

## CATAWBA WIA INSTRUCTION PY06-003

**TO:** All PY'06 WIA Contractors

**SUBJECT:** Catawba Workforce Investment Area Sanctions Policy

**ISSUANCE DATE:** November 20, 2006

**EFFECTIVE DATE:** Immediately

**EXPIRATION DATE:** Indefinite

### **BACKGROUND:**

Performance standards are established by the Catawba Regional Workforce Investment Board in accordance with the Workforce Investment Act of 1998. A comprehensive performance accountability system has been created that includes performance standards to measure employment, retention, earnings, as well as attainment of credentials or diploma, attainment of skills and customer satisfaction. The sanctions policy provides procedures for imposing sanctions in progressive steps when there is a continued noncompliance with the terms of the contract, statement of work, and the Workforce Investment Area's requirements.

### **PURPOSE:**

The purpose of this policy is to issue sanction procedures that will be applied to overall contractor performance. Contractors will be evaluated on their ability to meet the required registrant plan, performance measures and data reporting as outlined in the contracts.

### **POLICY:**

Each contract will contain the guidelines for contractors to successfully provide WIA services. These guidelines will include the following:

1. **Registrant Plan** - The actual number of WIA customers registered in the program is less than 50% of the contract plan by the end of first quarter.
2. **Performance Measures** - The minimum goal the contractor must meet for each appropriate WIA performance measure will be included in the contract. The goal rates will be adjusted each year based on levels negotiated with the State.
3. **Spending Plan** – The spending is less than 80% of the required amount planned for each quarter.

4. **Data Reporting** – The contractors reporting of VOS data will be evaluated. This evaluation will be based on: (1) errors and the number/frequency of change notices submitted; (2) timeliness of entering case notes and (3) adherence to the SC VOS Manual and local policy. Additionally contractors will be evaluated on their responsiveness to providing any other reporting as requested by the Administrative Entity.

The contractors overall performance will be evaluated using the above criteria. If performance is unsatisfactory, contractors will face sanctions in accordance with the following:

1. **Verbal Notification** – Once a problem with the contractor’s performance in any of the areas listed above is observed, the Administrative Entity will verbally notify the Program Manager of the pending actions if issues are not rectified in accordance with contractual obligations. **The contractor will be given 60 days to rectify the problem.**
2. **Written Notification** – Failure to correct the circumstances warranting verbal notification will result in a written notice being sent to the signatory official. This notice will require a **written** response to include the corrective action taken and the timelines for resolving the problem. **The written corrective action should be submitted to the Administrative Entity within 45 days from the receipt of the written notice.** A report of this matter will be presented to the Youth Council relative to youth contractors, and to the LWIB’s One-Stop Committee relative to adult and dislocated worker contractors.
3. **Probationary Status** – If the corrective action plan submitted is not sufficient or the problem is not resolved, the contractor will be placed on probation. The probation will include a specific deadline in which to have the deficiencies/problems resolved. The probation will also stipulate that if the problem is not resolved prior to the specified deadline a recommendation to terminate the contract will submitted to the LWIB.
4. **Termination of Contract** – If the problem continues after the above sanctions have been applied, the contract will be terminated.

The administrative entity reserves the right to administer the above sanctions based on the severity of the area of non-performance and may initially institute a higher-level sanction if it is in the best interest of the Catawba Workforce Investment Area.

At any time during the sanctioning process, the contractor may request technical assistance to clarify WIA regulations, local policy, and instructions.

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Robert A. Barber, Administrator  
Catawba Workforce Investment Area

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Date