

WIA HANDBOOK

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Introduction

This Handbook is intended to assist providers of employment and training services in implementing the federal Workforce Investment Act (WIA) of 1998. Implementation of WIA is required no later than July 1, 2000.

Workforce Investment Act Background

The Workforce Investment Act of 1998 represents a national consensus on the need to restructure a multitude of workforce development programs into an integrated Workforce Development Center system that can better respond to the employment needs of its customers. Although Iowa started down this path with the implementation of state workforce development legislation in 1996, the Act places Iowa in the unique position to enhance the system we have been developing the past two years.

The Workforce Investment Act continues to provide resources to help address the workforce development needs and priorities of the local region. In addition, the Act specifies 19 employment and training programs that must be made available through the Workforce Development Center system, and identifies another five programs whose partnership in the Workforce Development Center system would help maximize utilization of the system's resources and increase customer choice. Implementing WIA will make more services accessible through Iowa's Workforce Development Center system, including vocational rehabilitation services; financial aid services for higher education; adult literacy programs; employment and training programs for older adults; migrant worker services; and Job Corps.

The most important aspect of the Act is its focus on meeting the needs of business for skilled workers, and the training, education, and employment needs of individuals. Key components of the Act will enable customers to easily access the information and services they need through the "One-Stop" Workforce Development Center system; empower adults to obtain training they find most important through Individual Training Accounts; and ensure all State and local programs meet customer expectations.

The Workforce Investment Act of 1998 takes a multi-tiered approach to the delivery of workforce development services. With the implementation of the Act, JTPA sunsets, and a new program is created for the delivery of adult, dislocated worker, and youth services. WIA capitalizes on the "One-Stop" service delivery concept by incorporating it as a required component, and designating specific providers of workforce development services as required partners in the system. The Act mirrors the 1996 Iowa law by establishing an entity to coordinate the service providers and the delivery of services through our Workforce Development Center system.

The Local Elected Officials and Regional Workforce Investment Board have responsibility for the programs funded by WIA. In addition, they now have responsibility for the oversight of the

Workforce Development Center system across the region and establishing the needs and priorities of its customers. They must also select the entity(ies) that will coordinate the delivery of services within the region between a multitude of partners. These components of program oversight, system and policy design, and coordination of services demonstrate a significant shift in philosophy from previous employment and training legislation.

Vision

Under WIA, the vision for Iowa's Workforce Development Center system is to provide an efficient, effective and convenient system for:

- Job-seekers to find jobs;
- Employers to locate new workers; and

Job seekers and employers to access information that will assist them in developing their career and business plans.

When a job seeker enters a Workforce Development Center, that individual will be able to use resource center tools to assess his or her skills and access information about job openings for which he or she is qualified. These services will be available to any job seeker, regardless of income level or employment status. Any job seeker will also be able to utilize resource center assistance to develop a resume, improve job hunting skills, learn how to file an unemployment insurance claim, and get information about employment training programs' cost and performance. These are some of the center's **WIA core services**.

If after utilizing WIA core services, an individual cannot obtain a job, or if the job obtained does not result in financial self-sufficiency, he or she may be eligible for the center's **intensive services** under WIA or other programs. Examples of such services include individual career counseling, job seeking skills classes, skills assessment, and job development assistance.

If the use of intensive services does not result in a job that makes a low-income household self-sufficient, low-income individuals may qualify for training funds and services through the Workforce Development Center System Partners. At least a portion of a region's WIA training funds will be targeted to help individuals obtain skills that are in high demand in the area. Labor market information, coupled with input from area businesses, will be used to identify high-demand skills. An individual receiving WIA funds for training could select which training provider he or she wanted to use, after reviewing cost and performance information for various training providers. This information would be available at the One-Stop Center.

Federal WIA funds will be allocated to each region to help pay for providing WIA core services. The Regional Workforce Investment Board (RWIB) will choose the entity or entities that will receive WIA funds to provide intensive services in the Workforce Development Center. A Youth Advisory Council appointed by the RWIB in cooperation with the CEO board, will be involved in selecting who will receive WIA funds to provide services for youth in the region. The agencies being required by WIA to make their services available through the Workforce Development Center system are already receiving federal funds to provide many of same core services WIA must provide. As a result, those agencies must: 1) contribute resources to support the operation of the Workforce Development Center system, and; 2) provide core services through the Workforce Development Center system.

The CEO board and RWIB will jointly certify a “One-Stop Center Operator.” In Iowa, the One-Stop Center operator is called the Coordinating Service Provider (CSP). If the CEO board and RWIB choose not to utilize the current CSP, they may select a single entity or a consortium of agencies or organizations. The CSP will be responsible for coordinating the delivery of employment and training services through the Workforce Development Center by the various agencies that are required to be Workforce Development Center System Partners under WIA.

Definitions

Academic Learning Services – Youth activities such as:

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- Tutoring, study skills training and instruction leading to completion of secondary school, including dropout prevention strategies;
- Alternative secondary school service;
- Leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social behaviors during non-school hours;
- Adult mentoring primarily provided to assist youth in achieving academic success; and
- Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, primarily provided to assist a youth in achieving academic success.

Administrative Cost Pool -- An administrative cost center, created by combining administrative funds from different programs or titles, to which administrative costs are charged.

Administrative Records -- A category of supplemental follow-up information that includes information obtained from an individual during case management or post-program services.

Adult -- Any individual who is 18 years of age or older. **NOTE:** *An individual age 18 through 21 may be enrolled in both the Adult and Youth Programs.*

Adult Education -- Services or instruction below the postsecondary level for individuals who have attained 16 years of age and are not enrolled or required to be enrolled in secondary school under State Law, and who:

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- Lack sufficient mastery of basic educational skills to enable the individual to function effectively in society; or
- Do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
- Are unable to speak, read, or write the English language.

Advanced Training -- An occupational skills employment/training program, not funded under Title I of WIA or one-stop partners, that does not duplicate training received under WIA. **NOTE:** *This training does not include training programs that lead to an academic degree (e.g., AA, AS, AAS, BA, BS). This term applies to the current WIA younger youth measures only; it does not apply to the common measures.)*

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Advanced Training/Occupational Skills Training – To count as a placement for the Youth common measures, advanced training constitutes an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Such training should: 1) be outcome-oriented and focused on a long-term goal as specified in the Individual Service Strategy; 2) be long-term in nature and commence upon program exit rather than being short-term training that is part of services received while enrolled in ETA-funded youth programs and 3) result in attainment of a certificate as defined in this Section.

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Alternative School --A specialized structured curriculum offered inside or outside of the public or non-public school system, which provides work-study, GED preparation or high school diploma.

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Apprenticeship – Refer to definition of Qualified Apprenticeship.

Assessment -- A formal or informal process utilizing interviewing, counseling or testing to determine an individual's employability, aptitudes, skills, abilities, interests and general health to develop a plan to achieve the individual's employment and related goals.

Attachment to the Workforce -- A term used for determining the eligibility of dislocated workers who are not eligible for unemployment compensation. Attachment to the workforce is demonstrated if an individual has been employed at least 26 of the last 52 weeks.

Basic Education Skills Training -- Instruction normally conducted in an institutional setting and designed to upgrade basic education skills and prepare the individual for further training, future employment or retention in present employment.

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Basic Skills -- Basic education skills including reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning and the capacity to use these skills in the workplace.

Basic Skills Deficient -- An individual who:

- Computes or solves problems, reads, writes or speaks English at or below the eighth grade level or
- Is unable to compute or solve problems, read, write or speak English at a level necessary to function on the job, in the individual's family or in society.

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Case Management -- A participant-centered approach to the delivery of services designed:

- To assure participants have completed a thorough Objective Assessment;
- To prepare and coordinate comprehensive employment plans, such as service strategies, with participants to ensure access to necessary workforce investment activities and support services, using where feasible, computer-based technologies;
- To provide job and career counseling during program participation and after job placement;
- To include the process of case management that begins with the initial meeting and is ongoing throughout an individual's participation in WIA and must be clearly documented in participant case notes.

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Case Notes – This is the narrative documentation of a participant's WIA activities and interactions with the case manager and partner agencies. Case notes will allow the case manager to summarize and

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track the participant's progress to the stated goal. The notes should be comprehensive enough that anyone will be able to understand the goals and objectives and the progress that has been made toward the goals.

Certificate – A document that is awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. Certificates awarded by workforce investment boards are not included in this definition. Work readiness certificates are also not included in this definition. A certificate is awarded in recognition of an individual's attainment of technical or occupational skills by:

- A state educational agency or a state agency responsible for administering vocational and technical education within a state.
- An institution of higher education described in Section 102 of the Higher Education Act (HEA) that is qualified to participate in the student financial assistance programs authorized by Title IV of that Act. This includes community colleges, proprietary schools and all other institutions of higher education that are eligible to participate in federal student financial aid programs.
- A professional, industry or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skills, Inc., Machining Level I credential) or a product manufacturer or developer (e.g., Microsoft Certified Database Administrator, Certified Novell Engineer, Sun Certified Java Programmer) using a valid and reliable assessment of an individual's knowledge, skills and abilities.
- A registered apprenticeship program.
- A public regulatory agency, upon an individual's fulfillment of educational, work experience or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., Federal Aviation Administration [FAA] aviation mechanic certification, state certified asbestos inspector).
- A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons.
- Job Corps centers that issue certificates.
- Institutions of higher education which are formally controlled or have been formally sanctioned or chartered by the governing body of an Indian tribe or tribes.

Chief Elected Official (CEO) Board -- The units of local government joined through a 28E agreement for the purpose of sharing liability and responsibility for the WIA-funded programs.

Citizen -- Refer to "Citizenship Status."

Citizenship Skills -- Skills and qualities such as teamwork, problem-solving, self-esteem, initiative, leadership, commitment to life-long learning or an ethic of civil responsibility that are characteristic of productive workers and good citizens.

Citizenship Status -- Designation of an applicant as a citizen or "eligible non-citizen" whose status permits permanent employment in the United States. For WIA record keeping purposes, "eligible non-citizen" includes:

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- Nationals of the United States;
- Lawfully admitted permanent resident aliens;
- Lawfully admitted refugees and parolees;
- Other individuals authorized by the Attorney General to work in the United States.

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Co-Enrolled Participant -- An individual who participates in more than one program, including non-WIA funded programs.

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Common Measures – In order to compare performance for programs with similar goals, common measures were developed by the Department of Labor (DOL) Employment and Training Administration (ETA). Common measures describe the core purposes of the workforce system, for example, how many people found jobs; did they stay employed; and what did they earn. Common measures are being tracked for the WIA program, the Wagner-Peyser employment services, the VETS programs and the Trade Adjustment Assistance (TAA) program.

Community-Based Organization -- A private, nonprofit organization that is representative of a community, or a significant segment of a community, that has demonstrated expertise and effectiveness in the field of workforce investment.

Completed WIA Services -- A participant's WIA goals, as established in his or her Individual Employment Plan (IEP) or Individual Service Strategy (ISS), were completed and the participant is no longer receiving WIA or partner services, excluding follow-up (post-program) services.

Conflict of Interest -- A situation, real or apparent, in which individuals -- including board and council members who are in a decision-making capacity, their immediate family, their partner(s), their employers or employers of any of the above, or organizations which they represent -- may benefit from decisions or actions which those individuals may control or influence.

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Coordinating Service Provider (CSP) -- The entity or consortium of entities selected by the RWIB and the CEO board to coordinate systems within the Workforce Development Center. In Iowa, the One-Stop Operator is called the Coordinating Service Provider. The Coordinating Service Provider is one of the Workforce Development Center System Partners.

Core Services – Also refer to the definitions of “Self-Service Core Services” and “Staff-Assisted Core Services” in this section.

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- Determination of eligibility for WIA Title I Programs;
- Outreach, intake and orientation to the information and services available through the Workforce Development Center system;
- Initial assessment (basic assessment) of skill levels, aptitudes, abilities, and support service needs, not to be confused with Objective Assessment, which is more intense;
- Job search and placement assistance, and where appropriate, career counseling;
- Provision of labor market information (LMI), including job vacancy listings, the skills necessary to obtain those jobs and information relating to local occupations in demand and the earnings and skill requirements for those occupations;

- Performance information and program cost information on eligible providers of training services;
- Information on how the region is performing on the WIA performance measures and the overall Workforce Development Center system measures;
- Accurate information relating to the availability of support services, including child care and transportation in the region and referral to such services, as appropriate;
- Information regarding filing claims for unemployment compensation;
- Assistance in establishing eligibility for financial aid assistance for training and education programs;
- Resource room usage; and
- Post-program services, including counseling regarding the workplace for participants who are placed in unsubsidized employment.

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Court-Adjudicated youth --An unmarried individual under the age of 18 years of age who has been declared by a court to be a “child in need of assistance” as defined in Chapter 232.2(6) of the Iowa Code. Foster children are included in this definition.

Credential -- A national, state or locally recognized degree or certificate. Credentials include, but are not limited to, a high school diploma, GED or other recognized equivalents, post-secondary degrees or certificates, recognized skill standards and licensure or industry-recognized certificates. All Iowa Department of Education-approved programs and credentials recognized by other Iowa State Boards are included.

The following certifications are also recognized as credentials:

- RWIB and Employer certification of skills attained through an On-the-Job (OJT) training contract;
- RWIB and Trainer certification of skills attained through a customized training program;
- RWIB Certification of Work Readiness Skills (for older youth only).

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Certificates of Completion or Certificates of Attendance are not included in the definition of credential.

Note: This term applies to the current WIA statutory adult, dislocated worker and older youth measures only. It does not apply to the common measures or to any person that began participation after July 1, 2006.

Customized Training -- Training that:

- 1) Is designed to meet the special requirements of an employer or group of employers;
- 2) Is conducted with a commitment by the employer(s) to employ an individual upon successful completion of the training; and
- 3) Not less than 50 percent of the cost of the training is paid by the employer(s).

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Date of Actual Qualifying Dislocation -- The last day of employment at the job of dislocation for Dislocated Workers. **NOTE:** *If a Dislocated Worker is still employed at the time of enrollment, this item must be updated once the qualifying dislocation takes place.*

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Date of Enrollment/Participation – Following the completion of the eligibility determination, the date an individual begins a WIA-funded activity or service.

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Date of WIA Exit -- The last day on which an individual received a service funded by the WIA program or a partner program. The date of exit establishes the exit quarter from which most program outcomes or performance standards are keyed. (*see also Soft Exit.*)

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Diploma – Any credential that the state education agency accepts as equivalent to a high school diploma. The term diploma also includes post-secondary degrees such as Associate of Arts (AA), Associate of Science (AS), Associate of Applied Science (AAS), Bachelor of Arts (BA) and Bachelor of Science (BS).

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Direct contact -- Direct contact is defined as an exchange of information. Direct contact may be either in person, by telephone, by e-mail or regular mail provided there is a conversation or interaction between staff and the participant documented in the case file.

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Disability – As defined by Social Security Administration, the inability to engage in any substantial gainful activity due to a medically determined physical or mental impairment that is expected to last at least 12 months or result in death. (See also <http://www.socialsecurity.gov/disability/>)

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Dislocated Worker (DW) -- An individual meeting the eligibility criteria for staff-assisted core, intensive and training services under the Dislocated Workers Program. Refer to the Eligibility for WIA Title 1 Programs section of this Handbook for complete eligibility criteria for Dislocated Workers.

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Dislocated Worker Unit (DWU) – The unit within Iowa Department of Workforce Development that administers the WIA Dislocated Worker program and statewide Rapid Response activities.

Displaced Homemaker -- (Federal definition for WIA) An individual who has been providing unpaid services to family members in the home and who:

- 1) Has been dependent on the income of another family member but is no longer supported by that income; and
- 2) Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Dropout -- Refer to "School Dropout"

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Early Intervention Grants (EIG) – Early Intervention Grants, funded through Rapid Response, are used to assist regions impacted by singular business closings and mass layoffs, resulting in 30 or more dislocations to immediately respond to the needs of the dislocated workers. The use of Early Intervention Grant funds should only provide for these immediate needs and prepare for additional participant services that will be funded by formula funds, a National Emergency Grant (NEG) for dislocations resulting in enrollment of 50 or more, State Emergency Grants (SEG) that result in 10 or more enrollments to a maximum of 49 enrollments or Trade-related dislocations of 30 or more. (*For additional information refer to Section 40 – Grants.*)

Economic Development Agencies (EDA) -- Agencies and institutions responsible for regulating, promoting or assisting in local economic development, including local planning and zoning commissions or boards and community development agencies.

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Education Status (at time of participation) -- A WIA reporting item that is used for determining whether a youth is "in-school" or "out-of-school." For definitions, see "In-school Youth" and "Out-of-School Youth."

Education/Training Expenses – The costs of tuition, books and fees.

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Educational Gain – At post-test, the youth completes or advances one or more educational functioning levels measured on entry into the program in the pre-test.

Eligible Training Provider -- A training provider that has been certified by a Regional Workforce Investment Board as eligible to receive WIA funds to provide a program of training services to eligible adults and dislocated workers.

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Employed at the Date of Participation – An individual employed at the date of participation is one who:

- Did any work at all as a paid employee on the date participation occurs. The individual is not considered employed if: 1) he or she has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close; or 2) he or she is a transitioning service member;
- Did any work at all in the individual's own business, profession or farm;
- Worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family; or
- Was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, a labor-management dispute or personal reasons, regardless of whether paid by the employer for time off and regardless of whether seeking another job.

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Employed in the Quarter After the Exit Quarter – The individual is considered employed in a quarter after the exit quarter if wage records for that quarter show earnings greater than zero. When supplemental data sources are used, individuals should be counted as employed if, in the calendar quarter of measurement after the exit quarter, they did any work at all as paid employees, (i.e., received at least some earnings) worked in their own business, profession or worked on their own farm.

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Employed in the Second and Third Quarter After the Exit Quarter – The individual is considered employed if wage records for the second and third quarter after exit show earnings greater than zero. Wage records will be the primary data source for tracking employment in the quarters after exit.

When supplemental data sources are used, individuals should be counted as employed if, in the second or third calendar quarter after exit, they did any work at all as paid employees, worked in their own business, profession or worked on their own farm.

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Employment Goal (Requirement of IEP) -- A job in an occupation or occupational cluster/career pathway, or the attainment of job specific skills or employability enhancements, which is targeted as the ultimate objective for a participant's training under WIA.

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English as a Second Language (ESL) – An intensive service to address English language deficits to enhance employability. ESL is not restricted to the 26 week limitation for the SUG activity.

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Enrollment Date – Refer to “Date of Enrollment.”

Entrepreneurial Training (ENT) -- Training to assist participants in acquiring the skills, knowledge and abilities necessary to successfully establish and operate their own self-employment business or enterprise.

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Exchange of Information – A conversation or interaction between staff and the participant that may be in person, by telephone, e-mail or regular mail that is documented in the case file. See also “direct contact.”

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Exclusions from Performance Measures – A participant in any of the following categories may be excluded from performance measures:

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- Institutionalized;
- Health/Medical or Family Care;
- Deceased;
- Reserve Forces Called to Active Duty;
- Relocated to a Mandated program; or
- Invalid or Missing Social Security Number.

For additional information on exclusions from performance measures, refer to Section 20, Outcomes

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Exit – A program exit occurs when a participant does not receive a service funded by the program or funded by a partner program for 90 consecutive calendar days and is not scheduled for future services.

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Exit Codes – When a participant, in certain circumstances, is excluded from common measures, exit codes to be entered are listed in Section 20. See also Section 20.

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Exit Date -- The last date on which an individual received planned WIA Title I funded or partner services, excluding post-program services. (See Date of WIA Exit.)

Exit Quarter - The calendar quarter in which a WIA participant's date of exit falls. **NOTE:** *Program outcomes or performance standards are keyed to the exit quarter.*

Family -- Refer to "Family Size Determination" definition.

Family Income (Annualized) -- All cash receipts (before taxes) actually received from all sources by all members of the family during the six months immediately prior to application, multiplied by two. For purposes of determining family income:

- 1) Inclusions are:
 - a) Gross wages, salaries, and vacation pay actually received, including OJT wages;
 - b) Self-Employment Income (Refer to the definition of "Self-Employment Income" in this definitions section);
 - c) Profit sharing payments made by an employer at the time they are paid to the employee;
 - d) Social Security Title II – Disability Insurance Payments;
 - e) Payments from Railroad Retirement;
 - f) Payments from strike benefits from union funds;
 - g) Payments from Worker's Compensation;

- h) Training stipends, college or university scholarships, grants, fellowships and assistantships other than those covered by Title IV of the Higher Education Act;
- i) Payments received from participation in a work study program other than those covered by Title IV of the Higher Education Act;
- j) Pay or allowances previously received while serving on active duty in the U.S. Armed Forces;
- k) Payments received for participation in the National Guard or Reserve activities;
- l) Armed Forces retirement payments (other than compensation for disability or death per Title 30, USC, Chapter 11);
- m) Military family allotments;
- n) Regular cash payments from an individual not included in family size;
- o) Alimony;
- p) Private pensions;
- q) Governmental retirement payments;
- r) Income from insurance policy annuities;
- s) Severance Pay;
- t) Interest and dividends at the time earned and accessible;
- u) Rent income minus operating expenses for the rental property;
- v) Net royalties;
- w) Periodic receipts from estates or trusts;
- x) Regular disability payments;
- y) Net gambling or lottery winnings;
- z) Other periodic income.

2) Exclusions are:

- a) Federal, State, local or private unemployment benefits including Unemployment Compensation;
- b) Child support payments (court ordered);
- c) Public assistance payments (i.e., ADC/FIP, General Assistance, Refugee Assistance, Supplemental Security Income and Food Stamps);
- d) Old-Age and Survivors Insurance payments received under section 202 of the Social Security Act (Previously referred to as Retirement and Survivors Benefits under Title II, Social Security Act);
- e) Capital gains and losses;
- f) Any assets drawn down as withdrawals from a bank, the sale of property, a house or a car;
- g) Tax refunds;
- h) Gifts and awards;
- i) Loans;
- j) Lump-sum inheritances;

- k) One-time disability and death insurance payments or compensation for injury;
- l) Accident, health, and casualty insurance proceeds;
- m) Employer-paid or union-paid portion of health insurance or other employee fringe benefits;
- n) Food or housing received in lieu of wages;
- o) Value of food and fuel produced and consumed on farms;
- p) Imputed value of rent from owner-occupied non-farm or farm housing;
- q) Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches and housing assistance;
- r) One-time and limited unearned income;
- s) Payments received under the Trade Act of 1974;
- t) Subsidized adoption payments;
- u) Payments received on behalf of foster children;
- v) Other than OJT wages, payments made to participants while enrolled in employment and training programs, including Experience Works wages;
- w) Travel expense reimbursement;
- x) Financial assistance for education covered by Title IV of the Higher Education Act from such sources as Pell Grants, Iowa Technical Grants (ITG), and Supplemental Education Opportunity Grant (SEOG), as well as other state and local grants and scholarships;
- y) Educational assistance and compensation to veterans and other eligible persons under the following chapters of Title 30 of the U.S. Code:
 - i) Chapter 11: Compensation for Service Connected Disability or Death
 - ii) Chapter 13: Dependency and Indemnity Compensation for Service Connected Deaths
 - iii) Chapter 30: Montgomery GI Bill
 - iv) Chapter 31: Training and Rehabilitation for Veterans with Service Connected Disabilities
 - v) Chapter 32: Post-Vietnam Era Veterans' Educational Assistance
 - vi) Chapter 34: Veterans Educational Assistance
 - vii) Chapter 35: Survivors' and Dependents' Educational Assistance
 - viii) Chapter 36: Administration of Educational Benefits
- z) Veteran's Assistance (VA) Disability.

Family-of-One -- Refer to "Family Size Determination" definition.

Family Size Determination --Two or more persons related by blood, marriage, or decree of court, who are living in a single residence and are included in one of the following categories/definitions to determine the size of the family unit for eligibility determination purposes.

- A husband, wife and dependent children;
- A parent or guardian and dependent children; or

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- A husband and wife.

- a) Living in a Single Residence -- Residing in the same household, including any family member residing elsewhere because he or she is:
- i) Attending school or college;
 - ii) Visiting relatives or friends;
 - iii) A spouse or parent working in another location;
 - iv) Temporarily hospitalized or institutionalized due to injury or illness; or
 - v) On vacation.

Note: "Living in a single residence" **does not include** family members who are:

- Incarcerated; or
- Placed in another residence or institution as a result of a court action; or
- Permanently separated spouses.

- b) Dependent Child -- Any unmarried child, step-child, or adopted child who is:
- i) Less than 18 years of age; or
 - ii) A student less than 24 years of age, and claimed as a dependent on his or her parent's, step-parent's, or legal guardian's state or federal tax return; or
 - iii) An individual less than 24 years of age, who has submitted an application to go to school, and is claimed as a dependent on his or her parent's, step parent's or legal guardian's state or federal tax return; or
 - iv) An "individual with a disability constituting a substantial barrier to employment" and who is claimed as a dependent on his or her parent's, stepparent's or legal guardian's state or federal tax return. [An "individual with a disability constituting a substantial barrier to employment" may be a "family-of-one" under certain circumstances. Refer to the definition of "family-of-one" below for a description of those circumstances.]

NOTE: For purposes of determining if an individual is a dependent child, a student is an individual who is attending, or is enrolled in, or has made application to and plans to attend any secondary or post-secondary level vocational, technical, or academic school, including alternative schools.

Family-of-One -- Any individual who meets the criteria of any one of the following categories:

- a) A single, widowed, permanently separated, or divorced person, without one or more dependent children living in a single residence with that individual, and who is not a dependent child; or
- b) A foster child on behalf of whom state or local government payments are made; or
- c) A runaway youth who is separated from the family; or
- d) An emancipated youth who is separated from the family; or
- e) A court-adjudicated youth who is separated from the family.

An "individual with a disability constituting a substantial barrier to employment" may be considered as a "family-of-one" if that individual's family income does not meet the following requirements of the "low income" definition, but his or her own income does meet the following requirements:

- a) Receives, or is a member of a family which receives, cash welfare payments under a federal, State, or local welfare program; or
- b) Has received a total income for the six month period prior to application for the program involved (exclusive of unemployment compensation, child support payments, and welfare payments) which was not in excess of the higher of
 - i) The official poverty line; or
 - ii) Seventy percent (70%) of the lower living standard income level.

Family Status -- The family situation of the individual at the time of application.

- 1) Parent in One-Parent Family -- An individual who has sole custodial support for one or more dependent children.
- 2) Parent in Two-Parent Family -- An individual who, with another family member, shares custodial support for one or more dependent children.
- 3) Other Family Member -- An individual who is living with his or her family of two or more persons and not indicated in (a) or (b) above.
- 4) Not a Family Member -- An individual who is not living with his/her family.

NOTE: *The categories of family status are meant to be descriptive and do not necessarily have a direct bearing on eligibility determination. Family size is used to determine income eligibility, while family status is a federally defined characteristic for federal reporting purposes.*

Farm or Ranch -- Any place which produced agricultural products with gross annual sales of \$1,000 or more.

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Financial Needs Determination (FND) -- The process of determining eligibility to access WIA funding for training or support services for the Institutional Skill Training (IST) activity. The process includes the review of all training and related expenses and all available resources, excluding loans. The financial needs determination should focus on the needs of the participant with the goal of ensuring that the costs of the training program are met and the necessary support services are available so the training can be completed successfully.

Food Stamp Recipient -- An individual who is receiving food stamps pursuant to the Food Stamp Act of 1977.

Foster Child -- A person meeting the age criteria below who is in receipt of substitute care furnished on a 24 hour a day basis, in a licensed foster care facility or approved shelter care facility, by a person or agency other than the child's parent, step-parent or legal guardian, but does not include care provided in a family home through an informal arrangement for a period of less than thirty days. A foster child must be:

- 1) Less than 18 years of age; or
- 2) 18, 19 or 20 years of age and meet any of the following conditions:
 - a) Is in full-time attendance at an approved school pursuing a course of study leading to a high school diploma;

- b) Is attending an instructional program leading to a high school equivalency diploma; and
- c) Has been identified by the director of special education of the area education agency as a child requiring special education.

Child foster care must include (but is not limited to the provision of) food, lodging, training, education, supervision and health care.

Full-Time Employment -- Employment of at least 30 hours per week.

General Assistance Recipient -- An individual who is receiving local government cash assistance based upon need, or an individual who is listed on the grant.

Guidance and Counseling (G&C) – The process of assisting a participant through a mutual exchange of ideas and opinions, discussion and deliberation. Counseling assists a participant in obtaining a focus to develop their talents and competencies for the world of work. The immediate focus may be academic or employment-related. An assessment of skills, interests, values, talents and accomplishments are an integral part of guidance and counseling. It may include such things as referrals for drug and alcohol abuse counseling, crisis intervention and domestic abuse counseling.

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Highest School Grade Completed (at time of enrollment) – A reporting item related to the highest school grade an applicant/participant has completed.

- 00 No school grade completed.
- 01-11 Number of elementary/secondary school grades completed; **NOTE: Individuals with a disability who receive a Certificate of Completion of IEP Diploma should be coded "11."** Also, individuals who completed the 12th grade but did not receive a diploma should be coded "11."
- 12 High School graduate;
- 13 - 15 Number of college or full-time technical or vocational school years completed; **NOTE: Codes 13 to 15 should not be used for individuals who are not high school graduates unless they attained a college degree.**
- 16 Bachelor's degree or equivalent;
- 17 Education beyond a Bachelor's degree.

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Homeless Individual -- An individual who, at the time of WIA participation:

- 1) Lacks a fixed, regular and adequate nighttime residence; and
- 2) Has a primary nighttime residence that is:
 - a) A publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters and transitional housing for the mentally ill); or
 - b) An institution that provides a temporary residence for individuals intended to be institutionalized; or
 - c) A public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.

NOTE: A person who is imprisoned or detained pursuant to an Act of Congress or State law is not considered to be homeless.

Immediate Family -- As used in the determination of conflict of interest and nepotism, the following members of an individual's family: wife, husband, son, daughter, mother, father, brother, sister, brother-in-law, sister-in-law, son-in-law, daughter-in-law, mother-in-law, father-in-law, aunt, uncle, niece, nephew, step-parent, step-child, grandparent or grandchild.

