a copy of a current catalogue/list of course/program offerings. Any information required by this form that is not addressed in the catalogue must be attached as supplement to the application form.

Section IV:	Performance Data
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Methodology	Attach a description of the methodology used to collect and verify the performance information reported in items D 1. - D 2. Identify the attachment as "Item D."
D 1. Program Information (All Individuals)	Data should be based on all individuals participating in the applicable course/program during the most recent two year reporting period.
D 2. Performance (All Participants)	Data should be based the number of participants receiving training at your institution/entity under WIA during past two years. (This information is not required during the initial application period).

Section V.	Local Workforce Investment Board Requirements (if applicable)
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LWIB Requirements	List any additional application elements that may be required by the Local Workforce Investment Board.
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**Alabama Training Provider Certification System
Provider Certification**

All providers seeking certification under the Workforce Investment Act (WIA) must submit a signed Provider Certifications/Assurances Form (TCPS-3). The completed certifications/assurances form, the provider certification form, along with the training provider application(s), should be submitted to the appropriate Local Workforce Investment Board.

By having a signed Provider Certifications/Assurances Form on file with the LWIB, the provider's certifications and assurances shall apply to any and all applications for initial or subsequent eligibility determination that are submitted to the LWIB. This does not preclude a given LWIB from requiring additional assurances as part of their local application requirements.

The signed Provider Certifications/Assurances Form should be forwarded to the LWIB at the address listed below:

Questions regarding local application requirements should be directed to LWIB(s) in the area(s) in which the provider is applying for consideration to be certified as an approved training provider under WIA.

Provider Name:

Mailing Address/Street:

P. O. Box:

City/State/County/Zip Code:

Telephone/FAX Number:

E-Mail/WEB Page Address:

Provider's U. S. Department of Education Title IV School Code (if applicable):

Provider's FICE Code (if applicable):

Administrative Contact Person:

Mailing Address/Street:

City/State/County/Zip Code:

Telephone/FAX Number:

E-Mail/WEB Page Address:

LWIB Office Use Only

Date Received by LWIB:

Date Approved by LWIB:

Date Data Entered:

Data Entered by:

Authorized Signature:

**Alabama Training Provider Certification System
Provider Certifications/Assurances Form**

Debarment, Suspension, and Other Responsibility Matters: These certifications/assurances are required by Federal Regulations, implementing Executive Order 12549, Government-wide Debarment and Suspension, for the Department of Agriculture (7 CFR Part 3017), U. S. Department of Labor (29 CFR Part 98), Department of Education (34 CFR Part 85), and Department of Health and Human Services (45 CFR Part 76).

- (1) Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency;**
- (2) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or Local) transaction or contract under a public transaction, violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;**
- (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity with commission of any of the offenses enumerated in Paragraph (2) of this section; and**
- (4) Have not within a three-year period preceding this application had one or more public transactions terminated for cause or default.**
- (5) Parties to this agreement certify to the best of their knowledge and belief that information contained in the attached application(s) is true and correct and that the agreement(s) has been duly authorized, as attested to by the authorized signatories, and that the authorized signatories will comply with the assurances.**
- (6) As a condition to the award of financial payment of WIA Title I funds the training provider assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:**
 - ▶ Section 188 of the WIA of 1998, which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I-financially assisted program or activities; and**
 - ▶ Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis of age; and**
 - ▶ Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; and**
 - ▶ The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and**
 - ▶ Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.**

The training provider also assures that it will comply with 29 CFR part 37 and all other laws listed above. The grant applicant also understands that the United States has the right to seek judicial enforcement of this assurance.

- (7) The Americans with Disabilities Act of 1990, Title II, Subtitle A.**
- (8) The OSHA work place requirements.**
- (9) The ADECA Audit Policy**

- (10) Prohibition on assistance for facilities for sectarian instruction or religious worship - Participants may not be employed under WIA Title I to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing services to participants).**
- (11) Prohibition on discrimination on basis of participant status - No person may discriminate against an individual who is a participant in a program or activity that receives funds under WIA Title I, with respect to the terms and conditions affecting, or rights provided to, the individual, solely because of the status of the individual as a participant.**
- (12) Prohibition on discrimination against certain non-citizens - Participation in programs and activities or receiving funds under WIA Title I shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States.**

20 CFR Part 667.266 (a): WIA Title I funds may not be spent on the employment or training of participants in sectarian activities.

WIA Section 184 (f): If the Secretary determines that any recipient under WIA Title I has discharged or any other manner discriminated against a participant or against any individual in connection with the administration of the program involved, or against any individual because such individual has filed any complaint or instituted or caused to be instituted any proceeding under or related to WIA Title I, or has testified or is about to testify in any such proceeding or investigation under or related to WIA Title I, or otherwise unlawfully denied to any individual a benefit to which that individual is entitled under the provisions of WIA Title I or the Secretary's regulations, the Secretary shall, within 30 days, take such action or order such corrective measures, as necessary, with respect to the recipient or the aggrieved individual, or both.

By signing, the applicant certifies it will comply with all other regulations implementing the laws cited above. This assurance applies to the applicant's operation of the WIA Title I-financially assisted program or activity. The applicant understands that the USDOL, the Workforce Development Division of ADECA, and/or the Local Workforce Investment Board(s) have the right to seek judicial enforcement of this assurance.

Education Standards and Procedures: The undersigned applicant certifies that it shall comply with the provision outlined the Workforce Investment Act of 1998 (Section 195(9)(B): except as otherwise provided in this Title (WIA Title I), the following conditions are applicable to all programs under this Title: standards and procedures with respect to awarding academic credit and certifying educational attainment in programs conducted under such chapter shall be consistent with the requirements of applicable State and local laws, including regulation.

Documentation of Financial Stability: The undersigned applicant certifies that it shall comply with the fiscal procedures (WIA Statewide Fiscal Procedures Manual) developed by the Workforce Development Division of ADECA with regard to providing documentation of financial stability. As part of their local application requirements, Local Workforce Investment Boards are to specify their local protocol for documentation and submission requirements.

Reporting Requirements: The undersigned applicant certifies that it shall comply with the provisions of Section 122 of the Workforce Investment Act of 1998, the Workforce Development Division's policies and the reporting and procedural requirements.

Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this certification, such prospective recipient shall attach an explanation to this certification.

The undersigned authorized representative of the applicant herein certifies that the statements above pertaining to Debarment, Suspension and Other Responsibility Matters; Nondiscrimination; Education Standards and Procedures, Documentation of Financial Stability and Reporting Requirements are true and correct as of the date of submission.

By signing, the authorized representative acknowledges that this Provider Certifications/Assurances Form applies to any and all applications for initial or subsequent eligibility determination submitted to any and all Local Workforce Investment Boards (LWIBs). This does not preclude a given LWIB from requiring additional assurances as part of their local application requirements.

Certified By: _____
Signature of Authorized Official

Typed/Printed Name of Signatory

Signatory's Official Title

Provider Name

Date (mm/dd/yy)