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In-School Youth -- A youth who, at the time of participation, is attending any school including an alternative school and who has not received a secondary school diploma or GED. For reporting purposes, this includes youth who are attending post-secondary school and are not basic skills deficient. **For additional clarification, see the Youth "What Am I?" chart in the Appendix.**

Incentive and Bonus Payments (INB) -- Compensation or rewards granted to youth based on attendance and/or performance in a program.

Incumbent Worker -- Currently-employed workers whose employers have determined that the workers require training in order to help keep their firms competitive and the subject workers employed, avert layoffs, upgrade workers' skills, increase wages earned by employees and/or keep workers skills competitive.

Individual Employment Plan (IEP) -- An individual plan for adults and dislocated workers which includes an employment goal (including consideration of nontraditional employment), appropriate achievement objectives and the appropriate combination of training and support services for the participant based on the objective assessment. The IEP is the basic instrument for the region to document the appropriateness of the decisions made about the mix, combination and sequence of services for the participant, including referrals to other programs for specified activities.

Individual Service Strategy (ISS) -- An individual plan for a youth which includes an employment goal (including for women, consideration of nontraditional employment), appropriate achievement objectives and the appropriate combination of training and support services for the participant based on the objective assessment. The ISS is the basic instrument for the region to document the appropriateness of the decisions made about the mix, combination and sequence of services for the participant, including referrals to other programs for specified activities.

Individual With a Disability -- Any individual who has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of the individual's major life activities and has a record of such an impairment, or is regarded as having such an impairment.

Individual with a Disability Constituting a Substantial Barrier to Employment -- Any individual who has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of the individual's major life activities and has a record of such an impairment, or is regarded as having such an impairment. The disability or impairment must constitute or result in a substantial barrier to employment for the individual. For the purpose of this definition, the disability constituting a substantial barrier to employment must be one that interferes with the individual's capacity to satisfactorily and consistently meet the ordinary vocational demands of life.

The following persons will be considered as individuals with disabilities constituting substantial barriers to employment for purposes of determining eligibility for WIA programs:

- 1) Any person receiving Title II Social Security Disability Insurance payments due to their own disability;

- 2) Any person who, at the time of application, is designated by Vocational Rehabilitation as having a disability constituting a substantial barrier to employment;
- 3) Any person who is blind or partially sighted with a visual acuity of 20/70 or less in the better eye after the best correction;
- 4) Any person who has a hearing loss of 60db or more;
- 5) Any person with a sub-average general intellectual functioning which originated during the developmental period and is associated with impairment in adaptive behavior;
- 6) Any person that WIA staff has determined and documented in the individual's eligibility determination forms or ISS as having a readily apparent disability which constitutes a substantial barrier to employment.

NOTE: *Written certification of the specific nature of the disability must be obtained from a physician or other appropriate professional.*

The following persons may be considered as individuals with disabilities constituting substantial barriers to employment if written certification of the specific nature of the disability is obtained from a physician or other appropriate professional, and a determination is made by the WIA staff that the disability constitutes a substantial barrier to employment:

- 1) Any person with a deviation in speech or voice to the degree that it draws attention to manner of speech, interferes with the ability to comprehend or formulate speech or causes the individual to become maladjusted.
- 2) Any person with a specific learning disability that results in an impairment of one or more of the basic psychological processes involved in understanding or in using spoken or written language.
- 3) Any person with a mental disorder that is caused by or associated with impairment of brain tissue function and physical disorders which are a result of mental conflicts rather than from organic causes.
- 4) Any person who is health impaired as result of:
 - a) A disease such as heart disease, diabetes, or allergies;
 - b) Injury to the brain or parts of the brain before, during or after birth; or
 - c) Injuries such as burns, fractures, or amputations.
 - d) Any person with a behavioral disability only if that disability can be classified as a mental or physical disorder.

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Initial Assessment – An informal process utilized to determine the appropriateness of participating in WIA. This may include interviewing, self-assessment tools, review of labor market information (LMI) and other agency involvement.

Institutional Skill Training (IST) -- Vocational skill training normally conducted in a classroom setting which is designed to provide individuals with technical skills and information required to perform a specific job or group of jobs.

Institutionalized — An individual is residing in an institution or facility providing 24-hour support, such as a prison, detention center or hospital, and the individual is expected to remain in that institution for at least 90 days.

Intensive Services - Employment and training activities, which include:

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- Comprehensive and specialized assessments (Objective Assessments [OBA]) of skill levels and service needs, including diagnostic testing and use of other assessment tools, and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Development of an individual employment plan, (IEP or ISS) to identify the employment goals, appropriate achievement objectives and appropriate combination of services for the participant to achieve the employment goals;
- Group counseling;
- Individual counseling and career planning;
- Case management for participants seeking training services;
- Skill upgrading is short-term prevocational services, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, professional conduct and English as a Second Language (ESL) to prepare individuals for unsubsidized employment or training and training is for a duration of twenty-six (26) weeks, excluding ESL, and does not lead to a credential;
- Out-of-area job search expenses;
- Relocation expenses;
- Internships; and
- Work experience (WEP)
- **Job Club (JBC)** – A structured job search activity for a group of participants who develop common objectives during their time of learning and working together, supporting one another in the job search process.
- **Labor Federation** – An alliance of two or more organized labor unions for the purpose of mutual support and action.

Labor Force Status (at time of enrollment) -- The labor force status of the individual at the time of enrollment:

1) Employed

- a) An individual who, during the seven consecutive days prior to enrollment, did any type of work including:
 - i) As a paid employee;
 - ii) In his or her own business, profession or farm; or
 - iii) Fifteen or more hours as an unpaid worker in an enterprise operated by a member of the family.

OR

- b) An individual who is not working, but has a job or business from which he or she is temporarily absent because of illness, bad weather, vacation, a labor-management dispute or personal reasons, whether or not paid by the employer for time off, and whether or not seeking another job.

2) Not Employed -- An individual who does not meet the definition of employed.

Labor Market Area -- An economically integrated geographic area within which individuals can reside and find employment within a reasonable distance or can readily change employment without changing their place of residence. Labor market areas must be identified in accordance with criteria used by the Bureau of Labor Statistics of the Department of Labor in defining such areas or similar criteria established by the Governor.

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Last Expected Service -- Occurs when the participant completes the activities outlined in his or her service strategy or service plan and there are no additional services or partner services expected other than support or follow-up services. Last expected service may also occur in situations where the participant voluntarily or involuntarily discontinues his or her participation in services outlined in the service plan.

Limited English Language Proficiency -- The inability of an individual, whose native language is not English, or who lives in a family or community environment where a language other than English is the dominant language, to communicate in English, resulting in a barrier to employment.

Limited Internship (LIN) -- Training at a public, private, for-profit or non-profit work site which provides a participant with exposure to work and the requirements for successful job retention that are needed to enhance the long-term employability of that youth.

Literacy -- An individual's ability to read, write and speak in English, and compute and solve problems at levels of proficiency necessary to function on the job, in the family and in society.

Living in a Single Residence -- Refer to "Family Size Determination" definition.

Local Educational Agency -- A board of education or other legally constituted local school authority having administrative control and direction of public elementary or secondary schools in a city, county, township, school district or political subdivision of a State or any other public educational institution or agency having administrative control and direction of a vocational education program.

Local Elected Officials (LEO) -- The county supervisors and mayors of the region's cities with a population of more than 50,000, plus the mayors of any other cities within the region that agree to share in the liability and responsibility for the region's Workforce Investment Act program.

Local Grant Recipient -- The Chief Elected Official consortium.

Lower Living Standard Income Level (LLSIL) -- A matrix of income levels (adjusted for regional, metropolitan, urban, and rural differences and family size) determined by the Secretary of Labor, based upon the most recent lower living family budget issued by the Secretary.

Low-Income Individual -- An individual who:

- 1) Receives or is a member of a family which receives Temporary Assistance to Needy Families (TANF), General Assistance (GA), Refugee Cash Assistance (RCA), or Supplemental Security Income (SSI) (SSA Title XVI) cash payments under a Federal, State, or income based public assistance program; or
- 2) Has, or is a member of, a family which has a total family income for the six-month period prior to enrollment which, in relation to family size, was not in excess of the higher of:
 - a) Seventy percent (70%) of the Lower Living Standard Income Level (LLSIL) for a six month period; or
 - b) The Poverty Income Level for a six month period; or
- 3) Is a member of a household receiving food stamps, or has been determined within the six-month period prior to enrollment for WIA, to be eligible to receive food stamps; or
- 4) Is an individual who is homeless as defined in this handbook; or
- 5) Is a foster child on whose behalf State or local government payments are made; or
- 6) Has a disability and whose own income meets the requirements of (2) (a) or (b) above, but is a member of a family which does not meet such requirements.

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Memorandum of Understanding -- An agreement between the RWIB, the CEO board, and the Workforce Development Center System Partners relating to the operation of the Workforce Development Center system in the region. The MOU must identify services to be provided, the funding of the services and system operation, methods of referral among partners and the duration and amendment process for the agreement.

Mentoring – A long-term relationship between a youth and an adult. Through continued involvement, the adult offers support, guidance and assistance as the younger person faces new challenges. In particular, where parents are either unavailable or unable to provide responsible guidance for their children, mentors play a critical role.

Metropolitan Area -- A place of 50,000 or more population, as defined in the most recent federal census or subsequent official update. If a county contains a metropolitan area of 50,000 or more, the entire county is considered a part of the metropolitan area.

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Migrant Farm Worker (MFW) – An individual or a dependent of the individual whose agricultural labor requires travel such that the worker is unable to return to his or her permanent place of residence within the same day.

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Military Spouse – see Veteran Status

Monitoring -- The review of financial and program records and activities to provide technical assistance and ensure compliance with the local customer service plans, State policies and procedures, and Federal law and regulations.

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National Emergency Grants (NEG) – National Emergency Grants (NEGs) are discretionary grants awarded by the Secretary of Labor pursuant to Section 173 of WIA, as amended. Funds are awarded to provide employment-related services for dislocated workers. There are six dislocation events

accepted by the Employment and Training Administration (ETA) for consideration of NEG funding. (*For additional information refer to Section 40 – Grants*)

Needs-Related Payments (NRP) -- Those payments made directly to participants who do not qualify or have ceased to qualify for unemployment compensation in order to enable them to participate in Adult and Dislocated Worker training activities. See the Activities and Services section of this Handbook for additional eligibility requirements for receiving needs-related payments.

Nontraditional Employment -- Those occupations or fields of work for which individuals from one gender comprise less than 25 percent of the individuals employed in such occupation or field of work.

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North American Free Trade Act (NAFTA) -- This Act was repealed with the passage of the Trade Adjustment Assistance Reform Act of 2002. (See also Trade Adjustment Assistance, Trade Adjustment Assistance Reform Act of 2002, this section.)

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Not Employed at the Date of Participation – An individual is considered not employed at the date of participation when he/she 1) did no work at all as a paid employee on the date participation occurs; 2) has received a notice of termination of employment or the employer has issued a WARN or other notice that the facility or enterprise will close, or 3) is a transitioning service member.

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Objective Assessment (OBA) – Objective Assessment is an examination of the capabilities, needs and vocational employment goal (ISS or IEP). Such assessment is to be participant-centered and a diagnostic evaluation of a participant's employment barriers taking into account the participant's family situation, general health, work history, education, occupational skills, interests, aptitudes (including interests and aptitudes for nontraditional occupations), attitude towards work, motivation, behavior patterns affecting employment potential, support service needs and personal employment information as it relates to the local labor market. Refer to the Applicant and Participant Process section (Section 14) of this Handbook for the policies governing objective assessment.

Occupational Cluster/Career Pathway -- A group of jobs/occupations that are related in subject matter, content or technical concepts involved.

Occupational Skills -- The actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels, as well as the use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

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Occupational Skills Goal – A measurable increase in primary occupational skills encompassing the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary occupational skills entail familiarity with and use of setup procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and cleanup routines.

Note: This term applies to the current WIA statutory youth measures only. It does not apply to the common measures.

Occupational Skills Training -- Instruction conducted in an institutional or worksite setting designed to provide or upgrade individuals with the technical skills and information required to perform a specific job or group of jobs.

Offender -- Any adult or juvenile who is or has been subject to any stage of the criminal justice process for whom services under this Act may be beneficial, or who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.

Older Individual -- A person who is 55 years of age, or older.

On-the-Job Training (OJT) -- Training by an employer that is provided to a paid participant while engaged in productive work that:

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- Provides knowledge or skills essential to the full and adequate performance of the job;
- Provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training; and
- 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 experience of the participant and the service strategy of the participant, as appropriate.

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One-Stop or One-Stop Career Services Center - designed to provide a full range of assistance to job seekers under one roof. Established under the Workforce Investment Act (WIA), the centers offer training referrals, career counseling, job listings, and similar employment-related services. Customers can visit a center in person or connect to the center's information through a computer. (See also Workforce Development Center System)

Other Family Members -- Refer to "Family Status."

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Out-of-School Youth – An eligible youth is a school dropout, or has received a secondary school diploma or its equivalent (GED), but is basic skills deficient, unemployed or underemployed. At least 30 percent of the youth budget must be spent on out-of-school youth.

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For reporting purposes, this term includes all youth except: 1) those who are attending any school and have not received a secondary school diploma or GED, or 2) those who are attending post-secondary school and are not basic skills deficient. **For additional clarification, see the Youth "What Am I?" chart in the Appendix.**

Outreach -- An active effort by which potential participants are located, made aware of training opportunities and encouraged to participate in the WIA program.

Oversight -- The reviewing, monitoring and evaluating of the WIA Program.

Parent in Two-Parent Family -- Refer to "Family Status."

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Participant -- An individual who has completed an application and has been determined to be eligible to participate in and who is receiving services under a program authorized by WIA Title I. Participation commences on the first day, following determination of eligibility, on which the individual begins receiving staff-assisted core, intensive, training or other services provided under WIA Title I.

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Services funded by the program may be provided in either a physical location (One-Stop Career Center or affiliate site) or remotely through electronic technologies.

Participant Carried Over -- A participant for whom there was an active participant record on file at the end of the previous program year.

Participant Property -- Tools, equipment or related items necessary for a participant's personal use in training or employment.

Participation Date -- Refer to "Date of Enrollment/Participation."

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Participation Quarter – Represents the calendar quarter in which the date of participation is recorded for the individual.

Pell Grant Recipient -- An individual who is or has been notified that he/she will be receiving a Pell Grant. **NOTE:** *This item must be updated if the individual receives a Pell Grant at any time during WIA participation.*

Performance Measure -- A category by which program performance is evaluated. Performance standards are established for the performance measures in order to determine whether the basic objectives of WIA are being met. Refer to the Performance Management: Title I Programs section of this Handbook for an explanation of the performance measurement system.

Permanent Job -- Employment that does not have an estimated end date. Permanent jobs include seasonal employment, such as construction jobs, to which an individual normally returns whenever they are available, as well as jobs in building trades where an individual is temporarily “on the bench”.

Placement -- Synonymous with entered unsubsidized employment.

Planned Gap in Services -- No participant activity of greater than 90 days due to a:

- 1) delay before the beginning of training; or
- 2) health/medical condition that prevents an individual from participating in services or providing care for a family member with a health/medical condition; or
- 3) temporary move from the area that prevents the individual from participating in services, including National Guard or other related military service.

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Poor Work History -- An individual who has not worked for the same employer for longer than 13 consecutive weeks in the last 12 calendar months.

Revised
Mar 2008

Post-Program Earnings – The total earnings for the second and third quarters after the exit quarter.

Revised
Mar 2008

Postsecondary Education -- A program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AAS, AS, BA, BS). **NOTE:** *Programs offered by degree-granting institutions that do not lead to an academic degree, e.g. certificate programs, do not count as a placement in post-secondary education, but may count as a placement in “advanced training/occupational skills training.”*

Revised
Mar 2008

Post-test – A test administered to a participant at regular intervals during program participation.

Poverty Level -- The annual income level at or below which families are considered to live in poverty, as determined by the Office of Management and Budget (OMB).

Revised
Mar 2008

Pre-program Earnings – The total of the earnings of a participant in the second and third quarters prior to enrollment.

Revised
Mar 2008

Pre-test – A test from the Department of Labor approved list, which is administered to a participant up to six months prior to the date of participation or within 30 days after enrollment. The test results are used to assess a participant’s basic literacy and numeracy skills. (*See Youth under Section 14*)

Pre-Training Assessment -- An objective, unbiased method of determining the level of proficiency or deficiency of a participant prior to his/her participation in a skill attainment goal activity.

Pre-Employment Training (PET) -- An activity designed to help participants identify occupational goals and acquire skills necessary to obtain and keep jobs. This may include job seeking and job-keeping skills, work habits training, career decision-making, career assessment and job placement.

Pregnant or Parenting Youth -- An individual who is under 22 years of age and who is pregnant, or a youth (male or female) who is providing custodial care for one or more dependents under age 18.

Primary Activity -- An activity in which a participant is enrolled for more than 50 percent of the scheduled time.

Procurement -- Open, free, competitive process used to obtain or purchase services, supplies, property, support services or training.

Revised
Mar 2008

PROMISE JOBS Participant -- For reporting purposes, an individual who has been approved for FIP and has not yet been terminated from the PROMISE JOBS program.

Property -- Tangible items having a useful life of more than one year and:

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- 1) The acquisition value per unit is \$5,000 or more; or
- 2) It involves the purchase of like items, which individually cost less than \$5,000, but the cumulative cost will exceed that amount during the fiscal year; or
- 3) It involves the purchase of a personal computer (PC), logic units (hard driver, routers, servers, hubs, etc.), or monitor; or
- 4) Items of any cost to form a unit, with a combined cost of \$5,000 or more.

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Public Assistance -- Temporary Assistance to Needy Families (TANF), General Assistance (GA), Refugee Cash Assistance (RCA), and Supplemental Security Income (SSI) and Food Stamps.

Public Assistance Agencies -- Federal, State and local governmental entities that make public assistance payments for which eligibility is determined by a needs or income test.

Public Assistance Recipient -- For reporting purposes, an individual listed on the grant and/or receiving assistance under any of the following programs:

- 1) Temporary Assistance to Needy Families (TANF);
- 2) General Assistance (GA);
- 3) Refugee Cash Assistance (RCA);
- 4) Supplemental Security Income (SSI);
- 5) Food Stamps (Food Stamp Act of 1977).

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Qualified Apprenticeship -- A program approved and recorded by the DOL Employment and Training Administration (ETA) or by a recognized state apprenticeship agency or council. Approval is by certified registration or other appropriate written credential.

Race/Ethnic Group -- The basic racial and ethnic categories for use in all Federally funded programs defined by the Office of Management and Budget as follows:

Race:

- 1) American Indian or Alaskan Native -- A person having origins in any of the original peoples of North America and South America (including Central America) who maintains cultural identification through tribal affiliation or community recognition.
- 2) Asian -- A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent (e.g. India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, Bhutan). This area includes for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand and Vietnam.
- 3) Black or African American -- A person having origins in any of the black racial groups of Africa.
- 4) Hawaiian Native or other Pacific Islander -- A person having origins in any of the original people of Hawaii, Guam, Samoa, or other Pacific Islands.
- 5) White -- A person having origins in any of the original peoples of Europe, the Middle East or North Africa.

NOTE: *An individual may be included in one or more of the racial designations.*

Ethnicity - Hispanic or Latino:

- 1) A person of Cuban, Mexican, Puerto Rican, Central or South America or other Spanish culture or origin, regardless of race.

NOTE: *Ethnicity information is collected separately from racial information.*

Rapid Response Assistance -- Services provided on-site to workers dislocated because of permanent plant closures or substantial layoffs.

Real Property -- Land, including land improvements, structures and appurtenances thereto, excluding movable machinery and equipment.

Reallocation -- The redistribution of unobligated or unspent funds among regions by IWD.

Recipient -- The entity that receives funds directly from the Department of Labor. In Iowa it is the Iowa Department of Workforce Development.

Referred by WPRS (RES) -- A U.I. claimant who has been referred to WIA reemployment services by the Worker Profiling and Reemployment Services (WPRS) system.

Refugee Cash Assistance Recipient -- An individual who is receiving cash assistance, or an individual who is listed on the grant, under the Refugee Assistance Act of 1980 (Public Law 96-212).

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Regional Customer Service Plan (RCSP) -- A comprehensive plan developed by the Regional Workforce Investment Board and the Chief Elected Official to identify the region's needs and describe how those needs will be met.

Revised
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Regional Innovation Grant (RIG) - NEG funds are being made available for Regional Innovation Grants (RIG) to assist state workforce agencies and RWIB's in the development of a comprehensive, integrated strategic regional plan, based on the WIRED strategic conceptual framework with a focus on addressing present and future significant economic dislocation events. In order to qualify for these funds, state workforce agencies and RWIBs must develop the application and operate any grant

approved in concert with other key regional stakeholders. By the termination of the grant, states and RWIBs will have a complete, transformative strategy that will enable them to identify and secure appropriate resources and help them implement a strategy that will shorten or eliminate the time from worker dislocation to reemployment and, ultimately, support regional economic growth and competitiveness and workers' employment and advancement. *(For additional information refer to Section 40 – Grants)*

Regional Workforce Investment Board (RWIB) -- The regional board established under WIA Section 117 to set policy for the local workforce investment region. In all regions, except Region 8, the Regional Advisory Board was grandfathered to become the RWIB.

Relocating Establishment -- A business entity, including a successor in interest, which is moving any operations from a facility in one labor market area within the United States and its territories to a new or expanding facility in another labor market area, which results in the loss of employment for any employee of the establishment at the original location.

Remedial and Basic Skill Training (RBS) -- An activity designed to enhance the employability of individuals by upgrading basic academic skills.

Request for Proposal (RFP) -- A process used to solicit offers to provide training or services.

Resident of the Region -- A person who has declared that his or her home is within the region and he or she intends to remain there permanently or for a definite, indefinite or undetermined length of time.

Runaway Youth -- An individual under the age of 18 who absents himself or herself from the home or place of legal residence with the intention of not returning and without the permission of his or her parents or legal guardian and who has been absent for at least 48 hours.

School Dropout -- An individual who is no longer attending **any** school and who has not received a secondary school diploma or its recognized equivalent.

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Seasonal Farm Worker (SFW) -- An individual or a dependent of the individual who, for 12 consecutive months out of the 24 months prior to application, has been primarily employed in agricultural labor that is characterized by chronic unemployment or underemployment.

Secondary Education Certification (SEC) -- Training to enhance the employability of participants by upgrading their level of education. Participation in this component must be expected to culminate in a high school diploma or General Equivalency Diploma.

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Selective Service Registrant -- Those individuals required by Section 3(a) of the Military Selective Service Act to present themselves for registration. Individuals may be registered at the time of WIA application and registration may be verified at www.sss.gov/ or call 1-847-688-6888.

- 1) The following individuals must register:
 - a) All male citizens of the United States and other male persons residing in the country born on or after January 1, 1960, who have attained their 18th birthday;
 - b) Aliens who are permanent residents;
 - c) Aliens who are refugees and parolees;
 - d) Aliens who are undocumented (illegal);
 - e) Civil Air Patrol Members;
 - f) Dischargees and Separatees from active service (veterans);

- g) Dual nationals;
- h) Enlistees, Delayed Entry Program;
- i) Men disabled or handicapped;
- j) Men rejected for enlistment;
- k) National Guardsman and Reservists not on active duty;
- l) ROTC Students; and
- m) Men who are hospitalized, incarcerated, or institutionalized, within thirty- (30) days of their release.

2) The following groups are exempt from registration:

- a) Males born prior to January 1, 1960;
- b) Legal, non-immigrant aliens;
- c) Cadets and Midshipman at the Service Academies;
- d) Men on active duty with Armed Forces;
- e) Military Officer Procurement Program students at the Citadel, North Georgia College, Norwich University, and the Virginia Military Institute; and
- f) Females.

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For additional information on Selective Service, refer to Section 11 – Eligibility.

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Self-Attestation – An individual's signed attestation that the information he or she submits to demonstrates eligibility for a program under Title I of WIA is true and accurate.

Self-Employed Individual -- An individual who carries on a trade or business, as a proprietor or partner, or who renders services as an independent contractor. Any individual who has incorporated is no longer considered to be self-employed.

Self-Employment Income -- The result of the comparison of gross receipts with expenses for the 12 month period immediately prior to application divided by two. Expenses must be directly related to producing or selling services, merchandise or products and without which those items could not be produced or sold. If the self-employed individual suffered a loss, then that individual's income is zero for computation purposes unless there are two or more self-employed individuals in the family. In this case the loss of one can be used to reduce the profits from another. Refer to definition of Self-Employed Individual.

For purposes of determining self-employed income:

1) Gross Receipts include:

- a) Payment received for services, merchandise or products; and
- b) Cash received for participating in a government subsidy program.

2) Expenses include:

- a) The cost of inventories and supplies purchased that are required for the business, such as items for sale or consumption and raw materials (e.g., seed, fertilizer, stock, etc.);
- b) Wages, commissions and fringe benefits for employees;

- c) The cost of facilities and land excluding household, in the form of rent or interest on mortgage or contract payments;
- d) The cost of machinery and equipment;
- e) The cost of insurance on facilities, machinery and equipment used to generate income;
- f) The cost of repairs to facilities, machinery and equipment used to generate income;
- g) That portion of utilities and property tax costs attributable to property and facilities used to generate income;
- h) Other costs directly related to the production of income; and
- i) Repayment of Crop Commodity Loans received under a government subsidy program.

3) Unallowable Expenses include:

- a) Personal expenses such as income tax payments, health and life insurance payments, contributions to retirement funds, personal business and entertainment expenses, and personal transportation expenses;
- b) Depreciation;
- c) Payments on the principal of all loans, except Crop Commodity loans;
- d) Household expenses such as utilities, food, household insurance, charitable contributions; and
- e) Other costs not directly related to the production of income.

Self-Service and Informational Core Services – Employment and training services that include:

- Determination of eligibility to receive assistance;
- Outreach, intake (which may include profiling), and orientation to the regional Workforce Development Center system;
- Initial assessment of skill levels, aptitudes, abilities and support service needs;
- Job search and placement assistance;
- Provision of employment statistics information, including the provision of accurate information relating to local, regional and national labor market areas, including:
 - Job Vacancy listings in such labor market areas;
 - Information on job skills necessary to obtain the jobs listed; and
 - Information relating to local occupations in demand and the earnings and skill requirements for such occupations.
- Provision of performance and program cost information on eligible providers of training services;
- Provision of information regarding how the local area is performing on the local performance measures and any additional information with respect to the Workforce Development Center System in the local region;

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- Provision of accurate information relating to the availability of support services, including child care and transportation available in the local region, and referral to such services as appropriate;
- Consumer reports information and delivery system performance information;
- Information on other Workforce Development Center System Partner services and support services;
- Provision of Information on filing Unemployment Insurance (UI) claims;
- Assistance in establishing eligibility for:
 - Non-WIA employment and training programs;
 - Programs of financial aid for assistance for training and education programs that are not funded under the Act and are available in the region.
 - Resource Room usage;
 - Job referrals (informational, e.g. job scouts, referrals in non-exclusive hiring arrangements, short-term or seasonal placements);
 - Internet browsing (job information and training searches);
 - Internet accounts (Career Kit and Personnel Kit); and
 - Talent referrals (informational, e.g. talent scouts, staff referrals or resumes without further screening).

Similarly Employed -- The status of a person who is working for the same employer as the participant, is doing the same type of work and is similarly classified with respect to employment status (e.g., full-time, permanent, or temporary).

Single Head of Household -- A single, abandoned, separated, divorced or widowed individual who has the responsibility for one or more dependents.

Single Parent -- A single, separated, divorced or widowed individual who has responsibility for one or more dependent children under age 18.

Skill Attainment Goals -- A category of outcomes for Younger Youth that includes the attainment of basic skills, work readiness skills and occupational skills.

Social Security --The Social Security and Supplemental Security Income disability programs are the largest of several Federal programs that provide assistance to people with disabilities. While these two programs are different in many ways, both are administered by the Social Security Administration and only individuals who have a disability and meet medical criteria may qualify for benefits under either program. Social Security can provide an individual and/or eligible members of the individual's family with financial benefits when an individual:

- Retires;
- becomes disabled; or
- dies.

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(See also Social Security Disability Insurance (SSDI) and Supplemental Security Income (SSI) at <http://www.socialsecurity.gov/>)

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Social Security Disability Insurance (SSDI) -- Pays benefits to an individual who has become disabled and has met certain criteria and also to certain members of the individual's family if the individual worked and paid Social Security taxes for a specific period of time. (See also <http://www.socialsecurity.gov/disability/>)

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Soft Skills – Skills/abilities that enable someone to relate to others and adapt to a workplace environment and are necessary to being successful in the workplace. Soft skills are non-technical, intangible and personality-specific skills that coupled with concrete skills or “hard skills” offered through education or vocational training produce an employable person. Soft skills may include work habits (such as punctuality, appropriate attitude and behavior, cooperation, the ability to take constructive criticism), integrity, interpersonal skills, problem-solving, multitasking, making good and informed decisions, communicating with others, positive job attitude or managing oneself in the workplace, showing initiative and reliability, etc.

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Special Intervention Funds (SIF) – Note: Only Applicable to Trade-Related Dislocations. Special Intervention Funds (SIF) come from Rapid Response funds and are available to assist the regions impacted by closings and mass layoffs where a National Emergency Grant (NEG) would not be appropriate due to pending certification of Trade Adjustment Assistance (TAA). If a region has expended or obligated its Dislocated Worker funds and a NEG would not be appropriate, SIF may be requested to provide immediate assistance to eligible workers to initiate case management, provide assessment and career counseling and develop an Individual Employment Plan (IEP). All dislocated workers receiving assistance with these funds must be co-enrolled in the Workforce Investment Act. In addition, the funds may be used to fund staff, staff related expenses and assessment costs. The funds may also be used in conjunction with Early Intervention Grant (EIG) funds which may be used to defray the costs of workshops. (For additional information see Section 40 – Grants)

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Staff Assisted Core Services (Require Enrollment) -- Employment and training services that include:

- Staff-assisted job search and placement assistance, including career counseling (JSP,G&C);
- Screened job referrals (such as testing and background checks) (SJR);
- Staff-assisted job development (working with an employer and job-seeker) (SJD);
- Staff-assisted workshops, pre-employment training and job clubs (PET, JBC) ; and
- Post-program services (PPS).

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State Emergency Grants (SEG) – State Emergency Grants are Rapid Response funds available for regions to enroll and serve at least 10 or more enrollments to a maximum of 49 enrollments of dislocated workers that occur within a 45 calendar day period. In order for a project to be considered for SEG funding, there must be at least 10 or more workers from a single or multiple company layoffs that will be served. (For additional information see Section 40 – Grants)

Sub-recipient -- An entity selected by the CEO board to receive the WIA Funds in the region from IWD and disburse those funds to the entity(ies) designated by the RWIB.

Subsidized Employment -- Employment created in the public sector, as well as employment in private-for-profit organizations, which is financed by WIA program funds. Subsidized employment includes work experience.

Substance Abuser -- An individual who requires substance abuse treatment to gain or retain employment.

Substantial Layoff (for Dislocated Worker Eligibility) -- Any reduction-in-force which is not the result of a plant closing and which results in an employment loss at a single site of employment during any 30-day period for:

- 1) At least 33 percent of the employees (excluding employees working less than 20 hours per week) and at least 50 employees (excluding employees regularly working less than 20 hours per week); or
- 2) At least 500 employees (excluding employees regularly working less than 20 hours per week).

Substantial Layoff (for State Rapid Response Assistance) -- Any reduction-in-force which is not the result of a plant closing and which results in an employment loss at a single site of employment during any 30 day period for at least 50 employees (excluding employees regularly working less than 20 hours per week).

Summer-Related Services -- Summer employment opportunities that are directly linked to academic and occupational learning.

Supplemental Security Income (SSI) Recipient -- An individual who is receiving public assistance or an individual who is listed on the grant authorized pursuant to a state plan approved under the Social Security Act, Title XVI. It is a federal income maintenance program for the aged, blind or disabled and is based on need.

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Support Services -- Services such as transportation, child care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in WIA activities. (For an inclusive list, see Activities section of this handbook)

Tenure at Employer of Dislocation -- The number of months that a dislocated worker worked with the employer of dislocation. **NOTE:** *Tenure is not reduced for periods of non-employment less than 12 months in length.*

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Trade Adjustment Assistance (TAA) -- Chapter 2 of the Trade Act of 1974, Public Law 93-618, as amended by Subtitle D of Title I of the Omnibus Trade and Competitiveness Act, Public Law 100-418 August of 2002, which provides benefits and services for workers displaced from their jobs due to a move of production out of the country or imports from countries covered by the North American Free Trade Act.

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Trade Adjustment Assistance Reform Act of 2002, Public Law 107-210 – assists individuals who have become unemployed as a result of increased imports from, or shifts in production to, foreign countries. The goal of the Trade Act program is to help trade-affected workers return to suitable employment as quickly as possible. To facilitate this goal, TAA-certified workers may access a menu of services that include income support, relocation allowances, job search allowances and health coverage tax credit. TAA participants that require retraining in order to obtain suitable employment may receive occupational training. In addition, the ATAA program for older workers provides an alternative to the benefits offered under the regular TAA program. Participation in ATAA allows older workers, for whom retraining may not be suitable, to accept reemployment at a lower wage and receive a wage subsidy.

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Training Services – Services, which include the following:

- Occupational skills training, including training for nontraditional employment;
- Programs that combine workplace training with related instructions, which may include cooperative education programs;
- Training programs operated by the private, public and non-profit sectors;
- Retraining;
- Entrepreneurial training;
- Adult education and literacy activities, in combination with services described above; and
- Customized training.

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Transitioning Service Member – A service member, in active duty status (including separation leave), who participates in employment services and is within 24 months of retirement or 12 months of separation.

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Twenty-Eight E Agreement (28E) – (See “28E” at the end of this section)

UI Claimant -- Any individual who has filed a claim and has been determined monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs and who has not exhausted benefit rights or whose benefit year has not ended.

UI Exhaustee -- Any individual who has exhausted all unemployment compensation benefit rights including extended supplemental benefit rights for which he has been determined monetarily eligible.

Underemployed -- An individual who is working less than 30 hours per week, or who is employed any number of hours per week in a job that is substantially below his or her skill level and does not lead to self-sufficiency.

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Unsubsidized Employment -- Employment not financed from funds provided under the Workforce Investment Act or any other program funded with public funds for a designated term of employment. This would not include an activity such as On-the-Job Training through Vocational Rehabilitation.

Upgrading -- Training designed to assist persons who are currently working by providing them with positions of greater skill, responsibility, remuneration or career advancement in the company by which they are presently employed.

Vendor -- Entity responsible for providing generally required goods or services to be used in the WIA program. These goods or services may be for the recipient’s or sub-recipient’s own use or for the use of customers in the program.

Veteran Status -- Veteran status is recorded at the time of application:

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- 1) **Veteran** -- An individual who served in the active U.S. military, naval, or air service and who was discharged or released from such service under conditions other than dishonorable, which may include National Guard or Reserve personnel.

NOTE: For reporting purposes, individuals who served on active duty less than or equal to 180 days are reported separately from those who served more than 180 days.

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- 2) **Campaign-Related Veteran** -- A veteran as identified above, who served on active duty in the U.S. armed forces during a war or in a campaign or expedition for which a campaign badge has been authorized.
- 3) **Disabled Veteran** -- A veteran, as defined above, who is:
- a) Entitled to compensation, regardless of rate (including those rated 0%) for a disability under laws administered by the Department of Veterans' Affairs (DVA); **or**
 - b) An individual who was discharged or released from active duty because of a service-connected disability.
- 4) **Special Disabled Veteran** -- A disabled veteran with a disability rating at 30 percent or more.
- 5) **Recently Separated Veteran** -- A veteran, as defined above, who applies for participation under Title I of WIA within 48 months of discharge or release from active military, naval, or air service.

***NOTE:** The term "active" means full-time duty in the Armed Forces, including the Coast Guard, but excluding duty for training in the reserves or National Guard.*

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- 6) **Military Spouse** -- An individual who is married to an active duty service member including National Guard or Reserve personnel on active duty. The surviving spouse of an active duty service member who lost his or her life while on active duty service in Afghanistan, Iraq or other combat-related areas is considered to be a military spouse.

Vocational Exploration (VEP) -- An activity which is conducted at an actual work site or work sites for the purpose of exposing the participant to one or more jobs through observation of such jobs, instruction and, if appropriate, limited practical experience. Vocational Exploration may take place at public, private nonprofit or private-for-profit work sites.

Wage at Dislocation -- The hourly wage paid to the participant in the job from which the person was dislocated.

Wagner-Peyser Act -- An Act, as amended, which provides for the maintenance of workforce development offices. It is administered in Iowa by Iowa Workforce Development.

Welfare Recipient -- An individual listed on the welfare grant who was receiving, at the time of application, cash payments under TANF (SSA Title IV), General Assistance (State or local government), or the Refugee Assistance Act of 1980 (PL 96-212). This term excludes recipients of SSI (SSA Title XVI).

WIA Service Provider -- Agencies and organizations that provide direct or indirect services to customers and receive funding from either the Local Grant Recipient or sub-recipient.

Work Experience (WEP) -- A short term or part-time work assignment used to enhance participant's employability through the development of good work habits and basic work skills.

Work Opportunity Tax Credit (WOTC) -- A program that gives employers a federal income tax credit for hiring individuals from targeted groups of job seekers.

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Work Readiness Skills -- A measurable increase in work readiness skills including world-of-work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision making, and job search techniques (resumes, interviews,

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applications and follow-up letters). They also encompass survival/daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank account or using public transportation. They also include positive work habits, attitudes, and behaviors such as, punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem-solving skills and acquiring an improved self image. (Note: this term applies to the current WIA statutory youth measures only. It does not apply to the common measures.

Worker Adjustment and Retraining Notification Act (WARN) -- Public Law 100-349, provides for early notice to employees on plant closings and substantial layoffs.

Workforce Development Center System -- The regional network of Workforce Development Centers and access points for workforce development services that is supported by the CEO board, RWIB, partners, service providers and vendors. The system is focused on meeting the needs and priorities of the customer through an integrated service delivery system based on interagency partnerships and the sharing of resources. The One-Stop Center system, referred to in the Workforce Investment Act, is identified as the Workforce Development Center system in Iowa.

Workforce Development Center System Partner -- Under the Iowa system, the "One-Stop Center Partners" referred to in the Workforce Investment Act are called Workforce Development Center System Partners. They are service providers that make their services available through the Workforce Development Center system and use a portion of their resources (as negotiated in the MOU) to support the operation of the Regional Workforce Development Center system and the delivery of core WIA services to their customers. Entities that carry out the following programs are required by WIA to make their services available through the Workforce Development Center system: Wagner-Peyser (IWD); Unemployment Insurance (IWD); Senior Community Service Employment Activities – Title V Older Americans Act (Area Agencies on Aging and Experience Works, generally); Adult Ed and Literacy Activities – Title II (Community Colleges); Title I of the Rehabilitation Act of 1973 (Voc Rehab); Veteran Services under Chapter 41 Title 38 – LVER and DVOP (IWD); Employment and Training Activities under Community Block Grants (CAP Agencies); HUD Employment and Training Activities; and Post Secondary Vocational Education Activities under Carl Perkins (Community Colleges). In addition, those selected to provide WIA funded services for adults, dislocated workers and youth are required partners, as are service providers for Native American programs, migrant and farm worker programs, veteran workforce programs and Job Corps.

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Youth -- An individual who is age 14 through 21. An individual age 18 through 21 may be enrolled in the Adult program or co-enrolled in the Youth and Adult programs.

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28E-- A contract formed in accordance with Chapter 28E, Code of Iowa (1983), allowing units of local government to join together with other units of government or public or private agencies for the purpose of jointly exercising a power held individually by the units of government to the agreement.

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Local Roles and Responsibilities

Under the Workforce Investment Act of 1998, Iowa's Workforce Development Center system consists of many stakeholders, each with different roles and responsibilities.

Regional Workforce Investment Board

- The roles and responsibilities of the RWIB include:
- Selecting service providers for WIA adult and dislocated worker intensive services, and youth programs.
- Establishing policy for the region's Workforce Development Center system.
- Developing a budget to carry out the duties of the local board, subject to the approval of the CEO board.
- Coordinating WIA youth, adult, and dislocated worker employment and training activities with economic development strategies, and developing other employer linkages with these activities.
- Promoting the participation of private sector employers in the workforce development system, and ensuring the availability of services to assist such employers in meeting workforce development needs.
- Certifying eligible training providers.
- Determining the use of the Strategic Workforce Development Fund including:
- Operation and funding of a summer program and/or in-school youth program;
- Use of the discretionary funds; and
- Selection of service providers.
- Selecting the Welfare to Work Service Provider.
- Submitting an Annual Report to the State Workforce Development Board.
- Establishing cooperative relationships with other local boards.
- Directing the activities of the Youth Advisory Council.
- In partnership with the CEO board, the RWIB is responsible for:
- Negotiating and reaching agreement with IWD on local performance standards.
- Appointing a Youth Advisory Council.

- Determining the role of the Coordinating Service Provider.
- Designating and certifying the Coordinating Service Provider.
- Developing a Chief Elected Official – Regional Workforce Investment Board Agreement, outlining how the two boards will cooperate and collaborate in establishing and overseeing the region’s Workforce Development Center system.
- Developing and entering into a Memorandum of Understanding with the Workforce Development Center System Partners.
- Conducting oversight of the local WIA adult, dislocated worker services, and youth programs and the Workforce Development Center system; evaluating service delivery to determine if local needs and priorities are being met; determining whether regional needs have changed and if so, whether a plan modification is necessary; ensuring quality improvement is on-going, and ensuring that performance standards are met.

Developing and submitting the Regional Workforce Development Customer Service Plan based on the Regional Assessment and Analysis.

Chief Elected Official Board

The roles and responsibilities of the Chief Elected Official (CEO) board include:

- Providing input to the Governor, through IWD, on designation of local workforce investment regions.
- Securing nominations for RWIB vacancies in accordance with Iowa Administrative Rules 877 - Chapter 6, and making final selection for appointment.
- Accepting liability for any misuse of WIA funds expended under the contract.
- Serving as Local Grant Recipient under WIA, including designating an entity to serve as local subrecipient.
- In partnership with the RWIB, the CEO board is responsible for:
 - Negotiating and reaching agreement with IWD on local performance standards.
 - Appointing a Youth Advisory Council.
 - Determining the role of the Coordinating Service Provider.
 - Designating and certifying the Coordinating Service Provider.
 - Developing a Chief Elected Official – Regional Workforce Investment Board Agreement, outlining how the two boards will cooperate and collaborate in establishing and overseeing the region’s Workforce Development Center system.
 - Developing and entering into a Memorandum of Understanding with the Workforce Development Center System Partners.

Conducting oversight of the local WIA adult, dislocated worker services, and youth programs and the Workforce Development Center system; evaluating service delivery to determine if local needs and priorities are being met; determining whether regional needs have changed and if so, whether a plan modification is necessary; ensuring quality improvement is on-going, and ensuring that performance standards are met.

- Developing and submitting the Regional Workforce Development Customer Service Plan based on the Regional Assessment and Analysis.

Subrecipient

The roles and responsibilities of the Subrecipient include:

- Entering into a contract with Iowa Workforce Development to be responsible and liable for WIA fiscal functions, and receiving the funds on behalf of the local grant recipient.
- Receiving and disbursing funds for workforce investment activities at the direction of the RWIB in accordance with the Memorandum of Understanding and Local Plan.
- Establishing and maintaining a financial management system that provides fiscal controls and accounting procedures that conform to generally accepted accounting principles and reporting requirements of all funding sources.
- Complying with financial management guidelines as issued by Iowa Workforce Development including the submittal of financial reports.
- Having an audit conducted on funds received and disbursed, and collecting and subsequently disallowed costs from service providers.

Youth Advisory Council

At the direction of the RWIB, the roles and responsibilities of the Youth Advisory Council include:

- Coordinating youth activities in the local area.
- Developing the portions of the Regional Workforce Development Customer Service Plan relating to youth activities.
- Recommending eligible youth service providers to the RWIB.
- Conducting oversight, with respect to the eligible providers of youth activities, in the local area.
- Carrying out other duties, as authorized by the chairperson of the RWIB.

Workforce Development Center System Partners

The roles and responsibilities of the Partners include:

- Making the core services that are applicable to their specific program available to customers through the Workforce Development Center system.

- Using a portion of the resources made available to the partner's program (to the extent not inconsistent with federal law authorizing the program) to create and maintain the Workforce Development Center system and provide core services.
- Designing and integrating products and services based upon the needs and priorities in the Regional Assessment and Analysis.
- Entering into a Memorandum of Understanding with the RWIB and CEO board detailing the services to be provided through the one-stop system; how the cost of services and operating cost of the system will be funded; the method of referral to be used; and the duration of the memo and the procedures to be used to amend it.
- Participating in the development of the Regional Workforce Development Customer Service Plan, as directed by the RWIB and CEO board.
- Implementing its portion (program) of the Regional Workforce Development Customer Service Plan including the delivery of products and services, program management, staff supervision, budgeting, and other related functions.

Determining eligibility for WIA training services, as provide for in the Memorandum of Understanding.

- Selecting sub-providers for the funding streams for which the individual partner is responsible.

Coordinating Service Provider

The RWIB, in cooperation with the CEO board, shall specify the role of the Coordinating Service Provider. That role may range from a minimum of coordinating the Workforce Development Center System within the region to being a provider of WIA services. While coordination involves management of the overall system, it does not include management of the other providers programs or staff, unless negotiated in the Memorandum(s) of Understanding.

- The coordinating role includes, at a minimum:
- Providing overall customer management and tracking, including responsibility for results of enrollments.
- Workforce Development Center system management, including management of Workforce Development Center facilities and ensuring services are accessible and available in every county of the region.
- Ensuring Workforce Development Center System Partner compliance with the Memorandum(s) of Understanding.
- Coordinating and negotiating the Resource Sharing Agreement.
- Ensuring that performance standards and customer satisfaction goals for the Workforce Development Center system are met.
- Providing information and feedback to the Regional Workforce Investment Board and Local Elected Officials concerning the delivery of the services outlined in the

Customer Service Plan versus the needs and priorities identified in the Regional Needs Assessment and Analysis.

- Maintaining, promoting and marketing the Regional Workforce Development Center system.

Developing and submitting an Annual Report to the RWIB on meeting the needs and priorities identified in the Regional Needs Assessment and Analysis.

May, as described in the Memorandum(s) of Understanding, determine eligibility for training services.

WIA Service Provider

WIA Adult, Dislocated Worker, and Youth services may be delivered by a single provider, the CSP, or multiple entities. Within each of these programs, a single service provider or multiple entities may deliver the core and intensive services. The service delivery system design and the selection of the service providers are decisions of the RWIB. Selection of the youth service provider(s) must be through a competitive process. Although not required, the use of a competitive process is also recommended for the selection of the Adult and Dislocated Worker service provider(s).

There are a myriad of possibilities for the delivery of WIA funded services. Examples may be:

- 1) The CSP may be selected to deliver the core services for Adult and Dislocated Worker, another entity may deliver the intensive services for the Adult and Dislocated Worker, and a third entity may deliver youth program(s);
- 1) One entity may be selected to deliver the core and intensive services for the Adult program, a second entity deliver the core and intensive services for the Dislocated Worker Program, and a third entity deliver the youth program(s);

One entity may deliver the core and intensive services for the Adult and Dislocated Worker, and a second entity deliver the youth program(s);

The CSP may be selected to deliver the core services for the Adult and Dislocated worker and the intensive services for the Adult, a second entity deliver the intensive services for the Dislocated Worker, and a third deliver the youth program(s); or

- 2) The CSP may be selected to deliver the core and intensive services for the Adult and Dislocated Worker, and be selected through a competitive process to deliver the youth program(s).

Again, these are only examples. There are additional combinations that may be more appropriate depending on the needs of the Region.

The delivery of core services will include:

- Determining eligibility for WIA core services. In certain circumstances, it may include determining eligibility for training.

Making enrollment decisions for WIA core services.

- Providing WIA core services to adults and/or dislocated workers through the Workforce Development Center system.
- Meeting performance standards and customer satisfaction goals for the WIA Services it delivers.

The delivery of intensive services will include:

- Determining eligibility for WIA intensive services.
- Making enrollment decisions for WIA Intensive services.
- Providing WIA intensive services to adults and/or dislocated workers through the Workforce Development Center system.
- Making enrollment decisions for WIA intensive services.
- Determining eligibility for training and making enrollment decisions.
- Meeting performance standards and customer satisfaction goals for the WIA Services it delivers.

Developing an Individual Employment Plan for customers and provide case management.

- Making eligibility and enrollment decisions for youth.

Iowa Workforce Development

In January of 1999, IWD was the entity designated by Governor Thomas Vilsack to implement the Workforce Investment Act of 1998 within the state. Working on behalf of and in conjunction with the Governor and the State Workforce Development Board, Iowa Workforce Development's roles and responsibilities include:

- Developing the state plan;
- Developing and continuously improving the regional Workforce Development Center system, including:
- Developing linkages to assure coordination and non-duplication of programs and activities as carried out by Workforce Development Center System Partners;
- Addressing any impasse situations in the development of regional Memorandums of Understanding;
- Reviewing regional Customer Service Plans;
- Commenting at least once annually on the measures taken under the Carl Perkins Vocational and Technical Education Act;
- Designating workforce investment regions within the state;

- Developing allocation formulas for the distribution of funds for the WIA Adult and Youth programs;
 - Developing and continuously improving state performance measures to assess the effectiveness of the workforce investment activities in the state;
 - Preparing an annual report to the Secretary of Labor;
 - Developing a state-wide employment statistics system; and
 - Developing an application for WIA incentive grants;
- Verifying data provided for the certification of training providers;
- Maintaining a state-wide list of certified training providers; and
 - Facilitating the nomination process of RWIB members between the CEO board and the Governor.

Regional Workforce Investment Board

The Regional Workforce Investment Board (RWIB), appointed by the Governor in consultation with the Chief Elected Official (CEO) board, plays a leading role in establishing policy for the region's Workforce Development Center system. The RWIB also selects the WIA service providers, directs the activities of the Youth Advisory Council, and shares responsibility for many other duties with the CEO board, including selection of the Coordinating Service Provider and overseeing the regional Workforce Development Center system's service delivery. See the Roles and Responsibilities Section for more information regarding the RWIB.

RWIB Membership Composition

Each RWIB shall have five voting members from business and five voting members from labor, and shall include one county elected official, one city official, one representative of a school district, and one representative of a community college.

Members appointed to a RWIB may send an alternate if the member cannot attend a meeting. The alternate shall not have voting privileges or be counted as present for the member in determining whether or not a quorum is present.

The board may appoint ex officio, nonvoting members.

The board must solicit periodic, regular and meaningful input from disabled persons, older workers, regional or local economic development groups, and the region's Workforce Development Center System Partners. To meet this requirement, it is recommended that the board appoint the following four ex officio members:

A disabled person nominated by an organization that represents or serves disabled persons.

An older worker nominated by a senior community service employment program service provider.

1) An individual nominated by a regional or local economic development organization.

An individual nominated by the regional Workforce Development Center partners.

If ex officio members representing the four groups identified above are not appointed, the RWIB must describe an alternate process to gain input from these groups in its Regional Customer Service Plan.

This regional plan must also describe how input will be solicited from other community based organizations that have an interest in workforce development, provide workforce development

services in the region and are not a Workforce Development Center system partner, and are not represented on the RWIB by either a voting or non-voting member.

Nomination Process for Voting Members

The following procedures must be used in soliciting nominations for voting members on the Regional Workforce Investment Board:

- 1) All nominations for members representing business must be made by local or regional business organizations or trade associations. Business representatives should be owners of businesses, chief executive or operating officers of business and other business executives or employers with optimum policymaking or hiring authority and represent businesses with employment opportunities that reflect the employment opportunities of the region.
- 1) All nominations for members representing labor must be made by appropriate local federations of labor, union councils, or state federations of labor.
- 2) All nominations for members which represent education must be made by local school districts or community colleges, respectively.
- 3) All nominations from business, labor and education must be made in writing with the signed approval of the required nominating organization.
- 4) All nominations for members who are county or city officials shall be made individually or collectively by the region's county boards of supervisors or mayors and city councils respectively.

The overall membership of the board must be balanced by gender and political affiliation consistent with Iowa code section 69.16 and 16.16A. To the extent possible the members should represent all counties within a region served by the board and both voting and non-voting members should represent persons with disabilities, minorities and older workers of the region.

Existing and future RWIB members do not have to be re-nominated unless required to do so by the CEO board of a region.

- 5) Nominations are valid for an unlimited time period unless the Local Elected Officials of a region set a specific time limit.

Additional Region 8 Requirements

In Region 8, which consists of the counties of Audubon, Carroll, Crawford, Greene, Guthrie, and Sac, 14 members of the Regional Workforce Investment Board will be selected cooperatively by the Governor and the CEO board, using the nomination and appointment processes described above. These 14 members of the Regional Workforce Investment Board will constitute the board required under Chapter 84 of the Code of Iowa.

The Region 8 RWIB also must include:

At least two representatives of community-based organizations (including organizations representing individuals with disabilities or veterans, in regions where such organizations are present);

- 2) At least two representatives of economic development agencies;

A representatives of the Workforce Development Center system partners; and

- 3) Individuals or representatives of other appropriate entities, including entities representing individuals with multiple barriers to employment and other special populations, as determined by the Chief Elected Official board.

The majority of the Regional Workforce Investment Board members must represent business, and the chairperson must represent the business sector.

Appointment Process

The process for making appointments to the local board is:

- 1) The CEO board or its designee must solicit nominations from the required business, labor, education, and governmental entities upon notification of a RWIB vacancy.
- 2) The nominating organization must complete and submit the nomination form to the CEO board.
- 3) The CEO board must submit a list of nominees for a board vacancy to IWD. As future vacancies occur, the CEO board must submit nominations within 45 days of the vacancy. The CEO board must submit at least two nominees for each vacancy to IWD at the address listed below for the Governor's review:

Iowa Workforce Development Center Administration
150 Des Moines Street
Des Moines, IA 50309
Attn: Enterprise Development Team

- 4) The Governor will review the list, add or delete nominees from the list and return the revised list to the CEO board within 45 days of receipt of the list by the department.
- 5) If the CEO board fails to submit nominations for a vacancy within the 45-day time period or fails to reach agreement locally on appointments to the board, the governor may appoint a person to fill the vacancy.
- 6) The CEO board will review the revised list and make the final selection of a person to fill a vacancy from the revised list. If the revised list of candidates is not acceptable to the board, the CEO board may submit new candidates to the Governor for consideration and repeat the process until a candidate is appointed,
- 6) The CEO board will send an appointment letter to the person selected to fill the vacancy on behalf of the chief elected officials and the governor within 30 days of receipt of the revised list and send a copy of the letter to IWD at the above address. If the CEO board fails to submit nominations for a vacancy within the 45-day time period or fails to reach agreement locally on appointments to the board, the Governor may appoint a person to fill the vacancy.

Reappointment Process

The appointment process outlined above shall be used to fill RWIB vacancies. However, RWIB members representing business, labor or education who were originally appointed to the Regional Advisory Board do not have to be re-nominated as outlined in the Appointment Process subsection above, unless required to do so by the region's CEO board.

Section

5

Chief Elected Official Board

Under WIA, each region's Local Elected Officials enter into an agreement to define the rights, responsibilities and liabilities of each participating unit of government in the operation of the WIA program. Chapter 28E of the Code of Iowa permits state and local governments in Iowa to make efficient use of their powers by enabling them to provide joint services and facilities with other agencies and to cooperate in other ways of mutual advantage.

This section contains the eligibility criteria for participation of the Local Elected Officials in establishing the CEO board 28E agreement; the required elements of an agreement; the submittal requirements for an agreement; and an explanation of the right of any local government to request a transfer of WIA liability to the State of Iowa. See Section 3 for more information regarding the roles and responsibilities of the CEO board.

Local Governmental Unit

All of Iowa's workforce investment regions include more than one unit of local government, necessitating the execution of a CEO 28E agreement in each region detailing how the responsibilities and liability related to WIA programs will be shared by local governments. Those local governmental units required to participate in the execution of the region's CEO agreement include:

Each county within the region; and

Each of the region's cities with a population of 50,000 or more. (Iowa cities with a population of more than 50,000 residents include: Cedar Rapids, Council Bluffs, Davenport, Dubuque, Des Moines, Iowa City, Sioux City, Waterloo.).

Although required to participate, the Supervisors or Mayor may choose to "opt out" by resolution of their full board of supervisors or city council. By exercising this option, the county or city will no longer share in the liability for the WIA funds or have a voice in the design and oversight of the system.

Any other of the region's cities (population less than 50,000) willing to share the liability and responsibility related to operation of the WIA program have the option to participate in the agreement.

Required Elements of the CEO Agreement

For a joint undertaking such as a CEO Agreement to be valid, each member unit must take appropriate action, by ordinance, resolution or otherwise pursuant to law, to approve entering into the written agreement.

Chapter 28E of the Code of Iowa requires that each such joint agreement specify:

- 1) Its duration;
- 2) The precise organization, composition and nature of any separate legal or administrative entity being created, together with the powers delegated thereto, provided such entity may be legally created. If the agreement does not establish a separate legal entity to conduct the joint undertaking, the agreement must also include:
 - Provision for an administrator or joint board responsible for administering the joint or cooperative undertaking. (In the case of a joint board, governmental units party to the agreement must be represented.); and

The manner of acquiring, holding or disposing of real and personal property used in the joint or cooperative undertaking.

- 3) Its purpose or purposes;
- 4) The manner of financing the joint or cooperative undertaking and of establishing and maintaining a budget therefore;
- 5) The permissible method or methods to be employed in accomplishing the partial or complete termination of the agreement and for disposing of property upon such partial or complete termination; and
- 6) Any other necessary and proper matters.

In addition to the elements required in the Iowa Code, for WIA purposes, each CEO 28E Agreement must identify the process for:

Selecting the chairperson of the group;

- 1) Making nominations and selection for appointment to the RWIB;
- 2) Apportioning responsibility and liability among participating units of government losses, expenses and burdens which may result from any misuse of WIA grant funds; and
- 3) Designating an entity to serve as local subrecipient.

Submittal Requirements

If the Local Elected Officials take action to amend the region's CEO 28E agreement, the revised agreement must be filed with the Secretary of State and the County Recorder of each county that is party to the agreement. At that time, a copy should also be sent to IWD at the following address.

Iowa Workforce Development Center Administration
150 Des Moines Street
Des Moines, IA 50309

Attention: Enterprise Development Team

Request for State to Serve as Grant Recipient

The Workforce Investment Act states that the Chief Elected Official board in a workforce investment region shall serve as the Local Grant Recipient and shall be liable for any misuse of the WIA funds, unless the CEO board reaches an agreement with IWD to act as the Local Grant Recipient and bear such liability. In Iowa, the intent is to implement the legislation as enacted. Only in a rare or extreme situation would the state consider acting as the Local Grant Recipient.

RWIB-CEO Agreement

Because the Regional Workforce Investment Board (RWIB) and the Chief Elected Official (CEO) board share responsibility for many duties under WIA, an agreement developed between the RWIB and the CEO board defines how those joint duties will be handled.

CEO Board-RWIB Shared Responsibilities

At a minimum, the RWIB-CEO board agreement includes:

- 1) A description of how the Coordinating Service Provider will be selected: In selecting a Coordinating Service Provider, the two boards have three options: a) using a competitive process (i.e. preparing a Request for Proposal); b) selecting a consortium of three or more Required Workforce Development Center System Partners, without the requirement to use a competitive process; or c) grandfathering the existing Coordinating Service Provider. Some issues to be considered include:
 - How will the two boards jointly define what the Coordinating Service Provider's role will be?
 - How will the boards decide which of the three options to use in selecting a Coordinating Service Provider?
 - Will one board take a lead role in the process of selecting the Coordinating Service Provider or will the process take place at joint meetings?
 - How will the two boards come to an agreement on the Coordinating Service Provider? (If the two boards cannot agree whom to select as the Coordinating Service Provider, the Governor may intercede.)
- 1) **A description of how the CEO board and RWIB will be involved in negotiation of performance measures with IWD:** WIA identifies certain performance measures to be used in evaluating the service delivery systems. Acceptable performance levels must be established for each region's adult, dislocated worker, and youth programs. The RWIB, CEO board and IWD will negotiate the local performance standards. Issues to be considered include:
 - Who will be directly involved in the process of negotiating the region's WIA performance measures with Iowa Workforce Development? The chairpersons of the two boards? A committee? The full boards?
- 2) **A description of how the CEO board and RWIB will develop the Memorandum of Understanding:** The CEO board and the RWIB are required to develop a Memorandum

of Understanding with each Workforce Development Center System Partner relating to the operation of the Workforce Development Center system. The Memorandum of Understanding will identify services to be provided through the system; the funding of services and operating costs of the system; and methods for referring individuals between partners. Issues to be considered include:

- Who will be responsible for initiating development of the Memorandum of Understanding?
 - Will it be approved by the boards at a joint meeting, or in separate meetings? How will amendments of the memorandum be handled?
- 3) **A description of how the CEO board and RWIB will develop and approve the Regional Workforce Development Customer Service Plan:** WIA requires the development of a five-year plan identifying the region's workforce development needs and how services will be delivered to meet those needs. Issues to be considered include:
- Who will be responsible for developing and/or amending the region's Customer Service Plan?
 - How often should it be reviewed and/or updated?
 - How will review and evaluation of the plan be handled prior to consideration of the plan for approval by the two boards?
 - Will approval of the plan take place at a joint meeting or in separate meetings?
- 4) **A description of how the CEO board and RWIB will share oversight of the Workforce Development Center system:** The RWIB and CEO board must establish priorities for the system and ensure the needs are addressed through a system of oversight. Oversight is defined as reviewing, monitoring, and evaluating WIA service delivery and the operation of the Workforce Development Center system. They may also take action to reward or sanction the CSP or a service provider for performance. Issues to be considered include:
- What will the process be for shared oversight of the Workforce Development Center system?
 - Will specific committees be established for oversight of certain activities, such as budget, customer satisfaction, training provider certification, and WIA general performance standards?
 - Will one board take a lead role, or will the oversight function be performed jointly?
 - Will there be an established schedule for evaluation of the system and WIA service providers?
 - When will the board review customer satisfaction survey results?
 - How will complaints about the system be handled?
- 5) **A description of the process to be used by the CEO board and RWIB to appoint the Youth Advisory Council:** The Youth Advisory Council is appointed to provide expertise

in youth policy and help the RWIB in developing and recommending youth employment and training policy and practice. Issues to be considered include:

- What will the Youth Advisory Council's role be in local plan development, and in oversight of youth programs?

What process will be used to select Youth Advisory Council members?

- What will the term length be for appointments?
- Will a separate budget be established and approved by the CEO board for the Youth Advisory Council?

6) **Amendment:** A description of the process for modification or amendment of the RWIB-CEO agreement.

1) **Local Budget:** A description of the process used to develop an operating budget for the RWIB and the Youth Advisory Council.

2) **Communication:** A description of the methods used by the CEO board and RWIB to keep each other informed.

The Chairs of the RWIB and CEO board shall submit an executed copy of the RWIB-CEO Agreement to Iowa Workforce Development Center Administration

150 Des Moines Street
Des Moines, IA 50309

Attn: Enterprise Development Team

Youth Advisory Council Appointment

Each Workforce Investment Region must have a Youth Advisory Council to provide expertise and recommendations regarding youth employment and training policy. The Youth Advisory Council will:

Help develop portions of the Customer Service Plan relating to eligible youth, as determined by the RWIB;

Recommend and oversee eligible youth service providers; and

Coordinate youth activities funded under WIA.

The Regional Workforce Investment Board (RWIB), in cooperation with the Chief Elected Official (CEO) board, must appoint and establish the Youth Advisory Council. After the Youth Advisory Council is established, it is to carry out its responsibilities at the direction of the RWIB.

Youth Advisory Council Membership

Youth Advisory Council membership shall include:

Members of the RWIB that have a special interest or expertise in youth policy.

Individuals who represent youth service agencies, such as juvenile justice and local law enforcement agencies;

Individuals who represent local public housing authorities, if applicable;

Parents of youth eligible for WIA youth services or that were served under a Job Training Partnership Act youth program;

Individuals with experience relating to youth activities;

Former JTPA Youth Program participants, or former WIA Youth Program participants;

Representatives of the Job Corps, if Job Corps has an office within the region; and

Any other individuals the chairperson of the RWIB, in cooperation with the CEO board, determines to be appropriate.

The size of the Council, the number of representatives from each sector, term length, nomination process, and county/city representation are decisions of the RWIB and CEO

board. The exact composition of a region's RWIB shall be specified in the RWIB-CEO Agreement.

The RWIB shall submit the name, mailing address, and sector affiliation of each Youth Advisory Council appointee to IWD for IWD mailing list purposes. The list, and subsequent appointments, are to be submitted to:

Iowa Workforce Development Center Administration
150 Des Moines Street
Des Moines, IA 50309

Attn: Enterprise Development Team

Designation of the Coordinating Service Provider and WIA Service Providers

To receive funds made available under Title I of WIA, the Regional Workforce Investment Board (RWIB), in agreement with the Chief Elected Official (CEO) board, must designate an entity as the Coordinating Service Provider (CSP) for the local workforce investment region. In addition, the RWIB must designate Service Providers for core and intensive services for Adults and Dislocated Workers, as well as a Youth Service Provider to provide day to day oversight of the Youth Program and to provide eligibility determinations, enrollment, objective assessment and individual service strategies for Youth.

The RWIB and CEO board must first determine the role of the CSP. The CSP could simply be a coordinator of service providers, or it could be the primary provider of WIA services within the center. This must be the first step in the process since the RWIB and CEO board may want to consider grandfathering the current CSP, but must know the role of the CSP to determine if the current CSP has the expertise to fulfill the role.

The second step in the process is for the RWIB and CEO board to determine if they want to grandfather the current CSP, based on the role that has been determined. The boards also need to determine if the current CSP desires to be grandfathered. If all parties agree to the grandfathering of the current CSP then proceed to #1 under the Designation Process Options subsection below.

If the RWIB or CEO board do not desire to grandfather the existing CSP, or if the CSP members do not desire to be grandfathered, then the WIA Service Provider(s) need to be selected prior to the designation of the CSP. This allows the RWIB and CEO board to utilize either of the two additional options for selecting the CSP: the competitive process; or the consortium of three or more of the mandatory partners.

Coordinating Service Provider (CSP)

The CSP is the entity, or consortium of entities, which coordinates the operation of the regional Workforce Development Center system. A written agreement between the RWIB, CEO and the CSP must specify the CSP's role. Refer to the Roles and Responsibilities section of this Handbook for minimum responsibilities of the CSP.

Eligible Entities

The Coordinating Service Provider may be a public or private entity of demonstrated effectiveness, or a consortium of entities, located in the region. Eligible entities may include, but are not limited to the following:

- The current Coordinating Service Provider;

A post-secondary educational institution;

- An Employment Service agency established under the Wagner-Peyser Act on behalf of the local office of the agency (Iowa Workforce Development);

A private nonprofit organization (including a community based organization);

- A private for-profit entity; A government agency; or

Another interested organization (includes a local chamber of commerce or other business organization).

Under WIA, elementary schools and secondary schools are the only entities not eligible for designation or certification as a Coordinating Service Provider. However, nontraditional public secondary schools and area vocational schools are eligible for designation.

Designation Process Options

To designate a Coordinating Service Provider, the RWIB must utilize one of the three processes listed below. The RWIB may pursue more than one option concurrently.

- 1) An agreement with the Governor to designate the Coordinating Service Provider (CSP) that was in place on August 7, 1998;

In order to utilize this option, the chairpersons of the RWIB and CEO must provide a written notice to IWD indicating that both boards have taken appropriate action and desire to pursue this option.

- 2) A competitive process;

At a minimum, the competitive process to designate the Coordinating Service Provider must include the following:

a) Public Notice

A public notice must be published in one of the official county newspapers, as designated by the county board of supervisors. The public notice must indicate that the RWIB and CEOs will be holding a joint meeting to select the Coordinating Service Provider(s) for the Region. The notice must list the criteria that will be used in the selection of the Coordinating Service Provider(s). The notice must also require that written proposals be submitted by a specific date, and should invite interested entities to give presentations and answer questions relating to the selection criteria listed below at the joint public meeting. Notices must also be mailed to potentially interested entities within the local region.

b) Public Meeting

Since the RWIB and CEO board must agree on the designation of the CSP, at a minimum, the RWIB and CEO must conduct a public meeting to review the written proposals received, obtain any additional information from entities submitting written proposals, and reach an agreement as to the selection(s).

Criteria for Selecting Coordinating Service Provider(s) The following criteria are suggested to be considered and addressed in the selection of a CSP:

- The effectiveness of the agency or organization in delivering comparable or related services based on documentation of: achievement of performance and service level

requirements, previous audit and monitoring reports and capability of the agency's fiscal unit to manage a similar type of program or project;

The likelihood of meeting program goals based upon factors such as past performance, staff commitment, and availability and location of staff;

- The effectiveness of the agency or organization in minimizing the duplication of services, while at the same time maximizing the coordination with other agencies and organizations to provide the highest quality activities and services to the participants in the programs; and
 - Other criteria as determined by the RWIB and CEO.
- 3) An Agreement between the RWIB and a consortium of entities that, at a minimum, includes three (3) or more of the Required Partners.

In order to utilize this option, at a minimum, the RWIB and CEOs must notify all Partners that they are willing to consider proposals from Mandatory Partners, and hold an open meeting to obtain input and finalize the action.

Adult and Dislocated Worker Service Provider

The Act requires that core and intensive services for the Adult program and the Dislocated Worker program be provided through the Workforce Development Center. The Act also indicates that these services, for the two separate WIA programs, may be provided by one entity or a number of different entities. If the role of the CSP includes the provision of core and intensive services for adults and dislocated workers, then the selection of adult and youth service providers may be combined with the selection of the CSP. The RWIB and CEOs must therefore determine the most effective and efficient manner to provide these services in the Region. The RWIB and CEOs must also determine which Service Providers will be responsible for ensuring that WIA performance standards are met, and that the Service Provider(s) responsible for performance have the authority to make enrollment decisions for the participants for whom they are responsible for performance. In selecting Service Providers under WIA, the RWIB may use the following procedure, or may develop a more formal procurement procedure.

Designation Procedure

At a minimum, the procedure to designate Service Providers must include the following:

1) Public Notice

A public notice must be published in the official county newspaper, as designated by the county board of supervisors. The public notice must indicate that the RWIB will hold a meeting to select the Service Provider(s) to provide core and intensive services for the Adult and Dislocated Worker programs under Title I of the Workforce Investment Act. The notice must list the criteria that will be used in the selection of the Service Provider(s), and must also invite interested entities to give presentations and answer questions relating to the selection criteria listed below. Notices should also be mailed to potentially interested entities within the local region.

2) Public Meeting

The RWIB must conduct a public meeting to obtain information from entities interested in providing core and intensive services in the local region and to reach an agreement as to the selection of the Service Provider(s).

3) Criteria for Selecting Service Providers

The following are examples of criteria that could be considered and addressed in the selection of a Service Provider.

- The effectiveness of the agency or organization in delivering comparable or related services based on documentation of: achievement of performance and service level requirements, previous audit and monitoring reports and capability of the agency's fiscal unit to manage a similar type of program or project;
- The likelihood of meeting performance goals based upon factors such as past performance, staff commitment, and availability of staff; and
- The effectiveness of the agency or organization in minimizing the duplication of services, while at the same time maximizing the coordination with other agencies and organizations to provide the highest quality activities and services to the participants in the program. Other criteria as determined by the RWIB.

Youth Services Service Providers

The Act requires that Youth Service Providers be selected via a competitive process, and based on recommendations of the Youth Advisory Council. Since the delivery of the youth services could be accomplished through a number of different Service Providers, the RWIB should initially designate a Youth Service Provider to coordinate the operation of the Youth Program and to provide eligibility, enrollment, objective assessment and individual service strategy services for youth. Additional Youth Service Providers could be designated at a later date.

Designation Procedure

At a minimum, the procedure to designate the Youth Service Provider(s) must include the following:

1) Public Notice

A public notice must be published in one of the official county newspapers, as designated by the county board of supervisors. The public notice must indicate that the RWIB will hold a public meeting to select a Youth Service Provider to coordinate the operation of the Youth Program, and to provide eligibility, enrollment, objective assessment and individual service strategy services for youth. The notice must list the criteria to be used in the selection of the Youth Service Provider(s) and must require that written proposals be submitted by a specific date. The notice must also invite interested entities that have submitted written proposals to give presentations and answer questions relating to the selection criteria at the public meeting. Notices must also be mailed to potentially interested entities within the local region.

2) Public Meeting

The RWIB must conduct a public meeting to review the written proposals received, to obtain any additional information from entities submitting written proposals, and reach an agreement as to the selection(s).

3) Criteria for Selecting Youth Service Providers

The following are examples of criteria that could be considered and addressed in the selection of a Service Provider:

- The effectiveness of the agency or organization in delivering comparable or related services based on documentation of: achievement of performance and service level requirements, previous audit and monitoring reports and capability of the agency's fiscal unit to manage a similar type of program or project;
- The likelihood of meeting performance goals based upon factors such as past performance, staff commitment, and availability of staff; and
- The effectiveness of the agency or organization in minimizing the duplication of services, while at the same time maximizing the coordination with other agencies and organizations to provide the highest quality activities and services to the participants in the program.
- Other criteria as determined by the RWIB.

Memorandum of Understanding

Under the Workforce Investment Act (WIA), the regional Workforce Development Center System Partners are required to enter into a Memorandum of Understanding (MOU) with the Regional Workforce Investment Board (RWIB), with the agreement of the Chief Elected Official (CEO). The MOU provides the basis for the structure of the Workforce Development Center System within the local region.

Background

WIA requires the establishment of a Workforce Development Center system that streamlines access to numerous workforce investment, educational, and human resource services, activities and programs. Certain “required” Workforce Development Center System Partners and other optional Partners must collaborate to create a seamless system of service delivery that will enhance access to the programs’ services and improve long-term employment outcomes for individuals receiving assistance. The Act requires at least one comprehensive physical center in each region, where applicable core services of the partner’s programs are accessible to individuals. WIA also allows for three other arrangements to supplement the comprehensive center. These include: (1) a network of affiliated sites that provide one or more of the programs, services and activities of the Partners; (2) a network of Partners through which all individuals are provided information on the availability of core services in the local region; and (3) specialized centers that address specific needs. The Act also requires that all Partners use a portion of the resources made available to the partner’s program (to the extent not inconsistent with the federal law authorizing the program) to create and maintain the Workforce Development Center system. The Memorandum of Understanding describes and formalizes the relationships and cost sharing among the Partners.

Memorandum of Understanding Defined

The Memorandum of Understanding (MOU) is an agreement developed and executed between the Regional Workforce Investment Board, with the agreement of the Chief Elected Official board, and the Workforce Development Center System Partners relating to the operation of the Workforce Development Center system in the region.

There may be a single “umbrella” MOU developed that addresses the issues relating to the regional Workforce Development Center system for the RWIB and all the Partners, or the RWIB and Partners may decide to enter into several separate agreements. Regardless of whether there is a single MOU or a number of MOUs, each partner should be aware of the agreements set forth in all memorandums.

Negotiating the Memorandum of Understanding

The RWIB and the CEO Board should take the lead and initiate the negotiation process for the development of the MOU. Prior to the start of negotiations the following tasks should be completed:

- All of the local Partners and the services they provide must be identified.
- The Coordinating Service Provider must be named.
- The role of the CSP must be determined.
- The Needs Assessment should be completed.
- A decision must be made as to whether there will be a single umbrella MOU or whether there will be a number of MOUs with the various Partners.

Minimum MOU RequirementsThe MOU must include, at a minimum:

- 1) The services to be provided through the Workforce Development Center system.
- 2) The MOU must identify the location of the comprehensive Workforce Development Center(s), as well as other locations where each partner's services will be provided. The Workforce Investment Act requires that all partners make the applicable core services attributable to the Partner's program available, at a minimum, at one comprehensive physical center in the region. The Act also requires that all Adult and Dislocated Worker core services be made available at the comprehensive center. In addition, core services may be provided at additional sites and partners' applicable core services need not be provided exclusively at the comprehensive Workforce Development Center. Making core services available at the comprehensive center means that an individual can receive the core services at the center without being referred to another location. The applicable core services may be made available by:
 - The provision of appropriate technology at the comprehensive Workforce Development Center,
 - Co-locating personnel at the center,
 - Cross-training of staff, or
 - Through a cost reimbursement agreement.

The regulations require that the Workforce Development Center System Partners use the Workforce Development Center system to provide access to the partners' other activities and programs. The programs and services that will be available at the different locations must be specified, as well as the manner in which the services will be made available.

- 3) How the costs of the services to be provided through the Workforce Development Center system and the operating costs of the system will be funded.

The Act requires that Workforce Development Center System Partners use a portion of the resources made available to the partner's program (to the extent not inconsistent with the federal law authorizing the program) to create and maintain the Workforce Development Center system and to provide core services. The particular arrangements for funding the services provided through the Workforce Development Center system and

the operating costs of the system must be described in the MOU. Each partner must contribute a fair share of the operating costs based on the use of the Workforce Development Center delivery system by the individuals attributable to the partner's program. Methods that may be used for allocating costs among Partners include cost pooling, indirect cost allocation, and activity based cost allocation plans. The Department of Labor has indicated that it will issue guidance or technical assistance relating to acceptable cost allocation methods.

While the resources that a partner contributes do not have to be cash, the resources must be of value, and must be necessary for the effective and efficient operation of the center system. The specific method of determining each partner's proportionate responsibility must be described in the MOU. This could include a list of resources that each partner is providing toward the operation of the system.

- 4) The methods of referral of individuals between the Coordinating Service Provider and the Workforce Development Center System Partners.

Since it is intended that the Common Intake/Case Management System will be utilized to facilitate the referral of participants among Partners, all Partners should be encouraged to use the system. The MOU must identify the Partners who will be using the Common Intake/Case Management System as the primary referral mechanism, and identify how referrals will occur between and among the Partners not utilizing the Common Intake/Case Management system. The referral system must be more than handing customers a brochure of those WDC Partners not located at the Center. The referral system should always be to the advantage of the customer and include a follow-up contact to ensure the customer was provided service. The MOU must also identify the Partner or Partners responsible for conducting overall case management to ensure that participants are receiving the services for which they are being referred (excluding self-service and informational core services), and that participants are not "lost" in the referral process between the different Partners.

- 5) The duration of the memorandum.

The MOU must identify when the MOU will become effective as well as when the memorandum will terminate or expire. The effective date of the MOU must be no later than July 1, 2000.

- 6) The procedures for amending the memorandum.

The process or procedure for amending the MOU must be identified. The procedure should include such items as:

- the identification of who can initiate an amendment;
- the timelines for completing an amendment;
- the conditions under which an amendment will become necessary; and
- the method of communicating changes to all of the Partners.

Since most Partners' budgets fluctuate on an annual basis, partner contributions for the operating costs of the WDC system should be re-evaluated annually.

- 7) Other provisions that the parties to the memorandum determine to be appropriate.

Special provisions addressing issues such as the need for specific services identified in the Needs Assessment or prioritizing services to a target population should be included.

Failure to Negotiate a MOU with All Required Partners

It is a legal obligation for the RWIB, CEO and Partners to engage in good faith negotiation and reach agreement on the MOU. The Partners, the RWIB and the CEO may seek the assistance of Iowa Workforce Development or other appropriate State agencies in negotiating the MOUs. After exhausting all alternatives, IWD or the other State agencies may consult with the appropriate Federal agencies to address impasse situations.

Section 10

Regional Customer Service Plan

The Workforce Investment Act requires that each RWIB, in partnership with the region's CEO board, develop and submit to the Governor a five-year comprehensive plan that is in compliance with the state's Workforce Investment plan. A region must have an approved plan in place to receive Workforce Investment Act funds. In this Regional Customer Service Plan State, the RWIB and CEO board must:

- Identify what services are available in the region;
 - Explain how those services are accessed; and
 - State what the region's workforce development priorities are.

The plan's perspective should be that of explaining the services and operation of the region's Workforce Development Center system to a prospective customer.

Public Input Process

Prior to submitting the plan to the Governor, the RWIB must provide opportunities for public input regarding the plan. The public input process must include, at minimum:

- 1) Making copies of a proposed regional plan available to the public through such means as public hearings and public notices in local newspapers.
- 2) Allowing a 30-day period for RWIB members and members of the public, including representatives of business and labor organizations, to submit comments to the RWIB on the proposed plan after the plan is made available to the public. (The 30-day comment period begins on the day the plan is first made available to the public.)
- 3) When submitting the plan to the Governor, including any comments received expressing disagreement with the plan.
- 4) Holding open meetings, to make information about the plan available to the public on an on-going basis.

The public input process used by the region must be included as a portion of the plan.

Plan Submission

The Regional Customer Service Plan must be formally approved by the Regional Workforce Development Board and Chief Elected Official board, and an original signed document and four copies must be submitted by April 1, 2000, to:

Iowa Workforce Development
Attn: Enterprise Team
150 Des Moines St.
Des Moines, IA 50309

IWD will review and approve the Regional Customer Service Plan, unless:

- 1) Deficiencies in the plan are identified in writing by IWD, and revision is required; or
- 2) The plan is not in compliance with Title I of the Workforce Investment Act and the regulations, including the required consultations and public comment provisions.

Contents of Plan

The Regional Customer Service Plan must include:

- 1) An identification of:
 - a) The workforce investment needs of businesses, jobseekers, and workers in the region;
 - b) Current and projected employment opportunities, and the job skills necessary to obtain such opportunities;
 - c) The workforce development priorities established by the RWIB and CEO board.
- Since the Regional Needs Assessment and Analysis must be included as an attachment to the plan, please just include an executive summary here.
- 2) A description of the Regional Workforce Development Center system, including
 - a) The locations of access points, including the region's One-Stop Center, satellite workforce development centers, resource centers, and other locations within the region where access to services will be provided (including the access point in each county for Iowa Workforce Development services, which is required by state law);
 - b) What products and services will be delivered at each of these locations, and how access to those services will be provided at that location;
 - c) Identification of the products and services that may be provided upon a fee basis and an explanation of the amount and circumstances when the fee will be applied.
 - 3) A description or flowchart of the Workforce Development Center service delivery system, identifying how customers will be served and referred within the center system, and when necessary, how program services (including WIA Adult, Dislocated Worker and Youth Program services) will be provided to customers, including employers.
 - 4) A description of the following:
 - a) Youth Program

Each Regional Customer Service Plan must include detailed information on how all required youth services will be made available to eligible youth throughout the region. The WIA legislation provides the opportunity for local RWIBs to collaborate with existing service providers, and to utilize multiple service providers as appropriate. At a minimum, each region must make available services in the 10 areas listed below.

- Tutoring, study skills training and instruction leading to secondary school completion, including dropout prevention strategies;
- Alternative secondary school offerings; Summer employment opportunities directly linked to academic and occupational learning;
- Paid and unpaid work experiences, including internships and job shadowing; Occupational skill training;
- Leadership development opportunities, which may include such activities as positive social behavior and soft skills development such as positive attitudinal development, self esteem building, cultural diversity training and work simulation activities; decision making; team work; and other activities;
- Supportive services such as linkages to community services, assistance with transportation costs, childcare costs, dependent care costs, housing costs, referrals to medical services and assistance with uniforms or other appropriate work attire and work related tool costs;
- Adult mentoring for a duration of at least 12 months, that may occur both during and after program participation;
- Follow-up services which may include leadership development and supportive services, regular contact with a youth participant's employer, assistance in securing better paying employment, career development and further education, work-related peer support groups, adult mentoring and tracking the progress of youth in employment after training;
- Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as appropriate counseling referrals based on the needs of the participant.

Through careful planning and local collaboration, based on individual need youth are to be provided comprehensive youth development services.

At a minimum, the following items must be specifically addressed in the youth section of the Regional Customer Service Plan:

i) Youth Service Delivery

This portion of the plan must describe how each of the 10 required services will be delivered in the region. The description must identify the service provider(s) that will be providing the service, as well as how the service will be offered throughout the entire region. Regional collaboration efforts are to be demonstrated through this portion of the plan. Through careful planning, a comprehensive menu of services is to be available to eligible youth participants.

This section must also provide an explanation of how the services and activities offered to youth meet the priorities of the region as established in the Youth Services Needs Assessment.

ii) Eligibility

The RCSP must identify the entity(ies) responsible for conducting eligibility determinations for youth. If any entities other than the Youth Service Provider(s) are being allowed to conduct eligibility determinations, the RCSP must identify those entities. Also, the RCSP must describe the reasonable safeguards in place to review the eligibility determinations, and the provisions for reimbursement of costs incurred because of erroneous determinations.

The Act requires that low-income youth meet one of a number of characteristics in order to be determined eligible for WIA. One of those characteristics is “an individual who requires additional assistance to complete an education program or to secure and hold employment.” The RCSP must define this category. The criteria for this category must relate to participant characteristics or needs, and not financial need, since family income is already a required criterion.

The Act also allows that up to five percent of youth participants need not meet the income criteria if they meet one or more of a number of characteristics. One of those is “face serious barriers to employment.” The RCSP must define this category. If terms are used that are not defined in the Definitions section of this Handbook, they must also be defined.

iv) Selection for Enrollment into WIA

Since WIA funding is limited, it is probable that there will be more youth applying for WIA services than can be accommodated. The RCSP must describe the procedure, criteria, or methodology that will be utilized for determining which registrants will be enrolled into WIA. The process must provide for fair and equitable selection among eligible applicants. If certain segments of the youth population are to be targeted or given priority for service, those segments must be identified.

v) Cost Sharing Between Regions

If a region will be sharing the costs of delivering WIA services with another region within a labor market area, that arrangement and cost-sharing agreement should be described within this section of the plan.

b) Adult and Dislocated Workers Program

The following items must be clearly specifically addressed in the Regional Customer Service Plan:

i) Eligibility

The RCSP must identify the entity(ies) responsible for conducting eligibility determinations for adults and dislocated workers. If any entities other than the Adult and Dislocated Worker Service Providers are being allowed to conduct eligibility determinations, the RCSP must identify those entities. Also, the RCSP must describe the reasonable safeguards in place to review the eligibility determinations, and the provisions for reimbursement of costs incurred because of erroneous determinations.

ii) Selection for Enrollment into WIA

Since WIA funding is limited, it is probable that there will be more individuals applying for WIA services than can be accommodated. The RCSP must describe the procedure, criteria, or methodology that will be utilized for determining which registrants will be enrolled into WIA. The criteria must provide a fair and equitable method for selection among eligible applicants. The criteria may include priority for residents of the Workforce Development Region, and individuals dislocated from an employer within the region.

iii) Selection for Intensive and Training Services

State policy allows that five percent of the individuals enrolled into the Adult program for intensive and training services do not need to be below 150 of the lower living standard income level. The RCSP must clearly delineate the criteria that will be used for enrolling individuals in this five- percent window.

The Act and regulations allow for adults and dislocated workers who are employed to be enrolled in Intensive and Training services if it is determined that the individuals need the services to obtain or retain “employment which leads to self-sufficiency.” The RCSP must describe the criteria that will be used for determining self-sufficiency. The criteria must be based on income, and either a percentage of the lower level income standard level or a comparison to some other published income or wage level, or on a percentage of the wage of dislocation for dislocated workers.

b) Cost Sharing Between Regions

If a region will be sharing the costs of delivering WIA services with another region within a labor market area, that arrangement and cost-sharing agreement should be described within this section of the plan.

c) Activities and Services

The Regional Customer Service Plan must address the activities and services that will be available in a region, as well as any limitations relating to them.

i) Activities

The Regional Customer Service Plan (RCSP) must contain a list of the Activities and Services that will be provided in the region.

The Activities and Services section of this Handbook contain default time limitations or duration for most activities. These limitations may be adjusted in each region. Any increases or decreases in the default limitations must be clearly stated in the RCSP.

ii) Supportive Services

The RCSP must contain a list of the Supportive Services that will be provided in the region.

The RCSP must also describe the methodology by which eligibility for supportive services will be determined. The methodology must ensure that all individuals with similar circumstances, in the same activities, are treated equitably. There may be different methodologies for determining eligibility for different supportive services, and for different programs. Any differences must be clearly stated in the RCSP.

The RCSP must also delineate any rates of payment, or any maximum amounts or duration for each supportive service. Rates, maximum amounts, and duration may differ by program. Any differences must be clearly stated in the RCSP.

d) Individual Training Accounts (ITA)

Individual Training Accounts are the standardized methodology by which a participant's training costs are funded. Refer to the Individual Training Account section of this Handbook for more information on ITAs.

The RCSP must identify any limitations on the dollar amount and/or duration of an ITA. There may be a limit for an individual participant that is based on the needs identified in the Individual Employment Plan (IEP), as documented by an individual needs determination, or there may be a maximum amount applied to all ITAs. The amount of any ITA must be decreased by the amount of any Pell Grant awarded to a participant.

5) Identification of the Chief Elected Official and Regional Workforce Investment Board's oversight policies concerning the region's performance standards and continuous improvement activities;

- a) Attach a copy of the performance measures negotiated with IWD for the region;
- b) Identify how the Regional Workforce Investment Board and Chief Elected Official board will evaluate the service delivery process and service providers' performance. How will performance problems that arise between regularly scheduled evaluations be handled?
- c) Describe the annual budget development, review and monitoring process for the region.

6) Identification of the public input process used in developing and submitting the Regional Customer Service Plan. (See the Public Input Process subsection above.)

Also, describe how economic development groups, older workers, disabled individuals, and Workforce Development Center system partners are provided an opportunity to provide periodic and meaningful input regarding the operation of the workforce development system. (Examples might include the identification of ex officio RWIB members appointed to represent those groups, or the attachment of a comprehensive distribution list used to regularly solicit input from these groups.)

7) Identification of the Subrecipient or entity responsible for the disbursement of grant funds;

8) Attach a copy of the procurement procedure each contractor uses to award grants and contracts for WIA Title I activities, including:

- Contracts for on-the-job training services provided by an employer, or customized training;
- Contracts for training services in a region where the RWIB determines there are an insufficient number of training providers to accomplish the purpose of ITAs;
 - What criteria will be used to make such a determination?

- Contracts for training services provided by community-based organizations or other private organizations for special population groups that face multiple barriers to employment.
 - Under what circumstances will such a contract be considered? What special population groups are targeted for such services within the region?

NOTE: Procurement of training services via customers' use of Individual Training Accounts is excluded, and need not be addressed in this section.

9) Attachments including:

- The regional Needs Assessment and Analysis;
- The region's Memorandum of Understanding; A copy of the region's Complaint Procedures. (See Section 25: Local Complaint Procedures.); and
- Proof of publication for public notices soliciting public input for the plan.

Modification of Plan

Modifications to the Regional Customer Service Plan may be required by IWD under certain circumstances, including:

- Significant changes in regional economic conditions;
- Changes in the financing available to support WIA Title I and partner-provided WIA services;
- Changes in the Regional Workforce Investment Board structure; or
- A need to revise strategies to meet performance goals.

A proposed modification of the plan must be approved by vote of the RWIB and CEO board at a public meeting.

Eligibility for WIA Title I Programs

This section contains the eligibility requirements for Adult, Youth and Dislocated Worker Program participation in Title I of the Workforce Investment Act. Refer to the Applicant and Participant Process section of this Handbook for eligibility determination procedures.

Adult Program

To be eligible to participate in the WIA Adult Program, an applicant must meet all three of the following criteria:

- 1) Eighteen (18) years of age or older; **AND**
- 2) Registered with the selective service, if applicable; **AND**
- 3) A citizen or national of the United States, a lawfully admitted permanent resident alien, a lawfully admitted refugee or parolee or an individual authorized by the Attorney General to work in the United States.

NOTE: *The Act requires that, in the event that funds allocated to a region for **Adult** employment and training activities are limited, priority for intensive and training services funded with **Adult** funds must be given to recipients of public assistance and other low-income individuals in the region. Since the Adult Program funds are limited, IWD has determined that prioritization is demonstrated if 55 percent of the Adult Program participants are welfare recipients or low-income individuals. An additional 40 percent must have a family income that does not exceed 150 percent of the lower living standard income level. The remaining 5 percent must meet the criteria established in the Regional Customer Service Plan. Service providers may serve more than 40 percent of individuals with family income up to 150 percent if a waiver was applied for in the Regional Customer Service Plan and the waiver was approved by IWD.*

NOTE: *An eligible employed worker must have registered for and received core services and been determined by the WIA Intensive Service Provider to be in need of intensive services to obtain or retain employment that leads to self-sufficiency.*

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Mar 2008

If an adult is enrolled in intensive or training services and works in a permanent, full-time job that leads to self-sufficiency for four weeks, the WIA worker must determine if WIA can continue to fund the intensive or training services based on the following criteria:

- If the individual has taken the full-time permanent employment to meet basic needs of the individual or family so he or she can achieve the employment goal in the IEP, WIA intensive or training services can continue.
- If the job that the individual has taken requires the training he or she is currently receiving, WIA intensive or training services can continue. For example, a participant must obtain a teaching certificate to get or keep a teaching job.

- If the participant has obtained full-time permanent employment and is no longer pursuing the employment goal in the IEP but simply wants to complete the intensive or training services, the WIA intensive or training services should be ended.

Youth Program

To be eligible to participate in the WIA Youth Program, an applicant must meet all five criteria listed below:

- 1) Not less than age 14 or more than age 21; AND
- 2) A low-income individual; AND
- 3) An individual who is one or more of the following; AND
 - Deficient in basic literacy skills (has English reading, writing, or computing skills at or below the eighth grade level);
 - A school dropout (this does include individuals enrolled in an alternative school);
 - Homeless, a runaway, or a foster child;
 - Pregnant or parenting;
 - An offender;
 - An individual who requires additional assistance to complete an education program, or to secure and hold employment;

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Effective
March 1 2009

NOTE: *The criteria for this category must relate to participant characteristics or needs and not financial need, since family income is already a required criterion.*

- 4) Registered with the selective service, if applicable; **AND**
- 5) A citizen or national of the United States, a lawfully admitted permanent resident alien, a lawfully admitted refugee or parolee or an individual authorized by the Attorney General to work in the United States.

NOTE: *Up to five percent of youth enrolled in the Youth Program do not have to meet the minimum income criterion, if they meet one or more of the following criteria:*

- School dropout (this does not include individuals enrolled in an alternative school);
- Basic skills deficient (has English reading, writing, or computing skills at or below the eighth grade level);
- One or more grade levels below the grade level appropriate to the individual's age;
- Pregnant or parenting;
- Disabled, including learning disabled;

NOTE: The disability must be well documented in the participant case file.

- Homeless or runaway;
- Offender; or
- Face serious barriers to employment as specifically identified in the Regional Customer Service Plan. These barriers are to be based on a local needs assessment and are specific to the region.

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At a minimum, 30 percent of the WIA funds available to a region for youth programs must be used to provide services to out-of-school youth. This requirement will be considered met if at least 30 percent of the Youth Program services expenditures are for out-of-school youth.

Dislocated Worker Program

To be eligible to participate in the WIA Formula Dislocated Worker Program, an applicant must meet each of criteria one and two, plus any one of criteria three through eight:

- 1) Registered for the selective service, if applicable;
- 2) A citizen or national of the United States, a lawfully admitted permanent resident alien, a lawfully admitted refugee or parolee or an individual authorized by the Attorney General to work in the United States.

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“Unlikely to return to a previous industry or occupation” is used in determining eligibility for dislocated workers in the following circumstances:

- 3) Terminated or laid off, AND eligible for or have exhausted entitlement to unemployment compensation, AND unlikely to return to a previous industry or occupation; OR
- 4) In receipt of a notice of termination or lay-off from employment, AND will be entitled to unemployment compensation at the time of lay-off or termination, AND unlikely to return to the individual’s previous industry or occupation; OR
- 5) Terminated or laid off, or have received a termination notice and have been employed for a duration of time to sufficiently demonstrate attachment to the workforce, AND not eligible for unemployment compensation due to insufficient earnings, or having performed services for an employer that was not covered under the unemployment compensation law and unlikely to return to a previous industry or occupation; OR

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Feb 2009

“Unlikely to return to a previous industry or occupation” is NOT used in determining eligibility for dislocated workers in the following circumstances:

- Terminated or laid off, OR have received notice of termination or layoff as a result of a permanent closure of or any substantial layoff at a plant, facility or enterprise, OR
- Formerly self-employed and unemployed from his or business as a result of a permanent business dissolution due to general economic conditions in the community, OR as a result of a natural disaster which results in a permanent business dissolution; OR
- A displaced homemaker who has been providing unpaid services to family members in the home AND has been dependent on the income of another family member and is no longer supported by that income AND is unemployed or underemployed AND is experiencing difficulty in obtaining or upgrading employment.

NOTE:

(a) "Have been employed for a duration of time to sufficiently demonstrate attachment to the workforce" means that the individual has been employed at least 26 of the last 52 weeks."

(b) When "Unlikely to return to a previous industry or occupation" is required, it is defined as meeting any one of the following:

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Mar 2008

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Revised
July 2008

Revised
Mar 2008

Revised
Mar 2008

- If the individual is able and willing to relocate, there must be fewer than 50 annual job openings as documented by Iowa Statewide Occupational Projections and/or Career Info Net Iowa State Trends.
- If the individual is unable or unwilling to relocate, there must be fewer than 20 annual job openings listed in the Regional Occupation Projections from the Iowa Statewide Occupational Projections. This must be documented in the case file with special emphasis on the inability or unwillingness to relocate.
- The individual was laid off and has exhausted unemployment compensation and is still unemployed AND has been registered and received services with the Wagner-Peyser program (IWD) for at least one of the two months immediately preceding WIA enrollment;
- "Choices" and/or Career Info Net Iowa State Trends information which indicates a declining demand for the occupation from which the applicant is laid off within the State;
- A plant closing or permanent layoffs within a 12 month period (including a current layoff) in the same industry or occupation, within the region or in a contiguous region, from which the individual is dislocated. Permanently laid off workers from the same industry or occupation that have experienced the closure or permanent layoff would be considered "unlikely to return";
- Any individual profiled for Re-Employment Services (RES) would meet the definition of unlikely to return;
- If an individual has obsolete skills in a demand occupation or industry that could preclude an individual from being competitive or finding re-employment in the current occupation without the upgrading of skills, this would meet the definition of unlikely to return. The determination must be documented in the individual's case file;
- An individual who is co-enrolled in the Trade Adjustment Act (TAA) program would meet the definition of unlikely to return;

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Note: A military spouse who leaves a job to follow his or her spouse would be considered unlikely to return;

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- Barriers that may prevent a Dislocated Worker from returning to the previous occupation;
- If an individual has received a notice of termination or layoff and there is no specific or definitive recall date regardless of any employee/employer agreements. The determination of eligibility should be made on an individual basis and should not consider whether the lay off was classified as temporary in nature; or

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- Any other circumstance approved by the IWD Dislocated Worker Program Coordinator.

Whenever a determination is made that an individual is unlikely to return to a previous industry or occupation, the specific condition from the definition that was used to make this determination must be clearly identified in the participant file. In addition, sufficient documentation to support that determination must be maintained in the participant file.

- 6) Terminated or laid off, or have received notice of termination or layoff as a result of a permanent closure of or any substantial layoff at a plant, facility or enterprise; **OR**

NOTE: *Workers who have not received an individual notice of termination but who are employed at a facility for which the employer has made an official public announcement of planned closure are considered eligible dislocated workers eligible to receive core services. After a date which is within 180 days of the announced scheduled closure date, the workers become eligible to receive all allowable WIA Dislocated Worker activities and services;*

- 7) Formerly self-employed and unemployed from his or her business:

- a. As a result of a permanent business dissolution due to general economic conditions in the community in which the individual resides; or
- b. As a result of a natural disaster (i.e. tornado, storm, flood, earthquake, landslide, mud slide, snow storm, drought, fire or explosion) which results in a permanent business dissolution; or
- c. "Due to general economic conditions in the community in which the individual resides" is used in determining eligibility for dislocated workers in the following circumstance

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- Formerly self-employed and unemployed from his or her business:
- As a result of a permanent business dissolution due to general economic conditions in the community in which the individual resides; OR
- As a result of a natural disaster (i.e. tornado, storm, flood, earthquake, landslide, mud slide, snow storm, drought, fire or explosion) which results in permanent business dissolution.

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"Due to general economic conditions in the community in which the individual resides" is defined as meeting any one of the following:

- Failure of one or more businesses to which the self-employed individual supplied a substantial proportion of products or services;
- Failure of one or more businesses from which the self-employed individual obtained a substantial proportion of products or services;
- Substantial layoff(s) from or permanent closure(s) of one or more plants or facilities that support a significant portion of the local economy;
- Depressed price(s) or market(s) for the article(s) produced by the self-employed individual;
- Any other circumstance approved by the IWD Dislocated Worker Program Coordinator.

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NOTE: Whenever a determination is made that a formerly self-employed individual is unemployed from his or her business due to general economic conditions in the community in which the individual resides, the specific condition from the definition that was used to make this determination must be clearly identified in the participant file. In addition, sufficient documentation to support that determination must be maintained in the participant file.

NOTE: *Full-time secondary students are not considered dislocated workers if the family business becomes insolvent. Post-secondary students and out-of-school youth must demonstrate that their primary occupation was in the family business prior to their application for program services.*

- 8) A Displaced Homemaker who has been providing unpaid services to family members in the home, **AND** has been dependent on the income of another family member, and is no longer supported by that income, **AND** is unemployed or underemployed, **AND** is experiencing difficulty in obtaining or upgrading employment.

NOTE: *In determining the initial eligibility for dislocated workers, an individual may continue to be considered to be dislocated from a previous employer until:*

- The individual works in a permanent full-time job (30 hours per week) for four weeks;
- After an individual works for four weeks and is laid off again or subject to a plant closure, this employer becomes their “new” employer of dislocation; or
- If there is a NEG or SEG for the original employer of dislocation and the individual was part of the target group, the individual may be served by the NEG or SEG funds if they are still available and the individual meets the definition of a dislocated worker. This is true even though the individual has worked for a new employer since the original dislocation.

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NOTE: *An eligible dislocated worker must have registered for and received core services, and have been determined by the WIA Intensive Service Provider to be in need of intensive services to obtain or retain employment that leads to self-sufficiency.*

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If a dislocated worker is enrolled in intensive or training services and works in a permanent, full-time job that leads to self-sufficiency for four weeks, the WIA worker must determine if WIA can continue to fund the intensive or training services based on the following criteria:

- If the individual has taken the full-time permanent employment to meet basic needs of the individual or family so he or she can achieve the employment goal in the IEP, WIA intensive or training services can continue.
- If the job that the individual has taken requires the training he or she is currently receiving, WIA intensive or training services can continue. For example, a participant must obtain a teaching certificate to get or keep a teaching job.
- If the participant has obtained full-time permanent employment and is no longer pursuing the employment goal in the IEP, but simply wants to complete the intensive or training services, the WIA intensive or training services should be ended.

If a dislocated worker is enrolled in intensive or training services and returns to the employer of dislocation, the individual can no longer receive intensive or training services from WIA. Training cannot be skills upgrading for the job of dislocation.

If a dislocated worker is enrolled in intensive or training services and is called back to the employer of dislocation but does not return, the individual may still receive intensive or training services under WIA. Nothing in the regulations requires an individual to return to the employer of dislocation.

The criteria that are used to determine whether "employment leads to self-sufficiency" must be the criteria in the Regional Customer Service Plan.

Selective Service

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In order to participate in any WIA-funded activity, an individual must comply with Section 3 of the Military Selective Service Act, by registering for the Selective Service, when applicable.

For males who are at least 18 years of age but less than 26 years of age, a determination must be made as to whether such males have complied with the Selective Service requirements. If the individual has not complied, the individual must register with the Selective Service prior to enrollment into WIA.

For males 26 years of age and older who were born on or after January 1, 1960, a determination must be made as to whether the male has complied with the Selective Service requirements. If the male has not complied with Section 3 of the Military Selective Service Act, the following procedures must be followed:

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1) A determination must be made as to whether the male has received a discharge from the U.S. Military Service. Appropriate documentation would include a copy of the individual's military discharge (Form DD-214) or verification from an authorized representative of Veteran Affairs.

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2) If the male is an immigrant alien or refugee, parolee, asylee, seasonal agricultural worker or IRCA-legalized alien born after December 31, 1959, and was 26 years of age or older at the time of entry into the United States, Selective Service registration is not required. Appropriate documentation would include Immigration and Naturalization Service (INS) documents (documenting age, date of entry into the United States and alien status as immigrant, refugee, parolee, asylee, seasonal agricultural worker or legalized non-immigrant under the IRCA).

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3) When a male applicant 26 years of age or older who was born on or after January 1, 1960, has not registered with Selective Service, the male must be advised that a "Status Information" letter is required from the Selective Service before he may be determined eligible to participate in any WIA Program.

To receive a "Status Information" letter from the Selective Service System, the individual may call 1-847-688-6888 and wait until an operator comes on the line. The individual may also send a written request to:

Selective Service System
P.O. Box 94638
Palatine, IL 60094-4638

The individual must provide the following information regardless of how the letter is requested:

- Name;
- Social Security Number;
- Date of Birth;
- Return Address; and

- A description of the circumstances.

The Selective Service System (SSS) will not make an actual determination, but will issue a "Status Information Letter." Any male over 26 years old who receives a "Status Information Letter" from the SSS indicating that he was required to register, but did not, and now cannot be registered because the law does not allow for registration after the age of 26, is presumptively disqualified from participation in WIA-funded activities and services. The burden then falls on the applicant to provide evidence to the WIA Service Provider explaining why he failed to register with the SSS. This could include a written explanation from the applicant, stating his circumstances at the time of the required registration, and his reasons for not registering, together with supporting documentation. Third party affidavits from parents, teachers, employers, doctors, etc. concerning reasons for not registering may also be provided.

The WIA service provider must use the information provided by the applicant to make a determination as to whether the applicant knowingly and willfully failed to register. If after reviewing the evidence the WIA service provider determines that the preponderance of the evidence shows that the man's failure to register was not knowing and willful, and he is otherwise eligible, services may be granted. If the determination is that the preponderance of evidence shows the applicant's failure to register was knowing and willful, WIA services must be denied.

Applicants denied services must be advised that they may appeal the decision through the region's complaint procedure.

If an individual who is required to register at age 18 turns 18 during his period of WIA enrollment, he must register in order to remain enrolled in the program. Failure to register must result in immediate termination from WIA program.

Information relating to registration status can be obtained by calling the Selective Service System telephone number, (847) 688-6888 or via the Internet at <http://www.sss.gov>.

Veterans' Priority of Service

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section- Vets
Priority
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The Jobs for Veterans Act (PL 107-288) provides an emphasis on serving veterans by establishing a priority of service for veterans and certain spouses in all employment and training programs administered by the Department of Labor.

In the Jobs for Veterans Act, a veteran is an individual who served in the active military, naval or air service and was discharged or released from such service under conditions other than dishonorable. This includes National Guard or Reserve personnel called to active duty.

A military spouse is defined in the Act as an individual who is married to an active duty service member, including National Guard or Reserve personnel on active duty. The surviving spouse of an active duty service member that lost his or her life while on active duty service in Afghanistan, Iraq or other combat-related areas, is considered to be a military spouse.

Eligibility for the WIA Adult and Dislocated Worker program is not affected by the veterans' priority. The Jobs for Veterans Act provides priority service only to veterans or military spouses who meet the program's eligibility requirements.

Adult Program

In the WIA Adult program, the law requires that first priority for intensive and training services be given to public assistance recipients and low-income individuals when funds are limited.

The priority of service for the Adult program would be established as follows:

- First to be served would be public assistance recipients and low-income individuals who are also veterans or military spouses as defined above.
- The second group to be served would be public assistance recipients and low-income non-veterans.
- Among participants who are not public assistance recipients or low-income individuals, eligible veterans/military spouses receive priority over non-veterans.

Dislocated Worker Program

To be served in the Dislocated Worker program, a participant must meet the eligibility criteria to qualify as a dislocated worker and then, if the participant is a veteran or a military spouse of certain veterans, he or she must be given priority over dislocated workers who are non-veterans.

A basic dislocated worker eligibility requirement is that the worker is terminated or laid off. The Department of Labor has established policy that being discharged from the military under conditions other than dishonorable satisfies the termination requirement. The separating military personnel must also satisfy the other criteria for dislocated worker eligibility, including the requirements that the individual is eligible for or has exhausted unemployment compensation and is unlikely to return to a previous industry or occupation.

Military Spouses

A military spouse who leaves a job to follow his or her spouse can be served with dislocated worker formula grant funds in certain circumstances. When the spouse is unable to continue an employment relationship because of the service member's permanent change of military station, or the military spouse loses employment as a result of the spouse's discharge from the military, then the cessation of employment can be considered to meet the termination requirement of the WIA definition of dislocated worker.

The military spouse also must satisfy the other criteria for dislocated worker eligibility, including the requirement that the spouse is eligible for or has exhausted unemployment compensation and is unlikely to return to a previous industry or occupation. In Iowa, military spouses impacted by a service member's duty reassignment or discharge may be eligible for unemployment and should be referred to Unemployment Insurance (UI). Under these circumstances, military spouses have been determined to be unlikely to return to a previous industry or occupation.

Additionally, a military spouse also may qualify to be served as a dislocated worker if he or she meets the eligibility criteria for a displaced homemaker.

Surviving spouses of veterans and military service members may also be served with WIA funds. If a surviving spouse qualifies as a dislocated worker or displaced homemaker, he or she could be served under the Dislocated Worker program. If a surviving spouse does not meet those requirements, he or she could be eligible to be served under the Adult program. In either program, a surviving spouse of a veteran as defined above may receive priority of service if he or she qualifies under the Jobs for Veterans Act.

Verification

Verification is the process whereby eligibility determination is examined, substantiated and documented. The purpose of this section is to provide the minimum requirements of the verification system that must be developed for and implemented in each WIA program.

System Requirements

1) **Required Level of Verification Activity and Timelines for Completion**

Verification of an individual's eligibility must include an examination of all of the eligibility criteria upon which the eligibility determination for that individual was based.

For all programs, verification must be conducted either at the time of registration, or at least quarterly. The verification system for each program must ensure that at least ten percent (10%) of all participants who register or are enrolled during each quarter, and who are still active at the time of verification, receive a complete verification of eligibility. The verification must be completed at the time of registration or by the end of the quarter following the quarter being sampled (e.g., the first quarter verification must be completed by the end of the second quarter).

Participants who refuse to furnish verification documentation within a reasonable period of time must be terminated from participation.

2) **Sampling Procedures**

The verification system must have procedures for drawing a random sample of participants newly registered or enrolled in a particular quarter. These procedures must ensure that the sampling is random and that the requirements of this subsection are met.

- a) If verification is done at the time of registration, the sampling procedure must identify each registrant whose eligibility must be verified prior to or at the time the registration is entered into the Common Intake Case Management System;
- b) If verification is done quarterly, the sample must be drawn within fifteen (15) days of the end of the quarter being sampled and verified;
- c) A participant concurrently enrolled in more than one Title or program must be included in the universe for each program in which the participant is enrolled; and
- d) A participant must be included in the sample only in the quarter the participant was enrolled.

Those participants whose eligibility is unverifiable do not count in the ten percent (10%) sample. If the original sample includes participants whose eligibility is determined to be unverifiable, an additional random sample must be drawn. For those participants whose eligibility is determined to be unverifiable, a record of the attempts made to obtain the verification information/documentation must be recorded, including date and method used.

In addition, a list of the participants whose eligibility is unverifiable must be maintained. If a second sample becomes necessary, the sample must be drawn at random.

3) Documentation Requirements

Documentation must be maintained for each participant selected for verification. The documentation must contain enough information in order for staff to review or make the eligibility determination. Documentation used to verify eligibility must coincide with the date of registration. At a minimum, documentation must include:

- a) Documentary evidence (i.e., obtaining the document or a photocopy of the document); or
- b) Collateral contacts for which the following information must be recorded:
 - i) Date of contact;
 - ii) Name of person providing information;
 - iii) Contact method;
 - iv) Relationship of person contacted to applicant; and
 - v) Information received.

4) Reporting Requirements

A verification report is not required if the verification sample program developed by the State Administrative Entity is used or if verification is completed on all participants. In all other cases, a verification report must be developed. That report must include:

- a) The universe size;
- b) The number of participants selected for verification;
- c) The verification period; and, if applicable,
- d) The names and termination dates of participants identified as ineligible and the reasons for ineligibility;
- e) The number of participants whose eligibility was determined to be unverifiable and the reason(s); and
- f) The ineligibility rate = (number of ineligibles x 100) / (sample size - number of unverifiables)

If the ineligibility rate in item (f) above is ten percent (10%) or more, a second random sample must be drawn. This sample must exclude any previously drawn participants. If the ineligibility rate is ten percent (10%) or more in the second sample, a plan of corrective action for the eligibility determination process must be submitted to Iowa Workforce Development for approval.

Documentation Sources

The following is a list of suggested sources of documentation. For most of the eligibility items, documentary evidence must be used. For some eligibility items, collateral contacts as described in item 3) above can be used whenever documentary evidence cannot be obtained. Those eligibility items for which documentary evidence is required are marked with an asterisk on the following list:

Universal Items

ELIGIBILITY ITEM	DOCUMENTATION SOURCES
**A. Citizenship/alien status	Social Security card Birth certificate Voter registration Passport Certification from Immigration and Naturalization Service
B. Selective Service registrant	Registration acknowledgement letter Registration acknowledgement card Telephone or Internet confirmation and record of registration number
C. Selective Service registrant, non-registered, 26 years or older	Documentation of honorable discharge (DD-214 form) Notation of the type of obvious handicap or a letter of determination from Selective Service Immigration documents verifying age at arrival
**D. Residency	Driver's license or State-issued I.D. Phone directory Utility bills Rent receipts Voter registration card Library card School I.D. or record Post-marked envelope

Adult and Youth Items

ELIGIBILITY ITEM	DOCUMENTATION SOURCES
E. Birth date and age	Birth certificate Passport Department of Transportation Identification card Driver's license School I.D. or record Work permit (if not from Grantee or Administrative Entity) Court documents
F. 5% Window Adult Youth	Appropriate documentation for the local definition

Youth Items

ELIGIBILITY ITEM	DOCUMENTATION SOURCES
**G. Public assistance status	County records Human Services records Certification from appropriate agency Veterans Administration Human Services I.D. cards IABC System
**H. Food Stamp recipient	Human Services records Human Services I.D. cards
I. Homeless	Human Services records or statement Shelter Agency records or statement
**J. Foster child	Certification from appropriate agency Court documents
K. Income Eligibility (1) Family income	Wage records Employer records or statement UI documentation Interest or dividend records Retirement records Self-employment income records Paycheck stubs Canceled checks
(2) Self-employment income	Business records Local form, signed by an accountant or other appropriate official that lists receipts and expenses for prior 12 months.
(3) Family size (a) Related by blood, marriage or decree of court (b) Living in a single residence (c) 18- to 24-year-old student (Dependent child) (d) Foster child (e) Runaway youth	Dept. of Human Services Employer contact School official contact Tax records Court document Landlord contact Neighbor contact Human Services contract Employer contact School official contact Tax records Statement from non-family member tax preparer. Dept. of Human Services Court document Human Service contact

(f) Emancipated youth	Shelter contact Parent contact
(g) Court adjudicated youth	Court document Dept. of Human Services
L. Deficient in Basic Literacy Skills	Math grade level Reading grade level - from tests administered within the last year
M. School Dropout	High school transcript Letter from school official
N. Pregnant or Custodial Parent	Doctor's Statement Self-declaration if obvious Dept. of Human Services Parent contact
O. Offender	Probation officer contact Court document Police or Sheriff contact
P. Requires Additional Assistance	Appropriate documentation for the local definition

Dislocated Workers

ELIGIBILITY ITEM	DOCUMENTATION SOURCES
*Q. Terminated or laid off	Employer statement Employment Services records
*R. Terminated or receipt of termination as a result of permanent plant, farm or ranch closure	Copy of termination notice Employment Services records Employer statement WARN notification
(1) Bankruptcy or filing of bankruptcy	Court documents Letter from lawyer, lender, or accountant
(2) Foreclosure	Court documents Letter from lawyer, lender, or accountant
*S. Termination of financial support for displaced homemaker	Court documents Human Services records Death Certificate of spouse
*T. U.I. Claimant or Exhaustee	Employment Services records

*U. Unlikely to return to previous occupation	Employment Services records Local labor market information/data Labor demand publications

Activities and Services

This section describes the services available through the Workforce Investment Act Adult, Dislocated Worker, and Youth Programs.

Adults and Dislocated Workers

WIA provides for three levels of services for Adults and Dislocated Workers: core, intensive and training, with service at one level being a prerequisite to moving to the next level. The Act also provides for support services and individual training accounts.

A. Core Services

The Act requires that WIA funds be used to provide core services to adults and dislocated workers through the Workforce Development Center System. Core services are designated as self-service and informational, which do not require eligibility determination, and staff assisted, which requires eligibility determination.

- 1) **Self-Service and Informational Core Services.** The following types of activities and services are considered self-service or informational core services:
 - a) Determination of eligibility to receive services under WIA;
 - b) Outreach, intake (which may include worker profiling) and orientation to the information and other services available through the system;
 - c) Initial assessment of skill levels, aptitudes abilities and support service needs;
 - d) Job match and job search assistance;
 - e) Provision of employment statistics information, including the provision of accurate information relating to local, regional and national labor market areas, including:
 - i) Job vacancy listings in such labor market areas;
 - ii) Information on job skills necessary to obtain the jobs listed; and
 - iii) Information relating to local occupations in demand and the earnings and skill requirements for such occupations.
 - f) Provision of performance and program cost information on eligible providers of training services;
 - g) Provision of information regarding how the local area is performing on the local performance measures and any additional information with respect to the Workforce Development Center System in the local region;
 - h) Provision of accurate information relating to the availability of support services, including child care and transportation available in the local region and referral to such services as appropriate;

- i) Consumer reports information and delivery system performance information;
 - j) Information on other Workforce Development Center System Partner services and support services;
 - k) Provision of information regarding filing claims for unemployment compensation;
 - l) Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not funded under the Act and available in the region;
 - m) Resource room usage; and
 - n) Job referrals (informational, e.g. job scouts, referrals in non-exclusive hiring arrangements, short-term or seasonal placements);
 - o) Internet browsing (job information and training searches);
 - p) Internet accounts (Career Kit and Personnel Kit); and
 - q) Talent referrals (informational, e.g. talent scouts, staff referrals or resumes without further screening).
- 2) **Staff-Assisted Core Services.** The following types of activities and services are considered staff-assisted core services:
- a) Staff-assisted job search and placement assistance, including career counseling (JSP), (G&C);
 - b) Screened job referrals (such as testing and background checks) (SJR);
 - c) Staff assisted job development (working with an employer and job seeker) (SJD); and
 - d) Staff assisted workshops, **pre-employment training** and job clubs (PET, JBC).

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B. Intensive Services

The Act requires that a participant receive intensive services before being determined to be in need of training services to obtain employment that leads to self-sufficiency. A participant who is employed must not be earning a self-sufficient wage (as defined in the Regional Customer Service Plan) to be enrolled in an intensive service. The following types of activities and services are considered Intensive services:

- 1) Comprehensive and specialized assessments of skill levels and service needs, including diagnostic testing and use of other assessment tools and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- 2) Development of an individual employment plan to identify the employment goals, appropriate achievement objectives and appropriate combination of services for the participant to achieve the employment goals;
- 3) Case management for participants seeking training services;
- 4) Skill upgrading is a short-term prevocational service, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, **personal maintenance skills, professional conduct and English as a Second Language (ESL)** to prepare individuals for unsubsidized employment or training;
- 5) Out-of-area job search expenses;
- 6) Relocation expenses;
- 7) Internships; and
- 8) Work Experience (WEP).

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C. Training Services

A participant who is employed must not be earning a self-sufficiency wage (as defined in the Regional Customer Service Plan) to be enrolled in a training service. All participants must receive two (2) intensive services before moving into training services. The following types of activities and services are considered to be Training Services:

- Occupational skills training, including training for nontraditional employment;
- Programs that combine workplace training with related instruction, which may include cooperative education programs;
- Training programs operated by the private sector;
- Retraining;
- Entrepreneurial training;
- Customized training; and
- Adult education and literacy activities are provided in combination with other allowable training services.

Following is the list of training services:

- a) Customized Training (CUS);
- b) Entrepreneurial Training (ENT);
- c) Institutional Skill Training (IST);
- d) On-the-Job Training (OJT);
- e) Remedial and Basic Skill Training (RBS); and
- f) Secondary Education Certificate (SEC).

D. Support Services

Support services are those services that are necessary to enable an individual to participate in activities authorized under WIA. The following types of support services are allowable under WIA:

- Clothing (CHG);
- Counseling (CLG);
- Dependent care (DPC);
- Financial assistance (FAS);
- Health care (HLC);
- Housing assistance (FAS);
- Miscellaneous services (MSS);
- Needs-related payments (NRP);
- Residential/Meals support (RMS);
- Services to individuals with disabilities (SID);
- Stipends (STI), youth only;
- Supported employment and training (SET); and
- Transportation (TRN).

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Youth

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A. Required Services

WIA requires that an array of services be made available to youth. The list of youth services, which **must be made available** in each Region, is as follows:

- 1) Tutoring, study skills training and instruction leading to secondary school completion, including dropout prevention strategies (RBS);
- 2) Alternative secondary school offerings (SEC);
- 3) Summer employment opportunities directly linked to academic and occupational learning (SUM);
- 4) Paid and unpaid work experiences, including internships and job shadowing (WEP), (LIN), (VEP);
- 5) Occupational skill training (OJT), (IST), (CUS);
- 6) Leadership development opportunities which include community service and peer-centered activities encouraging responsibility and other positive social behaviors (LDS);
- 7) Support services;
- 8) Adult mentoring for a duration of at least 12 months that may occur both during and after program participation (MEN);
- 9) Post-program services (PPS); and
- 10) Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth (G&C).

B. Additional Activities and Services

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The following is a list of additional activities and services that may be made available **in each region** to support the 10 required youth services available:

- 1) Entrepreneurial Training (ENT);
- 2) Job Club (JBC);
- 3) **Job Search and Placement Activities (JSP);**
- 4) Pre-Employment Training (PET); and
- 5) Skill Upgrading (SUG)

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C. Support Services

Support Services are those services that are necessary to enable an individual to participate in activities authorized under WIA. The following types of support services are allowable under WIA for youth:

- 1) Clothing (CHG);
- 2) Dependent Care (DPC);
- 3) Financial Assistance, including housing assistance (FAS);
- 4) Health Care (HLC);
- 5) Miscellaneous Services (MSS);

- 6) Residential/Meals support (RMS);
- 7) Services for Individuals With Disabilities (SID);
- 8) Stipends (STI);
- 9) Supported Employment and Training (SET); and
- 10) Transportation (TRN).

Activities and Services

While the Act and regulations list a number of allowable activities and services, not all of those are considered to be specific activities and services in the Iowa WIA program. Some of the activities and services listed in the Act and regulations, such as outreach, eligibility determination and the provision of information are considered to be staff functions or processes rather than distinct activities or services. Others have been grouped into larger categories for ease in tracking and reporting.

Many of the activities and services listed below contain policies relating to the maximum length or duration of the activities. These limitations are intended to be default policies. The Regional Workforce Investment Board may increase or decrease the maximum length of an activity by specifying the regional policy in the Regional Customer Service Plan.

The following are the purpose statements and policies for the Iowa WIA Adult and Dislocated Worker core, intensive and training services and activities, as well as Youth services and support services. Although policies specific to each activity are provided, other policies and regulations must also be followed in the process of obtaining or delivering these training activities. Of particular note are policies included in the Procurement, and Contracting subsections, as well as local policies contained in the Customer Service Plan.

A. Customized Training (CUS)

The purpose of CUS is to provide training that is specific to an employers needs so that individuals will be hired or retained by the employer after successful completion of the training.

- 1) Customized training is training normally provided in a classroom setting that is designed to meet the special requirements of an employer or group of employers;
- 2) The employer(s) must commit to hire or, in the case of incumbent workers, continue to employ an individual on successful completion of the training;
- 3) The employer must pay not less than 50 percent of the cost of the training; and
- 4) Participants enrolled in CUS must be covered by adequate medical and accident insurance.

B. Entrepreneurial Training (ENT)

The purpose of ENT is to help participants acquire the skills and abilities necessary to successfully establish and operate their own self-employment businesses or enterprises.

The methods of providing ENT may include payment for classes in small business development, marketing, accounting, financing or any other courses that could contribute to a participant's goal of self-employment. On-site observation and instruction in business skills may also be provided, as well as individualized instruction and mentoring.

Entrepreneurial Training may not be used for training in job specific skills other than business management. However, it may be provided concurrently or consecutively with specific skill training in IST or OJT for the purpose of establishing an enterprise that utilizes those skills.

Payments under ENT are limited to training programs and activities that provide instruction in business operation and management. Funds may not be used for any direct costs associated with the establishment or operation of the business (e.g. materials, inventory, overhead, advertising, etc).

All participants who are enrolled in ENT must apply for any financial assistance for which they may qualify, including Pell Grants. For purposes of this requirement, financial assistance does not include loans.

Normally, an ENT would be completed with the start-up of the business. The exceptions would be if there were ongoing mentoring activities or a class/classes that need to be completed relating to management of the business.

C. Guidance and Counseling (G&C)

Guidance and counseling is the process of assisting a participant through a mutual exchange of ideas and opinions, discussion and deliberation. Counseling assists a participant in obtaining a focus to develop his or her talents and competencies for the world of work. The immediate focus may be academic or employment related. An assessment of skills, interests, values, talents and accomplishments are an integral part of guidance and counseling. Counseling consists of career guidance or crisis intervention and domestic abuse counseling. Career guidance may also include the provision of information, materials, suggestions or various forms of testing. Due to the intensity of this activity, G&C is not to be used as an ongoing activity. This activity should be structured with a beginning and ending date with a specific planned outcome. This is considered a one-time activity as opposed to an ongoing activity. However, it could be revisited if there was a major change in the individual's career plan once consensus was reached. (G&C may be revisited if the participant experiences a major change in his or her personal life or wishes to change his or her IEP or ISS).

Case notes must identify the specific purpose of Guidance and Counseling. They must also document progress in achieving the specific planned outcome.

D. Institutional Skill Training (IST)

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The purpose of IST is to provide individuals with the technical skills and information required to perform a specific job or group of jobs. IST is typically conducted in a classroom setting, but can also consist of online, ICN or self-study programs, etc.

All participants who are enrolled in IST must apply for any financial assistance for which they may qualify, including Pell Grants. All financial assistance grants, such as Pell, SEOG, TAA, Iowa Tuition Grant, IVTG and scholarships must be used to cover the education/training expenses. If the financial assistance covers the tuition, books and fees, the individual is not eligible for an Individual Training Accounts (ITA). For purposes of this requirement, financial assistance does not include loans.

Individual Training Accounts (ITA) must normally be used to pay for IST costs for adults and dislocated workers. An ITA can only be used to pay for tuition, books, fees and required materials for coursework when purchased from the training institution. Please see the Individual Training Accounts section of this Handbook for the exceptions to this policy.

If WIA initially pays for IST costs and an individual subsequently receives a Pell Grant, the training provider must reimburse the WIA Service Provider the WIA funds used to pay for tuition only.

Reimbursement is not required from the portion of Pell Grant assistance disbursed to the WIA participant for education-related expenses.

All participants who are enrolled in IST must be covered by the training institution's tuition refund policy. In the absence of a refund policy established by the training institution, the WIA Service Provider must negotiate a reasonable refund policy with the training site.

E. Job Club (JBC)

The purpose of JBC is to provide a structured job search activity for a group of participants who develop common objectives during their time of learning and working together, supporting one another in the job search process.

The scheduled activities and required hours of participation should reflect proven job-search techniques and the employment environment of the region.

Participants in Job Club should meet the following objectives:

- Have been prepared to understand and function in the interview process and in the work place;
- Have completed all tools needed for effective work search, including a resume and an application letter; and
- Have the opportunity to complete as many actual job contacts and interviews as possible after completing all of the job search tools.

F. Job Search and Placement (JSP)

The JSP activity should be a one-on-one activity where appropriate employment opportunities are made available to the participant. The case manager and participant jointly develop a documented plan to follow including potential employers, type of contact to be made and a time-line to follow. JSP needs to include follow-up with the participant after the provision of job referrals and job leads to determine if the participant actually applied for the jobs and the outcome of the job application. This information should be used to determine if a participant needs additional services in order to obtain employment. As a stand-alone activity, sending a participant a job listing that may or may not have relevant job openings for that participant is not an appropriate application of the JSP activity.

G. Leadership Development (LDS)

The purpose of LDS is to enhance the personal life skills, social skills and leadership skills of Youth participants and to remove barriers to educational and employment related success.

Leadership development opportunities may include the following:

- 1) Exposure to postsecondary educational opportunities;
- 2) Community and service learning projects;
- 3) Peer-centered activities, including peer mentoring and tutoring;
- 4) Organizational and team work training, including team leadership training;
- 5) Training in decision-making, including determining priorities;

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- 6) Citizenship training, including life skills training such as parenting, work behavior training and budgeting of resources; and
- 7) Positive social behavior or "soft skills" including, but not limited to:
- Positive attitudinal development;
 - Self-esteem building;
 - Cultural diversity training;
 - Work simulation activities;
 - Maintaining a commitment to learning and academic success;
 - Maintaining positive relationships with responsible adults and peers, and contributing to the well being of one's community, including voting;
 - Maintaining a commitment to learning and academic success:
 - Avoiding delinquency;
 - Postponed parenting;
 - Responsible parenting; and
 - Positive job attitudes and work skills.

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Leadership development activities are normally conducted in a group setting.

Leadership Development activities must include a schedule for the participant to follow, regular contact by a staff person, a maximum length of time allowed in the activity and documentation that the participant and staff are making the required contacts and following the established schedule.

Participants enrolled in LDS must be covered by adequate, on-site medical and accident insurance.

H. Limited Internship (LIN)

The purpose of LIN is to provide a participant with exposure to work and the requirements for successful job retention that are needed to enhance the long-term employability of that participant. Limited Internships are limited in duration, devoted to skill development and enhanced by significant employer investment.

LIN may be conducted at public, private, for-profit and non-profit worksites. The use of LIN must involve a substantial investment of effort by employers accepting the interning participants and must not be used in a manner that subsidizes or appears to subsidize private sector employers.

The total participation in the LIN activity for any participant must not exceed 500 hours per enrollment. In addition, for in-school youth, LIN participation must be limited to twenty (20) hours per week during the school year. In-school youth may participate in LIN full-time during summer vacation and holidays.

Limited Internship agreements must be written only for positions for which a participant would not normally be hired because of lack of experience or other barriers to employment.

Participants in LIN may be compensated for time spent in the LIN activity. This compensation can be in the form of incentive and bonus payments or wages for youth or in the form of wages for adults/dislocated workers.

If the LIN participant receives wages, the WIA Service Provider is the employer of record. The wages paid to the LIN participant must be at the same rates as similarly situated employees or trainees of the

employer of record, but in no event less than the higher of the federal or state minimum wage. LIN participants receiving wages must always be paid for time worked, must not be paid for any scheduled hours they failed to attend without good cause, and must, at a minimum, be covered by Workers' Compensation in accordance with state law. In addition, all individuals participating in a LIN activity who are paid wages must be provided benefits and working conditions at the same level and to the same extent as other employees of the employer of record working a similar length of time and doing the same type of work.

Youth LIN participants receiving incentive or bonus payments based on attendance must not receive any payment for scheduled hours that they failed to attend without good cause.

LIN participants, who are not receiving wages, must be covered by adequate on-site medical and accident insurance.

Limited Internship may be used in conjunction with OJT with the same employer. However, when this occurs, LIN must precede the On-the-Job Training and the OJT training time for the participant must be reduced in accordance with the OJT policies in this section.

If the worksite employer hires the participant during LIN participation, the LIN activity for that participant must be exited.

I. Mentoring (MEN)

Mentoring is a long-term relationship between a youth and an adult. Through continued involvement, the adult offers support, guidance and assistance as the younger person faces new challenges. In particular, where parents are either unavailable or unable to provide responsible guidance for their children, mentors play a critical role.

Mentoring generally serves the following broad purposes:

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- Education/academic – Helps mentored youth improve overall academic **achievement**;
- Career– Helps mentored youth develop the necessary skills to enter or continue on a career path; **and**
- Personal development – Supports mentored youth during times of personal or social stress and provides guidance for decision-making.

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Mentoring **is not to be provided by WIA staff** and is to be provided for no less than 12 months.

J. Objective Assessment (OBA)

The objective assessment process collects information upon which a participant's Individual Employment Plan (IEP) or Individual Service Strategy (ISS) will be based. Objective assessment may be completed using any combination of structured interviews, paper and pencil tests, performance tests, work samples, behavioral observations, interest and/or attitude inventories, career guidance instruments, aptitude tests and basic skills tests. Refer to Applicant Participant Process for adult/dislocated worker and youth specifics.

K. On-the-Job Training (OJT)

The purpose of OJT is to train a participant in an actual work situation that has career-advancement potential in order to develop specific occupational skills or obtain specialized skills required by an individual employer.

1) Wages and Benefits

Since OJT is employment, state and federal regulations governing employment situations apply to OJT. Participants in an OJT must be compensated at the same rates, including periodic increases as trainees or employees who are similarly situated in similar occupations by the same employer. Wages paid must not be less than the highest of federal or state minimum wage or the prevailing rates of pay for individuals employed in similar occupations by the same employer.

Participants in an OJT must be provided benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of job.

Each participant in an OJT must be covered by Worker's Compensation in accordance with State law.

2) Payment and Training Length

Payment by WIA to employers is compensation for the extraordinary costs of training participants, including costs of classroom training and compensation for costs associated with the lower productivity of such participants.

A trainer must be available at the employment site to provide training under an OJT contract. For example, a truck driving position where the driver drives alone or without immediate supervision or training would not be appropriate for OJT.

The payment by WIA must not exceed 50 percent of the wages paid by the employer to the participant during the period of the training agreement. Wages are considered to be monies paid by the employer to the participant. Wages do not include tips, commissions, piece-rate based earnings or non-wage employer fringe benefits.

Payment for overtime hours and holidays is only allowable in accordance with local policies. Holidays may be used as the basis for OJT payments only if the participant actually works and receives training on the holiday.

An OJT contract with an employer can be written for a maximum of 1040 hours.

Under no circumstances can an OJT contract be written for a participant if the hours of training required for the position in which the participant is to be trained is determined to be less than 160 hours.

The number of OJT training hours for a participant must be determined using the following standardized chart, unless the Regional Customer Service Plan contains an alternative methodology for determining the length of OJTs. The hours specified must be considered as a departure point for determining actual WIA training hours. If the total number of training hours for the OJT position cannot be provided during the maximum contract length allowable, as many training hours as possible must be provided.

<u>SVP* Level</u>	<u>Hours</u>
1	80
2	160
3	520
4	1,040
5	2,080
6+	4,160

*SVP - Scaled Value of Proficiency (*O-NET)

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The OJT training hours for a participant must be reduced if a participant has prior-related employment or training in the same or similar occupation. Previous training or experience, which occurred so long ago that skills gained from that experience are obsolete, may be disregarded to the extent that those skills need to be relearned or reacquired.

The number of training hours for a participant may be increased based upon the individual circumstances of the participant, such as disability. Local plans will need to identify the circumstances for reduction/increase of length of an on-the-job training.

The number of hours of training for any participant, as well as the process for extending or reducing those training hours from the basic method of determination, must be documented in the participant's IEP or ISS.

3) Employer Eligibility

OJTs may not be written with temporary help agencies or employee-leasing firms for positions that will be "hired out" to other employers for probationary seasonal, temporary or intermittent employment. The only instance in which a temporary employment agency may serve as the employer of record is when the OJT position is one of the staff positions with the agency and not a position that will be "hired out."

In situations where an employer refers an individual to the WIA program for eligibility determination with the intent of hiring that individual under an OJT contract, the individual referred to WIA may be enrolled in an OJT with the referring employer only when the referring employer has not already hired the individual and an objective assessment and the IEP or ISS have been completed which support the development of an OJT with the referring employer.

Prior to re-contracting with an OJT employer, the past performance of that employer must be reviewed. An OJT contract must not be entered into with an employer who has previously exhibited a pattern of failing to provide OJT participants with continued long-term employment as regular employees with wages, benefits and working conditions at the same level and to the same extent as similarly situated employees. OJT participants that voluntarily quit, are terminated for cause, or are released due to unforeseeable changes in business conditions need not result in termination of employer eligibility for future OJT contracts.

An employer that has been excluded from OJT contracting because of the requirement described above may again be considered for an OJT placement one year after that sanction was imposed. In this re-contracting situation, if the employer fails to retain the participant after the OJT ends, and there is no apparent cause for dismissing the employee, the employer must not receive any future OJT contracts.

4) OJTs for Employed Workers

OJTs may be written for employed workers when the following additional criteria are met:

- a) The employee is not earning a self-sufficiency wage as defined in the Regional Customer Service Plan; and
- b) The OJT relates to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy or other appropriate purposes identified in the Regional Customer Service Plan.

Documentation of the above must be maintained in the participant file.

L. Pre-Employment Training (PET)

The purpose of PET is to help participants to acquire skills necessary to obtain unsubsidized employment and to maintain employment. PET activities may include, but are not limited to:

- 1) Instruction on how to keep jobs, including employer's expectations relating to punctuality, job attendance, dependability, professional conduct and interaction with other employees;
- 2) Assistance in personal growth and development which may include motivation, self-esteem building, communication skills, basic living, personal maintenance skills, social planning, citizenship and life survival skills; and
- 3) Instruction in how to obtain jobs, including completing applications and resumes and **learning** interviewing skills.

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Pre-Employment Training activities must include a schedule for the participant to follow, regular contact by a staff person, a maximum length of time allowed in the activity and documentation that the participant and staff are making the required contacts and following the established schedule.

M. Post-program Services (PPS)

The purpose of PPS is to identify and address any problems or needs that might preclude a participant from remaining employed or continuing to progress towards unsubsidized employment.

The provision of post-program services and contacts, or attempted contacts, must be documented in the participant file.

1) Adults and Dislocated Workers

Post-program services must be made available for all adults and dislocated workers who enter employment for not less than 12 months after the first day of employment. The first post-program contact must occur within the first 30 days of entering employment. The first contact must be a personal contact (in person or by telephone) with the participant. A second contact must occur **within** 90 days after the first day of employment. Contacts are required quarterly thereafter for the next three quarters.

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Not all of the adults and dislocated workers who are registered and placed into unsubsidized employment will need or want such services. If an exited participant has been made aware of and offered post-program services and expressly states that he or she does not want post-program services, no further contact for this purpose is necessary.

The intensity of appropriate post-program services may vary among different participants. Those who have multiple employment barriers and limited work histories may be in need of significant post-program services to ensure long-term success in the labor market. Other participants may identify an area of weakness in the training provided by WIA prior to placement that will affect their occupation or to retain their employment.

The types of post-program services provided must be based on the needs of the adult or dislocated worker. Post-program services may include such things as:

- Counseling regarding the workplace;
- Assistance to obtain better employment;
- Determination of the need for additional assistance;

- Referral to services of partner agencies or other community resources;
- Contact with the participant's employer, including assistance with work-related problems that may arise; and
- Peer support groups.

In determining the need for post-program services, there may also be a review of the participant's need for support services to meet their employment goals. This must be documented in the participant file.

2) Youth

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The purpose of PPS is to identify any problems or needs that might preclude a former participant from **achieving** employability goals, remaining employed or continuing to progress towards unsubsidized employment.

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Post-program services must be provided for all youth for not less than 12 months from the date of exit from the program. The first post-program contact must occur within the first 30 days of exit. The first contact must be a personal contact (in person or by telephone) with the participant. A second contact must occur **within** 90 days after the first day of exit. Contacts are required quarterly thereafter for the next three quarters. Post-program services may be provided beyond 12 months at the discretion of the RWIB.

The types of services provided must be determined based on the needs of the youth. Post-program services for youth may include such things as:

- Leadership development and support services;
- Regular contact with the youth's employer, including assistance in addressing work-related problems that arise;
- Assistance in securing better paying jobs, career development and further education;
- Work-related peer support groups;
- Adult mentoring; and
- Tracking the progress of youth in employment, postsecondary training or advanced training.

N. Remedial and Basic Skill Training (RBS)

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The purpose of RBS is to enhance the employability of participants by upgrading basic literacy skills through basic and remedial education courses, literacy training and Adult Basic Education. Remedial and Basic Skill Training may be conducted in a classroom setting or on an individual basis.

RBS may be used to improve academic or language skills prior to enrollment in other training activities such as IST.

For adults and dislocated workers, RBS must be offered in combination with other allowable training services (not including customized training.)

Remedial and Basic Skill Training activities must include a schedule for the participant to follow, regular contact by a staff person, a maximum length of time allowed in the activity and documentation that the participant and staff are making the required contacts and following the established schedule.

O. Screened Job Referrals (SJR)

Screened job referral requires the verification of the participant's skills prior to referral to job openings. The verification process may include testing, background checks, verification of credentials and an in-depth interview with the participant to confirm that the individual actually possesses the specific qualifications that an employer has specified. Documentation of the screening and referral is required.

P. Secondary Education Certification (SEC)

The purpose of SEC is to enhance the employability of participants by upgrading their level of education. Secondary Education Certification activities may be conducted in a classroom setting or on an individual basis. SEC must be categorized as one of the following:

- 1) Secondary School;
- 2) Alternative School;
- 3) Tutoring; or
- 4) Individualized Study.

Participation in this component must be expected to result in a high school diploma, General Educational Development (GED) certificate or an Individualized Educational Program (IEP) diploma.

Secondary Education Certification activities must include a schedule for the participant to follow, regular contact by a staff person, a maximum length of time allowed in the activity and documentation that the participant and staff are making the required contacts and following the established schedule.

Q. Skill Upgrading (SUG)

The purpose of SUG is to provide short-term pre-vocational training to participants to upgrade their occupational skills and enhance their employability. Examples of allowable skill upgrading activities include: a typing refresher to increase speed and accuracy, keyboarding, basic computer literacy and ESL.

Skill Upgrading may be conducted in a classroom setting or on an individual basis. SUG must be short-term in nature and must not exceed 26 weeks in duration, with the exception of ESL, and not lead to a credential.

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R. Staff-Assisted Job Development (SJD)

Staff-assisted job development is the act of contacting employers, who do not already have a job listed, to determine if the employer has an interest in interviewing and possible hiring a specific participant who possesses skills required by that employer. This consists of working with a specific employer to actually develop a position/job for the participant. Documentation of employer contact is required.

S. Staff-Assisted Job Search and Placement Assistance (JSP)

Staff-assisted job search occurs when the participant is provided one-on-one assistance with the development of their job search activities. This could include actually calling an employer and setting-up an interview time for a participant or the development of a list of prospective employers to contact and a timeline for the employer contacts. Documentation of a job search plan, resume assistance or employer contact is required and must be recorded in the case file or case notes.

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Providing participants with standard job listings without follow-up or personal contact from local staff is not an acceptable activity under JSP.

T. Summer Activities (SUM)

The purpose of SUM is to provide a youth with summer employment activities that are directly linked to academic and occupational learning. Youth enrolled in a SUM are required to be enrolled in an academic learning component, an employment component and an occupational learning component. If the occupational learning activity is included in the employment or academic learning component, the youth need not also be enrolled in an occupational learning component.

1) Employment Component

The purpose of the employment component is to provide participants with a positive employment experience during the summer months. The employment experience should be directly linked to academic and occupational learning activities.

The employment component of SUM could be a Limited Internship (LIN), On-the-Job Training (OJT), Vocational Exploration (VEP) or Work Experience (WEP), subsidized or unsubsidized. When any of these activities are utilized, all of the policies relevant to the specific activity must be followed.

2) Academic Learning Component (ACL)

The purpose of the summer academic learning component is to assist youth in achieving academic success. For in-school youth the goal is to prevent the erosion of basic literacy skills over the summer months and, to the extent possible, to increase basic literacy skill levels, particularly reading and math. In addition, the purpose of the academic learning component includes the improvement of the employment potential of individuals who are not intending to return to school.

All participants enrolled in Summer Activities must have at least 30 hours of academic learning activities included in their Individual Service Strategy (ISS).

The academic learning activities should be designed as a comprehensive, instructional approach that includes thinking, reasoning and decision-making processes that are necessary for success in school, on the job and in society in general.

The academic learning activity may include:

- Remedial and basic skills training;
- Basic literacy training;
- Adult Basic Education;
- English-as-a-Second Language;
- General Educational Development (GED) instruction;
- Tutoring;
- Study skills training;
- Leadership Development opportunities;
- Adult mentoring;
- Citizenship training;

- Post-secondary vocational and academic courses;
- Applied academic courses; and
- Other courses or training methods that are intended to retain or improve the basic educational skills of the participant.

The academic learning activities may be conducted in a classroom setting or on an individual basis. The academic learning curriculum provided to a participant should take into account the learning level and interests of that participant.

A participant may be paid a wage-equivalent payment based upon attendance for time spent in the academic learning activity, or may be paid release time wages for time spent in the academic learning activity if WEP, OJT, LIN or VEP is the primary activity for that participant. In lieu of paying a stipend or wages, the youth may be rewarded with an incentive and bonus payment. Participants cannot be paid for unattended hours in the academic learning activity.

3) Occupational Learning Component

The purpose of the occupational learning component is to provide youth with an opportunity to learn occupational skills related to a specific occupation, or to an occupational cluster/career pathway.

The occupational learning activities may be incorporated in the employment or academic learning component or may be a separate component such as Skill Upgrading. **This component must be documented in the case file.**

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U. Vocational Exploration (VEP)

The purpose of VEP is to expose participants to jobs available in the private or public sector through job shadowing, instruction and, if appropriate, limited practical experience at actual worksites. Vocational Exploration may take place at public, private non-profit or private-for-profit work sites.

The total participation in the VEP activity for any participant in any one occupation must not exceed 160 hours per enrollment.

The length of a participant's enrollment in VEP is limited to a maximum of 640 hours, regardless of the number of VEPs conducted for the participant.

The participant must not receive wages for the time spent in VEP. The participant is not necessarily entitled to a job at the end of the Vocational Exploration period.

The service provider that provides the VEP must derive no immediate advantage from the activities of the participant and on occasion the operation of the employer may actually be impeded. In the case of private-for-profit organizations, the participant must not be involved in any activity that contributes, or could be expected to contribute, to additional sales or profits or otherwise result in subsidization of wages for the organization.

Vocational Exploration activities must include a schedule for the participant to follow, regular contact by a staff person, a maximum length of time allowed in the activity and documentation that the participant and staff are making the required contacts and following the established schedule.

Participants enrolled in Vocational Exploration must be covered by adequate on-site medical and accident insurance.

V. Work Experience (WEP)

The purpose of WEP is to primarily provide participants with short-term or part-time subsidized or unsubsidized work assignments to enhance their employability through the development of good work habits and basic work skills. Work experience should help participants acquire the personal attributes, knowledge and skills needed to obtain a job and advance in employment.

This activity should be used for individuals who have never worked or have been out of the labor force for an extended period of time including, but not limited to, students, school dropouts, individuals with disabilities, displaced homemakers and older individuals.

Work Experience must be limited to persons who need assistance to become accustomed to basic work requirements, including basic work skills, in order to successfully compete in the labor market.

Work Experience may be used to provide:

- Instructions concerning work habits and employer and employee relationships in a work environment;
- An improved work history and work references;
- An opportunity to actively participate in a specific work field; and
- An opportunity to progressively master more complex tasks.

1) Wages and Benefits

Work experiences may be paid or unpaid.

If the WEP participant is paid wages, the wages must be no less than the higher of the federal or State Minimum Wage. (In most WEP situations, the WIA Service Provider is the employer of record.) WEP participants must always be paid for time worked and must not be paid for any scheduled hours they failed to attend without good cause.

Each participant in WEP must be covered either by Workers' Compensation in accordance with State law or by adequate on-site medical and accident insurance.

Participants in WEP are exempt from unemployment compensation insurance. Therefore, unemployment compensation costs are not allowable.

Under certain conditions participants in a wage paying WEP may be paid for time spent attending other activities. Such payments may only be made if WEP participation is scheduled for more than fifty percent (50%) of the scheduled training time in all activities. Usually, the participant will be enrolled simultaneously in both the WEP activity and the other activity.

Work Experience service providers may supplement (pay a portion of) the costs of wages and fringe benefits only if the service provider is the employer of record. In these instances, the payment for Work Experience would be made to the employer after adequate time and attendance and supporting documentation is provided. Any such arrangement must be specified in an agreement with the service provider. Care should be taken to ensure that an adequate audit trail is maintained in such cases. It might be beneficial to investigate the possibility of an OJT instead of supplementing wages.

Since WEP is employment **with wages paid**, in addition to the guidelines listed here, other State and federal regulations governing employment situations apply to WEP as well.

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2) Worksite Eligibility

Work Experience may take place in the private sector, for-profit sector, non-profit sector, or public sector. A participant cannot be placed in a WEP with an employer where the participant is already employed in an unsubsidized position.

Work Experience must not be used as a substitute for Public Service Employment activities.

3) Length of Training

A WEP agreement at one worksite can be written for a maximum of 13 calendar weeks unless the agreement is for a part-time WEP of less than 520 hours, then WEP activity period can be extended to a maximum of 26 weeks.

SUPPORT SERVICES

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Support services are payments made to participants or service providers which enable participants to take part in a WIA program (support service payments) or which reward youth for attendance and achievement (incentive and bonus payments).

A. Support Service Payments

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Support service payments may be provided, when necessary, to enable a participant to participate in a WIA activity or a partner activity. Support service payments may also be made to participants during the provision of post-program services based upon their needs. Support service payments can be made only when the participant is unable to obtain the service through other programs providing such services.

Support services may be provided to adults and dislocated workers who are participating in core, intensive and training services and to youth participating in youth activities.

Support service payments must not be made for activities in which the participant failed to participate, without good cause.

The criteria, procedure or formula described in the Regional Customer Service Plan (RCSP) is used to determine the eligibility for, and the amount of, Support Service Payments for each individual participant. This criteria, procedure or formula must be applied to all participants in any program or activity for which Support Service Payments are provided. The RCSP must also specify any limits, payment rates, maximum amount of payments and maximum length of time for support services to be available to participants. The plan may also establish a procedure to allow the Coordinating Service Provider to grant exceptions to the limits established.

The need for, and the amount of, support service payments must be documented in the participant's Individual Employment Plan (IEP)/Individual Services Strategy (ISS).

Support service payments, which assist a parent, spouse or legal guardian's participation in a youth participant's training, are allowable under the Youth Program. Such payments might include reimbursement for transportation costs or childcare for a parent to attend a conference regarding a child's progress toward achievement of the objectives of the ISS.

Following are the allowable types of support service payments and a description of each:

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1) Clothing (CHG);

The cost of items such as clothes and shoes **that** are necessary for participation in WIA activities are allowable. Items such as uniforms and safety equipment are included.

2) Counseling (CLG);

The cost of personal counseling services that will enhance a participant's employability are allowable. This may include employment, financial, individual, family and drug and alcohol abuse counseling. However, major personal or emotional problems affecting employability may require referral to an approved counseling or health care agency. Generally, major personal or emotional problems are outside the scope of WIA services.

3) Dependent Care (DPC);

The cost of dependent care from licensed institutions or from private sources agreed upon by the participant and WIA Service Provider staff are allowable. Dependent care includes child or adult care.

4) Financial Assistance (FAS);

The purpose of a Financial Assistance Payment is to make a payment to a service provider or vendor on behalf of a participant to cover an emergency financial need of a participant that, if unmet, would prevent the participant from participating in WIA activities. FAS may be used for such things as housing assistance, auto repair, eyeglasses repair, etc. FAS may not be used to pay any type of fines or penalties imposed because of failure to comply with any federal, State, local law or statute.

5) Health Care (HLC);

Health care assistance could be made available to participants when lack of assistance will affect their ability to obtain or maintain employment. This support service would be used only when there are no other resources available to the participant.

6) Miscellaneous Services (MSS);

Bonding is an allowable cost if it is not available under federally or locally sponsored programs. If bonding is an occupational requirement, it should be verified that the participant is bondable before the participant is placed in training for that occupation.

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The cost of required tools is allowed. All policies and procedures set forth in the property section of this handbook apply to property purchased with WIA funds for **\$5,000** or more.

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The cost of licenses or application fees is allowable if required **for employment**. **Miscellaneous Services must be defined in the Regional Customer Service Plan.**

7) Needs-Related Payments (NRP) - Adults and Dislocated Workers Only;

Needs-Related Payments are financial assistance payments made directly to participants to provide for the purpose of enabling them to participate in training activities.

a) Eligibility. Only adults and dislocated workers are eligible to receive Needs-Related Payments.

i) **Adult Eligibility.** To be eligible to receive NRP, adults must:

⇒ Be unemployed; and

- ⇒ Not qualify for, or have ceased qualifying for unemployment compensation; and
- ⇒ Be enrolled (applied and accepted) in training services under WIA.

ii) Dislocated Worker Eligibility. To be eligible to receive NRP, a dislocated worker must:

- ⇒ Be unemployed and:
 1. Have ceased to qualify for unemployment compensation or trade readjustment assistance under TAA; and
 2. Be enrolled in a program of training services under WIA by the end of the 13th week after the most recent layoff that resulted in a determination of the worker's eligibility as a dislocated worker or, if later, by the end of the eighth week after the worker is informed that a short-term layoff will exceed six months; or
- ⇒ Be unemployed and not qualify for unemployment compensation or trade readjustment assistance under TAA.

b) Level of Needs-Related Payments

The level of Needs-Related Payments for adults and dislocated workers must be identified in the Regional Customer Service Plan. The level of payments for adults could be different than the level of payments for dislocated workers.

i) Adults

The Regional Workforce Investment Board (RWIB) may establish a reasonable level of payments for adults.

ii) Dislocated Workers

The RWIB must establish a level of payments for dislocated workers that do not exceed the greater of either of the following levels:

- ⇒ For dislocated workers who were eligible for unemployment compensation as a result of a qualifying dislocation, the payment must not exceed the applicable weekly level of the unemployment compensation benefit; or
- ⇒ For dislocated workers who did not qualify for unemployment compensation as a result of the qualifying layoff, the weekly payment level must not exceed the poverty level for an equivalent period. The weekly payment level must be reduced for total family income. The RWIB must determine the methodology for reducing the level of payment because of other family income. At least quarterly, the amount of family income must be reviewed to determine if adjustments must be made in the amount of NRP payments.

8) Residential/Meals Support (RMS)

The cost of lodging for each night away from the participant's permanent home required for continued program participation is allowable.

The cost for meals while the participant is away from home or in travel status for required training is allowable.

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9) Services for Individuals With Disabilities (SID)

The cost of special services, supplies, equipment and tools necessary to enable a participant with a disability to participate in training is allowable. It is not an allowable use of WIA funds to make capital improvements to a training or work site for general compliance with the Americans with Disabilities Act requirements.

10) Stipends (STI) - Youth Only

Reasonable stipends may be used to assist the participant with additional or subsistence costs incurred by participating in any of the **ten (10)** youth services provided the provision of a stipend is included in the participant's individual assessment and service strategy. Stipends must be a lump-sum amount for a specific time frame and may not be based on an hourly rate. Local boards should take into account the cost effectiveness of providing stipends based upon local youth funding levels and the capacity of the local youth program to provide a quality offering of the required youth program elements as well as stipends.

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11) Supported Employment and Training (SET)

Supported Employment and Training payments are allowable to provide individuals requiring individualized assistance with the one-on-one instruction and with the support necessary to enable them to complete occupational skill training and to obtain and retain competitive employment.

SET may only be used in training situations that are designed to prepare the participant for continuing non-supported competitive employment. Employment positions supported at sheltered workshops or similar situations may not utilize SET.

SET may be conducted in conjunction with LIN, OJT, VEP and WEP. An example of SET use would be the hiring of a job coach to assist an individual who has been placed in competitive employment.

12) Transportation (TRN)

The cost of transportation necessary to **participate in** WIA activities and services, including job interviews, is allowable.

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B. Incentive and Bonus Payments (INB) -- Youth Only

Incentive and Bonus Payments are allowable for youth participants to reward them for attendance or achievement. INB must be based upon a local policy that is described in the Regional Customer Service Plan (RCSP) and applied consistently to all participants, **as defined in the RCSP**.

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The INB payment policy described in the Regional Customer Service Plan must be based on attendance or achievement of basic education skills, pre-employment/work maturity skills or occupational skills as identified in the ISS for the participant. The INB payment policy must be a lump sum, based on achievement/attendance, for a specific time frame and may not be based on an hourly rate. The INB policy may be based on a combination of attendance and achievement or one or the other.

Applicant and Participant Process

The Workforce Investment Act provides for a continuum of service delivery that includes three levels of services:

A. Core services, which include:

- Self-Service and Informational Core Services; and
- Staff-Assisted Core Services.

B. Intensive services; and

C. Training services.

Adults and Dislocated Workers

In order to serve an adult or dislocated worker under WIA, certain procedures must be followed. These procedures make up the Applicant and Participant Process for Adults and Dislocated Workers. This process includes the following steps that are necessary to locate, identify, choose, enroll and discontinue services to participants:

- Outreach;
- Provision of self-service and informational core services;
- Registration for IWD resource center services;
- Eligibility determination;
- Selection for staff-assisted core services;
- Enrollment (Date of participation);
- Selection for intensive services;
- Orientation;
- Objective assessment;
- Individual Employability Plan;

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- Selection for training services;
- Participant progress;
- Exit;
- Post-Program services;
- Follow-up.

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Also included in the applicant and participant process and described in this section are co-enrolled or sequential enrollments, progress reporting and collection of follow-up information.

Applicant Process

A. Outreach

Outreach is the first step of the applicant process. Outreach is the active effort or process by which potential participants are located, made aware of programs and service opportunities provided through the regional Workforce Development Center system and encouraged to utilize those services. The outreach process must ensure that substantial segments of the population are made aware of the program. In addition, outreach techniques must disseminate information on non-traditional career options for all participants. The outreach process needs to be flexible to allow adjustments that will ensure equitable service to substantial segments of the population. For purposes of this requirement, substantial segments of the eligible population have been identified in terms of the demographic characteristics of age, race and gender.

B. Provision of Self-service and Informational Core Services

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Unlike previous employment and training programs, WIA allows that WIA-funded core services that are self-service or informational may be provided without enrollment or eligibility determination. These core services are:

- Determination of eligibility to receive assistance;
- Outreach, intake (which may include profiling) and orientation to the regional Workforce Development Center system;
- Initial assessment of skill levels, aptitudes, abilities and support service needs;
- Job search and placement assistance;
- Provision of employment statistics information, including the provision of accurate information relating to local, regional and national labor market areas, including:
 - Job Vacancy listings in such labor market areas;
 - Information on job skills necessary to obtain the jobs listed; and
 - Information relating to local occupations in demand, earnings and skill requirements for such occupations.

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- Provision of performance and program cost information for eligible providers of training services;
- Provision of information regarding how the local area is performing on the local performance measures and any additional information with respect to the Workforce Development Center System in the local region;
- Provision of accurate information relating to the availability of support services, including child care and transportation available in the local region and referral to such services as appropriate;
- Consumer reports information and delivery system performance information;
- Information on other Workforce Development Center System Partner services and support services;
- Provision of information on filing Unemployment Insurance (UI) claims;
- Assistance in establishing eligibility for:
 - Other non-WIA employment and training programs in the local region; and
 - Programs of financial aid for assistance for training and education programs that are not funded under the Act and are available in the region.
- Resource Room usage;
- Job referrals (informational, e.g. job scouts, referrals in non-exclusive hiring arrangements, short-term or seasonal placements);
- Internet browsing (job information and training searches);
- Internet accounts (Career Kit and Personnel Kit); and
- Talent referrals (informational, e.g. talent scouts, staff referrals or resumes without further screening).

Revised
Mar 2008

If staff determines that an individual is in need of WIA funded staff-assisted core services in order to become employed, the individual must be determined eligible and enrolled. (See the Participant Process subsection below.)

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C. Enrollment (Date of participation)

The next step in the applicant process is enrollment which is determined by the first date of services (date of participation). Core services that are not primarily informational and are staff-assisted require enrollment. Intensive and training services also require enrollment and additional information must be obtained for intensive and training services. The information required for enrollment may be collected via electronic data transfer, personal interview or an individual application. The enrollment process must gather all of the information necessary to make a determination of eligibility for the services to be provided. In addition, program staff must inform the customer during the enrollment process about the importance of customer satisfaction under WIA and of the possibility of being contacted for information on his/her satisfaction with the services received.

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The short application in the Common Intake may be used for enrollment for staff-assisted core services. The additional information required on the enrollment in the Common Intake/Case Management system must be obtained and recorded for participants receiving intensive or training services.

D. Eligibility Determination

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Mar 2008

Determination of eligibility for WIA programs must be based on the information gathered at the time of enrollment, including age.

The WIA Service Provider(s) for adults and dislocated workers is responsible for all eligibility determinations within each region for the Adult and Dislocated Worker Programs. The Service Provider may delegate this responsibility to a sub-recipient if this arrangement is stated in the Regional Customer Service Plan. The Service Provider may permit another entity to make such determinations if it provides for reasonable safeguards, including provisions for reimbursement of costs incurred because of erroneous determinations made with insufficient care.

Revised
Mar 2008

Eligibility determinations may be based upon self-attestation of information provided by applicants. The applicant must certify that information provided is correct to the best of the applicant's knowledge. If the information provided is inconsistent or if there is reason to suspect that the applicant is either mistaken or dishonest, an obligation exists to verify the accuracy of the information. The WIA Core Service Provider(s) may require verification of certain eligibility factors if the Regional Customer Service Plan contains a policy requiring verification.

E. Selection for Enrollment into WIA

In making enrollment decisions, priority must be given to Iowa residents and individuals who have been dislocated from an Iowa employer. It is the responsibility of the WIA service provider(s), or their designees, to follow the regional selection procedure as described in the Regional Customer Service Plan. The criteria must provide a fair and equitable method for selection among the eligible applicants. The criteria may include a priority for residents of the Workforce Development region and individuals dislocated from an employer in the region.

Revised
Mar 2008

The process of providing priority services to veterans and their spouses must be documented by each region in the Regional Customer Service Plan.

Participant Process

A. Enrollment/Provision of Staff-Assisted Core Services

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Enrollment is the process whereby an eligible enrollee is admitted into the program and begins to receive WIA funded staff-assisted core services beyond those listed above. These core services are:

- Staff-assisted job search and placement assistance, including career counseling;
- Staff-assisted job development (working with an employer and job-seeker);
- Staff-assisted workshops and job clubs;
- Screened job referrals (such as testing or a background checks); and
- Post-program services.

Revised
Mar 2008

An enrollee must receive at least one of the staff-assisted core services in order to be considered a WIA participant. The date upon which an applicant begins to receive such staff-assisted core services establishes the date of enrollment (date of participation).

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1) Co-Enrollment and Sequential Enrollments

Individuals who participate in more than one program for the completion of the initially determined training objective, including non-WIA-funded programs, are considered to be co-enrolled participants. Such co-enrollment participation may occur within WIA programs, or in other non-WIA training programs (e.g., Trade Adjustment Act, PROMISE JOBS, Vocational Rehabilitation, etc.). Non-WIA training programs that qualify as co-enrollment participation are those in which the participant has training expedited through another funding source. The focus of all co-enrolled training must remain on the initially determined training objective as described in the participant's Individual Employment Plan (IEP). Youth age 18 to 21 may be co-enrolled in both the Youth and Adult Programs.

All co-enrolled participants must continue to be monitored by progress reports. Activities and services for co-enrolled participants that are not being provided through a WIA program are still tracked in the Common Intake/Case Management System.

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2) Transferring Participants Between Titles and Programs

Participants may be transferred from one WIA program to another program or co-enrolled into another WIA program. Such action may take place without a re-determination of eligibility if the participant met the current eligibility requirements for such other programs at the time the individual was originally determined eligible for his/her first WIA program. However, if the subsequent program has an age limitation or additional eligibility requirements, the participant must meet the age limitation or additional requirements at the time of transfer into that program.

3) Inter-Region Transfer

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Participants may be transferred from one WIA region to another WIA region with agreement of both regions. If a participant is being transferred from one region to another region within Iowa, a new application is not required. However, the region to which the participant is being transferred should obtain and keep on file:

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- A copy of the original enrollment; and
- Documentation of participation in the WIA program with the originating region.

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The region that originally enrolled the individual may either have the participant co-enrolled or may discontinue services to the participant.

Performance for the participant remains with the region that initially enrolled the participant.

4) Re-enrollment

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Individuals who have exited from WIA may be subsequently re-enrolled for additional program services. Such re-enrollments must occur in accordance with the policies and procedures that govern any enrollment, i.e., eligibility determination, selection, etc. Justification for re-enrollment of former participants must be provided in the participant file. If the participant successfully completed the initial enrollment, circumstances that support another enrollment must be identified. If the participant failed to complete the initial enrollment, the barriers that

prevented the participant from achieving success during the previous enrollment must be addressed in the re-enrollment justification.

Except in cases involving fraud, individuals who have been determined ineligible for a program may be re-enrolled into a different program. An individual's eligibility for the second program must be based upon information contained in a new or updated enrollment.

B. Selection for Intensive Services

There are two categories of adults and dislocated workers who may receive intensive services:

- Adults and dislocated workers who are unemployed, have received at least one staff-assisted core service, are unable to obtain employment through core services and are determined by the WIA Service Provider to be in need of more intensive services to obtain employment; and
- Adults and dislocated workers who are employed, have received at least one staff-assisted core service and are determined to be in need of intensive services to obtain or retain employment that leads to self-sufficiency. Employed dislocated workers are those individuals who were either employed in non self-sufficiency employment at the time of enrollment, or who were unemployed at the time of enrollment and obtained non self-sufficiency employment after the receipt of a core service.

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NOTE: *The above criteria must be documented in the participant case file.*

NOTE: *See the **Eligibility for WIA Title 1 Programs** section of this Handbook for the criteria for determining the eligibility of dislocated workers who are employed at the time of enrollment. Also, the criteria used to determine whether "employment leads to self-sufficiency" must be described in the Regional Customer Service Plan. The criteria must be based on income and either a percentage of the lower living standard income level, a comparison to some other published income or wage level or on a percentage of the wage of dislocation for dislocated workers.*

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The determination of the need for intensive services as established by an initial assessment of skill levels, aptitudes, abilities and support service needs or the inability of the individual to obtain employment through the core services must be documented and maintained as part of the participant's case file.

The Act requires that, in the event that funds allocated to a region for **Adult** employment and training activities are limited, priority for intensive and training services funded with **Adult** funds must be given to recipients of public assistance and other low-income individuals in the region. Since the Adult Program funds are limited, IWD has determined that prioritization is demonstrated if 55 percent of the Adult Program participants are welfare recipients or low-income individuals. An additional 40 percent must have a family income that does not exceed 150 percent of the lower living standard income level (LLSIL). The remaining five percent must meet the criteria established in the Regional Customer Service Plan. Service providers may serve more than 40 percent of individuals with family income up to 150 percent of the LLSIL if a waiver was applied for in the Regional Customer Service Plan and the waiver was approved.

Intensive services include the following:

- Comprehensive and specialized assessments (objective assessments) of skill levels and service needs, including diagnostic testing and use of other assessment tools, and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Development of an Individual Employment Plan (IEP) to identify the employment goals, appropriate achievement objectives and appropriate combination of services for the participant to achieve the employment goals;
- Case management for participants seeking training services;
- Skill upgrading – Short-term pre-vocational services including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct and English as a Second Language (ESL) to prepare individuals for unsubsidized employment or training. With the exception of ESL, training must be 26 weeks or less in length and must not lead to a credential.
- Out-of-area job search;
- Relocation expenses;
- Leadership Development;
- Limited Internships;
- Mentoring;
- Vocational Exploration;
- Work experience.

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C. Orientation to Intensive and Training Services

When a participant begins to receive intensive services, the participant must receive an orientation to WIA. The orientation must ensure that the participant is apprised of policies and procedures that apply to WIA enrollments, including attendance, payment, discontinuation of service policies complaint procedures, monitoring, verification, follow-up, customer satisfaction survey requirements and the information release statement. Program staff must inform the customer during the enrollment process about the importance of customer satisfaction under WIA and of the possibility of being contacted for information on his/her satisfaction with the services received.

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Orientation information should be reviewed verbally with the participant and must be provided to the participant in written form. It is required that the participant's receipt and review of the information be documented by the participant's signature on an acknowledgement form which is then retained in the participant record. Please see the Record Keeping and Maintenance section of this handbook for maintenance requirements relating to documentation.

D. Objective Assessment

The objective assessment process collects information upon which a participant's Individual Employment Plan (IEP) will be based. Objective assessment may be completed using any

combination of structured interviews, paper and pencil tests, performance tests, work samples, behavioral observations, interest and/or attitude inventories, career guidance instruments, aptitude tests and basic skills tests.

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Portions of assessments conducted by other Workforce Development Center Partners or other human resource programs, such as PROMISE JOBS, may be used to collect information on the factors required for the objective assessment as described in this section. Such assessments must have been completed within one year prior to WIA enrollment.

Objective assessment must be a participant-centered, objective evaluation of the capabilities, needs, vocational potential and employment barriers of a participant. The assessment process must collect and document information on each of the following factors for each participant:

- Family situation;
- Work history;
- Education;
- Basic education skills;
- Occupational skills;
- Interests and aptitudes;
- Attitude and motivation;
- Financial resources; and
- Basic subsistence needs.

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The results of the Objective Assessment are to be reviewed verbally with the participant and the participant is to be provided with a copy of test results. The results of the Objective Assessment must be used to develop the participant IEP. This process must be documented in the participant case file.

As additional relevant information about a participant becomes available, the objective assessment should be reviewed and re-evaluated. The participant should be re-assessed as necessary to determine further service strategies.

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When an objective assessment determines a participant will be better served by a program other than WIA, referral to the appropriate program must be made and documented in the case file. If there will be a continuing relationship with that participant through additional WIA services, the referral becomes part of the participant's employment plan and must be documented in the IEP. If there will not be a continuing relationship with the individual as the result of a referral to another program, that referral must be documented in the participant case file.

E. Individual Employment Plan

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An Individual Employment Plan (IEP) must be prepared for each WIA participant who will be receiving training services. Additionally the IEP is required for WEP, VEP, MEN, LIN, LDS and SUG. The IEP is a comprehensive employment plan that describes the employment, skill training (if applicable) and support service needs of participants, as well as the service strategy that has

been developed to meet those needs and achieve the employment goal. As determined through the objective assessment, needs in the areas of pre-employment/work maturity skills, occupational skills, basic education skills and support services must be identified in the IEP. The activities and services designed to meet these needs and achieve the employment goal, whether provided by WIA or through other sources (partner agencies), must also be described.

The IEP is the basic instrument to document the appropriateness of enrollment and training decisions and contains supporting documentation for activities and services. The IEP must be developed in accordance with the following process and must include basic elements as well as additional requirements for certain activities or participants.

1) Developing the Individual Employment Plan

The IEP must be developed in partnership with the participant and appropriate partner agencies. The IEP must reflect the employment, training and support service needs indicated by the objective assessment, as well as the expressed interests and desires of the participant. The WIA Service Provider must ensure that decisions are participant-centered; that is, intended to enhance the employability of the participant.

The combination of services to the participant described in the IEP must be supported by the results of the objective assessment process. The IEP must describe all activities and services that will enable the participant to achieve employment goals, whether such services are provided through WIA or other non-WIA sources. If the participant's basic skills, pre-employment/work maturity skills, occupational training skills and support service needs cannot be completely provided by WIA, every reasonable effort must be made to arrange for these needs through other partner and community resources.

When determining the appropriate mix of activities and services for a participant, occupationally-specific training may only be conducted for occupations for which there is a demand in the area served or in another area to which the participant is willing to relocate.

The participant is to be informed of the requirements for self-sufficiency and the occupational demands within the labor market. Strategies must be designed to ensure equal opportunity in that a participant may not be excluded from training or career options based on age, gender, race or disability status. In addition, all participants must be provided information regarding non-traditional employment opportunities.

Since the IEP is an on-going process, it must be reviewed and updated at least annually, as appropriate. This review must include an evaluation of the participant's progress in meeting the objectives of the IEP and the attainment of pre-employment/work maturity, basic education and occupational skills training, as well as the adequacy of the support services provided.

The participant must sign and date the IEP and any subsequent revisions. A copy of the initial IEP and any subsequent revisions must be given to the participant and another copy must be maintained in the participant case file.

2) Required Elements of the IEP

Certain elements are required in the Individual Employment Plan of each participant, while other elements are necessary in situations where the participant has specific needs or is entering training activities with additional requirements. Please see the Record Keeping and Maintenance section of this Handbook for requirements regarding an IEP.

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Each IEP must address four basic elements:

a) **Employment Goal**

An employment goal must be established for each participant. This goal should identify a specific occupation or occupational cluster.

b) **Training and Support Service Needs (if applicable)**

This portion of the IEP must describe the participant's training needs and support service needs.

Training needs are to be identified in the areas of pre-employment/work maturity skills, basic education skills and occupational skills. These needs are identified by comparing the information obtained in the objective assessment process to the skills required by the participant's employment goal.

Support service needs of each participant, as determined through the objective assessment, must also be identified.

The needs of the participant, whether in skill training or support services, must include all skill deficiencies and barriers which may prevent the participant from attaining the employment goal, regardless of whether those needs will be met through WIA or non-WIA resources.

c) **Schedule of Activities and Services**

All activities and services that are planned for the participant, in response to needs identified, must be described. This schedule must include the training and support services provided through WIA resources and all non-WIA sources. A timeline that identifies the planned beginning and ending date of each activity and service, as well as the planned program completion date, must also be included.

NOTE: *Activities and services that are provided by partner agencies must be included in the IEP.*

To the extent feasible, available federal, State and regional resources must be coordinated to meet training, education-related and support service costs so that the participant can successfully complete the training program. Individuals enrolled in occupational skill training must use any grant assistance from other sources, such as State grants and federal Pell Grants, to pay for training costs so that WIA funds supplement other sources of training grants. WIA funds may only be used to pay for support services that are not available through other programs providing such services.

d) **Achievement Objectives**

Achievement objectives or benchmarks to measure progress toward the ultimate attainment of the employment goal must also be included in the IEP. Such objectives should establish interim standards of success throughout the period of program participation. Examples of achievement objectives include completion of training activities, attainment of specified grade levels, completion of GED, elimination of employment barriers or other goals that are specific to the individual needs or barriers of a participant.

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3) OJT Participants

The IEP must describe how the training length of the On-the-Job Training (OJT) was determined. This description must include a justification in each case where the length of training varies from the region-established base level for a specific occupation, as described in the Regional Customer Service Plan. Such variation may be based on individual participant circumstances (e.g., disability, related knowledge or experience).

For each OJT participant, the IEP must document why that activity is appropriate for that individual. Such documentation may include a description of how OJT can overcome a participant's substantial barrier to employment or that a participant already has work maturity and basic education skills and simply needs additional occupational training through an OJT to achieve unsubsidized employment. The selection of OJT as a service for a participant must not be based solely on the availability of a training site.

4) Work Experience Participants

The duration of the work experience activity must be documented in the IEP, based on the need of the participant and in accordance with the requirements for Work Experience in Section 13, Activities and Services, of this handbook.

5) Employed Participants

For individuals who are employed but not earning a self-sufficiency wage and must be retrained or need to have their skills upgraded, the IEP must indicate that the training will clearly qualify the participant to work at a specific occupation with a commensurate wage increase. The occupation must also require a different or greater skill level than the participant possessed prior to training. The training must relate to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy or other appropriate purposes identified in the Regional Customer Service Plan.

6) Re-enrollments

If the participant has previously been a WIA participant, the IEP must document the justification for re-enrollment.

7) Post-Program Services

If a participant is to receive post-program services, the IEP must indicate that those services would be appropriate.

F. Selection for Training Services

Training services may be made available to employed and unemployed adults and dislocated workers who meet **all** of the following criteria:

- 1) Have met the eligibility requirements for intensive services and have received at least two intensive services (i.e. Objective Assessment, an Individual Employment Plan, etc.), AND
- 2) Have been determined by the WIA Intensive Service Provider to be unable to obtain or retain employment that leads to self-sufficiency through intensive services; AND

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- 3) After an objective assessment, have been determined to be in need of training services and to have the skills and qualifications to successfully complete the selected training. The participant must also have an Individual Employment Plan; AND
- 4) Select a program of training services that is directly linked to the employment opportunities either in the area or in another area to which the individual is willing to relocate; AND
- 5) Are unable to obtain grant assistance from other sources to pay the costs of such training (including Pell Grants), OR require WIA assistance in addition to other sources of grant assistance.

In addition to the above, the Act requires that, in the event that funds allocated to a region for Adult employment and training activities are limited, priority for intensive and training services funded with Adult funds must be given to recipients of public assistance and other low-income individuals in the region. Since the Adult Program funds are limited, IWD has determined that prioritization is demonstrated if 55 percent of the Adult Program participants are welfare recipients or low-income individuals. An additional 40 percent must have a family income that does not exceed 150 percent of the lower living standard income level (LLSIL). The remaining five percent must meet the criteria established in the Regional Customer Service Plan. Service providers may serve more than 40 percent of individuals with family income up to 150 percent if a waiver was applied for in the Regional Customer Service Plan and the waiver was approved.

The use of WIA funds for training services is limited to instances when there is no, or insufficient, grant assistance from other sources available to pay for those costs. WIA program operators should consider all available sources of assistance, excluding loans, in determining an individual's overall need for WIA assistance. Resources available to an individual and earmarked for specific costs must be allocated for those purposes as part of the process for determining the need for WIA assistance. It is important for the WIA counselor to work with the WIA participant to calculate the total assistance available and assess the full "education and education-related costs" (training and support service costs) for completion of the program in order to determine the need for WIA assistance and to prioritize the usage of the available grant assistance.

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Coordination of available education funds must include consideration of all grant sources, excluding loans, in determining an individual's overall need for WIA funds. The exact mix of funds should be determined based on the availability of funding for training, support service costs and living expenses, with the goal of ensuring that the participant will be financially able to successfully complete the training. The mix of training and support service funds from WIA and other sources, including Pell funds, is the joint responsibility of the participant, WIA staff and the training institution. The plan for meeting expenses must be documented and maintained in the participant file.

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Resources available to an individual that are earmarked for specific costs, such as certain scholarships and Iowa Tuition Grants, must be allocated for those purposes when determining the mix of funds. Participation in a training program funded under WIA may not be conditioned on applying for or using a loan to help finance training costs.

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Pell Grant funds may be used in any sequence to help pay the costs of training as permitted under those grants, as agreed to by the participant and training institution. The financial needs determination should focus on the needs of the participant. Simply reducing the amount of WIA funds by the amount of Pell Grant funds is not permitted.

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The following guidelines must be used when determining financial need for training and related support services:

- The financial needs determination process is required only for IST.
- If a region chooses to include living expenses in calculating the participant's financial needs, the region must use a standard expense amount based upon a federally established standard, such as the LLSIL or poverty guidelines for the size of the family. Actual living expenses may not be used.
- Regions may use different policies for the Adult, ~~Youth~~ and Dislocated Worker programs, but the policies for each program must be applied consistently. For example, standard living expenses may be included for the Adult program, but not for the dislocated Worker program.
- If a participant is living "on campus," room and board must be considered a living expense and not an educational expense.
- Since both expenses and resources for training often change, the determination of need for WIA financial support of training must be reviewed annually or when a significant change in expenses, financial aid or other resource occurs.
- Each region must document its financial needs determination process or processes in the Regional Customer Service Plan (RCSP).
- The process described in the RCSP must be applied consistently in all cases.

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Mar 2008

Regulations require that the One-Stop-Operator (referred to as the Coordinating Service Provider or CSP in Iowa) determine if Adults and Dislocated Workers are in need of training services and have the skills and qualifications to complete the selected training program. Therefore, it is necessary for the CSP to establish procedural guidelines to implement this provision of the Act and Regulations.

Training services that must be approved by the CSP include the following activities:

- Customized Training (CUS);
- Entrepreneurial Training (ENT);
- Institutional Skill Training (IST);
- On-the-Job Training (OJT);
- Remedial and Basic Skills Training (RBS); and
- Secondary Education Certification (SEC).

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There are several methods by which the CSP may approve training services for each Adult and Dislocated Worker. The CSP may review and approve the determination to provide training services prior to the beginning of training for each participant. Another method would be for the CSP to develop and approve specific guidelines to be used for making such determinations and delegate the actual approval authority to a specific management staff level position. Variations on these approaches may also be used. Regardless of the process used, the substantive issue that

needs to be addressed by the CSP is that such determinations are appropriate with regard to the needs of the participant, the requirements of the Act and the intent of the Regional Customer Service Plan. In all cases, the review and approval process must be completed prior to the beginning of training and must be documented.

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CSP meeting minutes must clearly identify the review and approval process adopted for the Region. If the approval responsibility is delegated, the specific guidelines or criteria to be used for making determinations must be clearly delineated.

Documentation of the review and approval must be maintained in the participant file, clearly address each of the following criteria at a minimum and identify the specific services that were provided, as well as the specific dates that they were provided.

- The staff-assisted core services and intensive services (at a minimum, Objective Assessment and an Individual Employability Plan) the participant has received;
- The participant is in need of training services in order to obtain employment that leads to self-sufficiency;
 - This requires an assessment of an individual's work history, existing skills, and credentials in relation to the current job market. This determination inherently requires the assessment of the transferability of skills, the skills local employers require when hiring an individual for specific jobs, the availability of jobs within the labor market area and the wage rates for jobs in the area. The determination must also include an analysis of the wage rates for the occupation for which the participant is seeking training.
- The participant has the skills and qualifications to successfully complete the selected training program;
 - This not only implies that the participant has received testing to determine that he/she has the academic and learning skills to complete the training, but also requires that an assessment of the qualifications be conducted to determine that the participant meets the requirements of employers to be hired after the training. For example, truck driving normally requires a physical, drug testing, a good driving record and no outstanding warrants. These factors or qualifications must be assessed prior to a participant starting a training program.
- The selected program of training is directly linked to the employment opportunities either in the local area or in another area to which the individual is willing to relocate;
 - This requires the use of labor market information to document demand. Unless it is documented that there are jobs in the occupational area in which the individual wants to be trained in the local labor market area or in an area to which the individual is willing to relocate, the individual is not eligible for training. Occupational demand can be documented using a wide range of labor market information, including labor supply and demand statistics, occupational projections, job openings, placement rates in training related occupations, fastest growing occupation information, declining occupation information, etc. If an individual declares that he or she is willing to move to another area for a job, then the occupational demand in the area to which the participant is willing to relocate must be documented.

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ADULT/DISLOCATED WORKER

- The participant is unable to obtain grant assistance from other sources to pay the costs of such training or requires WIA assistance in addition to other sources of grant assistance;
 - This requires that a participant has applied for assistance from other sources for which he or she might be eligible, and knows the total amount of non-WIA assistance he or she will receive, prior to being determined eligible for training services. The Federal Regulations require that “Training providers must consider other sources of grants, such as State-funded training funds and Federal Pell Grants, to pay for training costs and WIA funds will supplement other resources.” If an individual is eligible for assistance from other grant sources to pay for specific costs, WIA cannot pay for those costs. WIA staff is responsible to determine that the participant has sufficient resources to successfully complete the training.
- Signature of authorized approver and date of the approval.

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NOTE: All of the above applies to Dislocated Worker discretionary grants except for the CSP approval. However, management staff must review and approve all enrollments into a training activity prior to the start of the training.

An Individual Training Account (ITA) for a participant must be established to pay for training costs, except when one of the three exceptions allowed by the Federal Regulations apply. Please see the Individual Training Account section of this Handbook for policies relating to ITAs.

An Individual Training Account (ITA) is to be used to assist a participant with the cost of training (tuition, books and fees). To be eligible for an ITA, a participant must be unable to obtain sufficient grant assistance from sources other than WIA to pay for the training costs (tuition, books and fees).

Following is a list of conditions under which an ITA may or may not be established:

- If a participant has multiple funding sources to pay for training, an agreement must be reached with the participant as to how the funding sources will be used.
- If the following funding sources are available, they must be used to cover training costs to the extent possible: Iowa Tuition Grant, Iowa Vocational Technical Grant and other tuition-directed scholarships and grants.
- If there is not sufficient grant funding to cover all training costs, the individual is eligible for a partial ITA. If the grant assistance (including State-funded training funds, Trade Adjustment Assistance [TAA], Federal Pell Grants, Promise Jobs, etc.) is greater than or equal to the cost of the training services (tuition, books and fees), the individual is not eligible for an ITA.

G. Participant Progress

Participant progress must be evaluated in relation to the achievement objectives that were determined during the objective assessment process and documented in the IEP.

The evaluation of a participant’s progress generally consists of two parts:

- A performance evaluation from the training instructor or supervisor; and
- A staff evaluation with the participant of the progress that has been made toward the objectives identified in the IEP.

For individuals in training activities, the performance evaluation from the training instructor may be a report of the participant's grades for each class.

The staff evaluation must include direct contact with the participant. Direct contact is defined as an exchange of information relating to the progress of the participant or any issues that would have an impact on his or her ability to complete a training plan. Direct contact may be either in person, by telephone, e-mail or regular mail provided there is a conversation or interaction between staff and the participant and it is documented in the case file.

The evaluation of participant progress must be conducted for each participant within the first 30 days of participation in a training activity and at a minimum every 90 days thereafter.

Participant progress reviews must be documented in the participant file in the form of a case note for in-person or telephone contacts. Contacts made by e-mails and letters must be documented in the case notes and a copy of the e-mail or letter must be in the case file. All contacts and responses must be documented.

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Please see the Record Keeping and Maintenance section of this Handbook for the required progress report elements.

Post-Program Process

A. Exit

The date of exit is always the last date on which a WIA Title I or partner service, excluding post-program services, was actually received by an individual. A participant will be exited automatically in the CI/CM system upon the 90th day after the last WIA or partner service is received if no further WIA or partner services are scheduled.

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Note: Future services may only be used to extend the 90-day exit if the gap in service is due to a delay before the beginning of training, or if a health/medical condition or providing care for a family member with a health/medical condition; or is a temporary move from the area that prevents the individual from participating in services, including National Guard or other related military service. WIA service providers must document any gap in service and the reason for it.

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In the following participant circumstances only, the WIA worker can enter the appropriate exit code. These exit codes are found in Section 20, Outcomes:

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- Institutionalized;
- Health/Medical or family care (for conditions expected to last beyond 90 days and documented by a physician);
- Deceased;
- Reservists called to active duty;
- Relocated to a mandated residential care program – for Youth participants only;
or
- Invalid or missing Social Security Number.

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In the following participant circumstances, the WIA worker can close all WIA activities and the participant will be exited automatically in 90 days unless the participant is receiving partner services:

- Upon final determination of ineligibility;
- Upon determination of fraud committed by the participant. Please see the Fraud section of this Handbook for information concerning determination of fraud;
- Upon failure to furnish verification documentation within a reasonable amount of time; and
- For failure to comply with Section 3 of the Military Selective Service Act (i.e., submitting and registering for the draft, as required).

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A participant's activities may also be ended for other reasons as established by the WIA Service Provider including the following:

- After a job offer or offer of referral to a "suitable self-sufficiency job" is made to and rejected by the participant, a participant's activities may be ended, regardless of how long the individual has been in the program. The WIA Service Provider is to define "suitable self-sufficiency job" based on the needs and resources of the individual;
- Upon recommendation of instructor, supervisor, or WIA representative for disciplinary reasons or unsatisfactory progress;
- For health, family, or transportation problems which prevent the continuation of scheduled activity; and
- If working for an employer, for any and all reasons that other regular (non-WIA) employees of the employer may be dismissed. In such cases, ending WIA activities is not mandatory or automatic. It is the responsibility of the WIA Service Provider to determine whether the participant's activities should be ended or that he or she can continue to be served in another WIA activity.

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If a participant is determined to be ineligible at any time, the individual must be informed of the determination and given the opportunity to appeal. (See Section 25) Upon final determination of ineligibility for a program, the participant's activities must be closed. This must occur the same day that the final determination of ineligibility is made. The reason for the ineligibility, the date of final determination of ineligibility and the date of discontinuation of services must be documented in the participant record.

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If at any time it is found that a participant has committed fraud to receive WIA assistance or has attempted to defraud the WIA program, the participant's activities must be immediately closed. All circumstances related to the fraudulent act or attempt to defraud, along with the last date of services, must be documented and maintained in the participant record. Please see the Fraud and Investigations section of this Handbook for procedures to be used for reporting fraudulent acts.

B. Post-Program Services

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Post-program services are services provided to all participants after exit. Post-program services are not to be confused with follow-up.

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Post-program services must be made available to all participants for not less than 12 months after all activities have been closed. The first post-program service must occur within the first 30 days of exit, with a second service provided within 90 days after exit. Post-program services must be provided at least quarterly thereafter for the next three quarters. If an individual insists that he or she does not want to receive further post-program services, the services may be discontinued and the reason must be documented in the participant record.

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The purpose of post-program services is to identify any problems with employment or any employment or support service needs. Post-program services may include, but are not limited to:

- counseling regarding the workplace;
- assistance to obtain better employment;
- the determination of the need for additional assistance;
- skills upgrading necessary to attain employment or to remain employed;
- support services; and/or
- referral to services of partner agencies or other community resources.

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C. Follow-up

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Follow-up is the collection of information on a participant's employment situation at a specified period after an individual has been exited from WIA services. Follow-up is tracked from the exit date, and begins the first quarter after the exit quarter. Follow-up information is primarily obtained from UI Wage Records. However, supplemental sources may be used if individuals are not found in UI Wage Records, provided that the information is verified and documented. IWD will verify the accuracy of a sample of supplemental information through monitoring.

Several reporting items cannot be obtained through UI Wage Records and will need to be obtained through follow-up contacts. These items are:

- Employment information, including occupation, training-related employment and non-traditional employment; and
- Attainment of a recognized educational/occupational certificate/credential/diploma or degree and the date of attainment.

Youth

The intent of the Workforce Investment Act is to move away from one-time, short-term interventions for youth to a systematic approach that offers youth a broad range of coordinated services. This includes opportunities for assistance in both academic and occupational learning, developing leadership skills, preparing for further education, additional training and eventual employment.

In order to serve a youth under WIA, certain procedures must be followed. These procedures make up the applicant and participant process. This process includes the following steps that are necessary to locate, identify, select, enroll, provide services, discontinue services and exit participants:

- Outreach;
- Eligibility determination;
- Verification;
- Enrollment (date of participation);
- Orientation;
- Objective assessment;
- Individual service strategy;
- Coordination of WIA funds and other assistance for IST;
- Participant progress;
- Exit;
- Post-program services; and
- Follow-up.

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Also included in the applicant and participant process and described in this section are co-enrollment or sequential enrollment, progress reporting and collection of follow-up information.

Applicant Process

A. Outreach

Outreach is the first step of the applicant process. Outreach is the active effort or process by which potential participants are located, made aware of programs and encouraged to utilize the service opportunities provided through the Regional Workforce Development Center system. The outreach process must ensure that substantial segments of the population are made aware of the program. In addition, outreach techniques must disseminate information on non-traditional career options for all participants. The outreach process needs to be flexible to allow adjustments that will ensure equitable service to substantial segments of the population. For purposes of this

requirement, substantial segments of the eligible population have been identified in terms of the demographic characteristics of age, race, gender and disability.

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B. Enrollment

The next step in the applicant process is enrollment. All youth must be determined eligible before they can receive any WIA funded services. WIA Youth funds must not be used to provide core services to youth. Core services may be provided to youth using non-WIA funding, such as Wagner-Peyser funding.

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The information required for enrollment may be collected via electronic data transfer, personal interview or an individual application. The enrollment process must gather all of the information necessary to make a determination of eligibility for the services to be provided. A complete enrollment must be obtained for each individual receiving WIA services. Please see the Record Keeping and Maintenance section of this handbook for the minimum requirements for enrollment.

C. Eligibility Determination

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Determination of eligibility for WIA programs must be based on the information, including age, gathered at the time of enrollment.

The WIA Service Provider(s) for youth is responsible for all eligibility determinations within each Region for the Youth Programs. The Service Provider may delegate this responsibility to a sub-recipient if this arrangement is stated in the Regional Customer Service Plan. The Service Provider may permit a WIA sub-recipient to make such determinations if the Service Provider provides for reasonable safeguards, including provisions for reimbursement of costs incurred because of erroneous determinations made with insufficient care.

Eligibility determinations may be based upon self-declaration of information provided by applicants. The applicant must certify that information provided is correct to the best of the applicant's knowledge. If the information provided is inconsistent, or if there is reason to suspect that the applicant is either mistaken or dishonest, an obligation exists to verify the accuracy of the information.

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For minors, a parent or guardian must certify that information provided is correct to the best of the parent or guardian's knowledge. Parent or guardian signatures are not required for minors who are runaways or court-adjudicated and separated from their family.

D. Verification

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A random sample of 10 percent of eligible enrollees must have an eligibility verification prior to or after enrollment into a WIA program. Local policy used to verify less than 100 percent must be defined in the Regional Customer Service Plan. Please refer to the Verification section of this handbook for requirements relating to the verification of eligibility.

E. Selection for Enrollment into WIA

In making enrollment decisions, priority must be given to residents of the Workforce Development region, extended out to the local school district boundaries. It is the responsibility of the WIA Youth Service Provider(s), or their designees, to follow the regional selection procedure as described in the Regional Customer Service Plan. The criteria in the written procedure must provide a fair and equitable method for selection among the eligible applicants

Participant Process

A. Enrollment

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Enrollment is the process whereby an eligible enrollee is admitted into the program and begins to receive WIA funded services.

1) Co-Enrollment and Sequential Enrollments

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Individuals who participate in more than one program, including non-WIA-funded programs, are considered to be co-enrolled participants. Such co-enrollment participation may occur within WIA programs or in other non-WIA training programs (e.g., Trade Adjustment Act, PROMISE JOBS, Vocational Rehabilitation, etc.). Non-WIA training programs, which qualify as co-enrollment participation, are those in which the participant has training expedited through another funding source. It does not include financial aid programs such as PELL funding or similar programs. Youth age 18 to 21 may be co-enrolled in both the Youth and Adult Programs.

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All co-enrolled participants must continue to be monitored by progress reports and contacts with partner agency staff. All contacts must be documented in the participant file. Activities and services for co-enrolled participants that are not being provided through a WIA program are to be tracked on the Individual Service Strategy (ISS) as Partner Services in the Common Intake Case Management System.

2) Transferring Participants Between Titles and Programs

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Participants may be transferred from one WIA program to another program or co-enrolled into another WIA program. Such action may take place without a re-determination of eligibility, if the participant met the current eligibility requirements for such other programs at the time the individual was originally determined eligible for his/her first WIA program. However, if the subsequent program has an age limitation or additional eligibility requirements, the participant must meet the age limitation or additional requirements at the time of transfer into, or co-enrollment in that program.

3) Inter-Region Transfer

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Participants may be transferred from one WIA region to another WIA region with agreement of both regions. If a participant is being transferred from one region to another region within Iowa, a new application is not required. However, the region to which the participant is being transferred should obtain and keep on file:

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- A copy of the original enrollment; and
- Documentation of participation in the WIA program with the originating region.

The region that originally enrolled the individual may either have the participant co-enrolled or may exit the participant.

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Performance for the participant remains with the region that initially enrolled the participant.

4) Re-enrollment

Individuals who have exited from WIA may be subsequently re-enrolled for additional program services. Such re-enrollments must occur in accordance with the policies and procedures that

govern any enrollment, i.e. application, eligibility determination, selection, etc. Justification for re-enrollment of former participants must be provided in the Individual Service Strategy. If the participant successfully completed the initial enrollment, circumstances that support another enrollment must be identified. If the participant failed to complete the initial enrollment, the barriers that prevented the participant from achieving success during the previous enrollment must be addressed in the re-enrollment justification.

B. Orientation

Each participant must receive an orientation to WIA. The orientation must ensure that the participant is apprised of policies and procedures that apply to WIA enrollments. Included in such information are:

- Attendance;
- Payment;
- Exit or withdrawal policies, including 12 month post-program services requirements;
- Complaint procedures;
- Monitoring;
- Verification;
- Follow-up requirements; and
- An information release statement including any signed and completed information of release forms that are indicated at the time of orientation. The signed release must be completed and include effective dates. Signed releases may not contain effective dates longer than 12 months.

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Please see the Record Keeping and Maintenance section of this handbook for requirements of an orientation.

Orientation information should be reviewed verbally with the participant and must be provided to the participant in written form. It is required that the participant's receipt and review of the information be documented by the participant's signature on an acknowledgement form which is then retained in the participant record.

C. Objective Assessment

All youth participants must receive an Objective Assessment (OBA). The objective assessment process collects information upon which a participant's Individual Service Strategy (ISS) will be based. The results of the objective assessment must be shared verbally with the participant and must be used to develop the ISS. Objective assessment may be completed using a combination of structured interviews, paper and pencil tests, performance tests, work samples, behavioral observations, interest and/or attitude inventories, career guidance instruments, aptitude tests and basic skills tests. OBA is a process that generally requires more than one appointment with the participant and the service provider or partner conducting all or portions of the assessment.

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Portions of assessments conducted by other Workforce Development Center Partners or other human resource programs, such as PROMISE JOBS, may be used to collect information on the

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factors required for the objective assessment as described in this section. Such assessments must have been completed within one year prior to WIA enrollment. Any tests of reading, writing and computation skills must have been completed within six months prior to WIA enrollment, except for younger youth. Reading and math skills for younger youth should be measured as a part of the objective assessment.

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The OBA process is intended to provide information necessary for the youth to develop an Individual Service Strategy (ISS) with realistic goals. The results of OBA instruments and how the results were used to develop the ISS must be documented in the participant case file with copies of results and detailed in participant case notes.

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NOTE: *If goals are established for youth in basic skills, tests for determining grade level must be given within 30 days of the establishment of the goal. Individuals with disabilities that preclude testing who are obviously at or below the eighth grade level may be reported that way. Individuals who have a college degree or a two-year associate degree do not need to be tested. They may be reported as having a 12th grade reading and math level.*

Objective assessment must be a participant-centered, objective evaluation of the academic levels, skill levels and service needs of each participant. The objective assessment must include a review of basic skills, occupational skills, work readiness skills, prior work experience, employability, interests, aptitudes (including interests and aptitudes for nontraditional jobs), support service needs and developmental needs of participants. The assessment process must utilize generally accepted methodologies and instruments to collect information on each of the following factors for each participant:

- Family situation;
- Work history;
- Education;
- Basic literacy skills;
- Occupational skills;
- Work readiness skills;
- Interests and aptitudes;
- Attitude and motivation;
- Financial resources; and
- Basic subsistence needs.

As additional relevant information about a participant becomes available, the objective assessment should be reviewed and re-evaluated. The participant should be re-assessed as necessary to determine further service strategies.

When a participant is determined through the objective assessment to be better served by a program other than WIA, referral to the appropriate program must be made and documented. If there will be a continuing relationship with that participant through additional WIA services, the referral becomes part of the participant's service strategy and must be documented in the ISS. If

there will not be a continuing relationship with the individual as the result of a referral to another program, that referral must be documented in the participant case file.

D. Individual Service Strategy

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An Individual Service Strategy (ISS) must be prepared for each WIA youth participant who will receive services. The ISS is a comprehensive service plan, based on the results of the objective assessment, that describes the employability, academic, skill training (if applicable) and support service needs of the participant, as well as the service strategy developed to meet those needs and achieve the employability goal(s). As identified through the objective assessment, needs in the areas of pre-employment/work readiness skills, occupational skills, basic education skills, leadership development and support services must be identified in the ISS. The activities and services designed to meet these needs and achieve the employability goal, whether provided by WIA or through other sources, must also be described.

The ISS is the basic instrument to document the appropriateness of enrollment and training decisions and contains supporting documentation for activities and services. The ISS must be developed in accordance with the following process and must include basic elements as well as additional requirements for certain activities or participants.

1) Developing the Individual Service Strategy

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The ISS must be developed in partnership with the participant and appropriate partner agencies. The ISS shall reflect the employability, training and support service needs indicated by the objective assessment as well as the expressed interests and desires of the participant. The WIA Service Provider must ensure that decisions are participant-centered; that is, intended to enhance the employability of the participant. Participants must have an active role in the development of their ISS.

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The combination of services to the participant described in the ISS must be supported by the results of the objective assessment process. The ISS must describe all activities and services that will enable the participant to achieve employability goals, whether such services are provided through WIA or other non-WIA sources. If the participant's basic skills, work readiness skills, occupational training skills, leadership skills and support service needs cannot be completely provided by WIA, every reasonable effort must be made to arrange for these needs through other partner and community resources.

When determining the appropriate mix of activities and services for a participant, training may only be conducted for occupations for which there is a demand in the area served or in another area to which the participant is willing to relocate.

Participants must be informed of the broad range of coordinated youth services available. These include opportunities for assistance in both academic and occupational learning, developing leadership skills, preparing for further education, additional training and eventual employment. Strategies must be designed to insure equal opportunity in that a participant may not be excluded from training or career options based on age, sex, race or disability status. In addition, all participants must be provided information regarding non-traditional employment opportunities.

Since the ISS is an on-going process, it must be reviewed and updated **at least annually**, based on the needs of the participant. This review must include an evaluation of the participant's progress in meeting the goals and objectives of the ISS and the attainment of basic skills, occupational skills, work readiness skills, leadership skills and occupational skills training as well as the adequacy of the support services provided.

The participant must sign the ISS and any subsequent revisions. A copy of the initial ISS and any subsequent revisions must be given to the participant and another copy must be maintained in the participant case file.

2) Required Elements of the ISS

Certain elements are required in the Individual Service Strategy of each participant, while other elements are necessary based on the age of the youth and in other situations where the participant has specific needs or is entering training activities with additional requirements.

Please refer to the Record Keeping and Maintenance section of this handbook for documentation requirements of an ISS.

Each ISS must address four basic elements:

- Skill Attainment Goals or Career Goals;
- Training and Support Service Needs;
- Schedule of Activities and Services; and
- Achievement Objectives, including short-term goals and benchmarks that will lead to skill goal or career goal achievement.

a) Skill Attainment Goals and Career Goals

Skill Attainment Goals for Youth Under Age 19 -- For youth under age 19, skill attainment goals must be established. Goals may be set in one or more of three skill areas:

- Basic skills;
- Occupational skills; and
- Work readiness skills.

Each youth under age 19 must have at least one goal during each year and may have up to three goals reported for performance purposes each year. The goals do not need to be different types of goals. For example, there could be two basic skills goals and one occupational goal.

NOTE: *For the purposes of this requirement, a year is a one-year period beginning on the enrollment date or an anniversary of the enrollment date for the first goal(s) set on the initial ISS.*

At least one goal must be set within 30 days of the enrollment date and must be reported as set on the enrollment date. If the youth is basic skills deficient, a basic skills goal must be set and reported as set on the enrollment date.

Each skills goal established must be attainable within one year of the date established. The attainment or non-attainment of each goal must be reported by the anniversary date of the goal. It is not necessary to set only one-year or 12-month skills goal attainment dates. It is often appropriate to set short-term skills goals that will lead to long-term achievement goals.

NOTE: *For the purposes of this requirement, the goal anniversary date is the date one year after the date the goal was established.*

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Some basic skills goals may be tested and achieved after 90 days from the date the goal was established but in less than one year from that date. Testing for skills goal attainment should be done periodically throughout the time period set for skills goal achievement. If a skills goal is achieved in less than a year, another skills goal must be set. By testing for skills goals periodically (between 90 days and one year from the goal date) the participant has opportunities to achieve more than one skills goal in a program year.

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Once a goal is established, it can only be cancelled because external events preclude the goal from being attained. Examples of external events include pregnancy, illness, institutionalization or other events that prevent the individual from participating in planned services for at least 90 days. A goal may not be removed from performance calculations because the individual exits from services or cannot be located. The reason for cancellation of any goal must be approved by state staff and documented in the participant file.

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When a participant is unable to participate, resulting in a gap in services of 30 days or more, the anniversary date may be extended by the duration of the gap in services when approved by state staff.

Each goal and the attainment of the goal must be fully documented, including the date the goal was set and the date the goal was attained. Goal attainment must be based on an individual assessment using widely accepted and recognized measurement or assessment techniques.

Each goal must call for substantial improvement in the individual's skills. The attainment of any goal must be directly related to the WIA services provided. In order to take credit for any of the basic skills goals, the goal must be established and documented in the ISS at least 90 days prior to the attainment of the goal.

Basic Skills

Substantial improvement for basic skills is defined as an improvement of at least one grade level in one or more of the following areas: reading comprehension, math computation, writing, speaking, listening, problem-solving or reasoning. The achievement of the goal must be based on an individual assessment using widely accepted and recognized measurement/assessment techniques.

NOTE: *For individuals with a learning disability, the substantial improvement will be established based upon the individual's capabilities. The substantial improvement goal must be established after consultation with, and agreement of, appropriate staff of the local Area Education Agency (AEA) or district personnel. This consultation should include a review of the participant's Individual Education Plan (AEA-IEP). The goals set in the WIA ISS must coincide with the goals of the AEA-IEP. All WIA and partner services and activities should support the AEA-IEP goals as well as those in the ISS.*

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Occupational Skills

Substantial improvement for occupational skills is defined as learning and being able to demonstrate proficiency in the primary and secondary occupational skills for a specific occupation. Primary occupational skills encompass the proficiency to perform actual tasks and technical functions required for a specific occupational field at entry, intermediate, or advanced levels.

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Secondary occupational skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines. The employer, journeyman, instructor or supervisor must verify the achievement of proficiency.

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Occupational Skills goals may be defined by a course description or by local staff working in conjunction with an employer.

- When skills are to be learned on a job site, local staff may pull the skills from a resource such as DOL's O*NET database for a specific occupation and work with the employer to develop a plan that identifies which specific occupational skills a participant needs to achieve the skills goal. The occupational skills goal, the plan and progress reports must all be documented in the participant case file.
- When skills are to be learned in a classroom, local staff must work with the instructor to develop a plan that identifies the specific occupational skills a participant needs to achieve the skills goal(s) during a particular course. The occupational skills goal, the plan and progress reports must all be documented in the participant case file.

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Work Readiness Skills

Substantial improvement for work readiness skills is defined as demonstrating proficiency in all of the following areas:

- World of work awareness;
- Labor market knowledge;
- Occupational information;
- Values clarification and personal understanding;
- Career planning and decision-making;
- Job search techniques (resumes, interviews, applications, and follow-up letters);
- Daily living skills (i.e., using the phone, telling time, shopping, renting an apartment, opening and using a bank account and using public transportation);
- Positive work habits, attitudes and behavior (punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability and assuming the responsibilities involved in maintaining a job);
- Developing motivation and adaptability;
- Obtaining effective coping and problem-solving skills; and
- Acquiring an improved self-image.

At a minimum, the Youth Advisory Council must approve the criteria and competencies for attainment of substantial improvement in work readiness skills prior to the training being provided.

Additional Goals for Youth Under Age 19 (Younger Youth) -- Additional goals for youth under age 19 include the list below. In addition to setting one of the following goals, all younger youth must have at least one skills goal.

- Attainment of a high school diploma during enrollment;
- Attainment of a GED or high school equivalency diploma during enrollment;
- Entering postsecondary education by the end of the first quarter after exit;
- Entering advanced training by the end of the first quarter after exit;
- Entering the military by the end of the first quarter after exit;
- Entering a qualified apprenticeship by the end of the first quarter after exit; and
- Entering unsubsidized employment by the first quarter after exit.

In order to take credit for the attainment of **any** goal for youth under age 19, the goal must have been established and documented in the ISS. Since the intent of the youth legislation is to move away from one-time, short-term interventions and move to a systematic approach that offers youth a broad range of coordinated activities, all Individual Service Strategies for youth should be planned for a minimum of 90 calendar days or 120 contact hours in duration. With the exception of the attainment of a high school diploma, GED or high school equivalent, all goals must have been established and documented in the ISS at least 90 days prior to the attainment of the goal or 90 days prior to exit, as appropriate. Credit may not be taken for any goal entered after the goal achievement date.

Revised
Mar 2008

Presumptive need may only be utilized as a pre-training assessment method for work readiness skills if a participant has never worked. In the case of occupational skills, presumptive need may only be utilized if the participant has never worked or received occupational training for that job.

Career Goal (Older Youth Participants) – A career goal must be established with each older youth participant. This goal should identify a specific occupation or occupational cluster/career pathway. In order to take credit for the attainment of **any** goal for youth age 19 to 21, the goal must have been established and documented in the ISS. The career goal must be as specific as possible.

Revised
Mar 2008

In setting a career goal for older youth, it is particularly important to set achievement objectives that will lead to the achievement of the career goal. This process will reinforce progress and assist in the keeping the participant focused on the long-term career goal.

Revised
Mar 2008

Revised Mar 2008

Goals for Youth Age 19 to 21 (Older Youth) – All older youth must have a career goal. For youth age 19 to 21, in addition to a Career Goal, the following Additional Goals are appropriate:

- Entering unsubsidized employment;
- Entering unsubsidized employment and attainment of a state-recognized educational/occupational certificate or credential within one year of exit;
- Entering postsecondary education by the end of the first quarter after exit and attainment of a state-recognized educational/occupational certificate or credential by the end of the third quarter after exit; and
- Entering advanced training by the first quarter after exit and attainment of a state-recognized educational/occupational certificate or credential by the end of the third quarter after exit.

NOTE: *Applicable goals for youth participants are based on the participant's age at the time of enrollment.*

b) **Training and Support Service Needs (if applicable)**

This portion of the ISS must describe the participant's training needs and support service needs.

Training needs are to be identified in the areas of basic literacy skills, occupational skills and work readiness skills. These needs are identified by comparing the information obtained in the objective assessment process to the skills required by the participant's career, skill attainment and employment goals.

Support service needs of each participant, as determined through the objective assessment, must be identified.

The needs of the participant, whether in skill training or support services, must include all skill deficiencies and barriers which may prevent the participant from attaining the employability goal, regardless of whether those needs will be met through WIA or non-WIA resources.

c) **Schedule of Activities and Services**

All activities and services that are planned with the participant, in response to the needs identified, must be described. This schedule must include the training and support services provided through WIA resources and all non-WIA sources. A timeline that identifies the planned beginning and ending date of each activity and service, as well as the planned program completion date, must also be included.

NOTE: *Activities and services that are provided by partner agencies must be included in the ISS and must support the skills goals and career goals.*

To the extent feasible, available federal, State and regional resources must be coordinated to meet training, education-related and support service costs so that the participant can successfully complete the training program. Individuals enrolled in occupational skill training must use any grant assistance from other sources, such as Pell Grants, to pay for training costs so that WIA funds supplement other sources of training

Revised Mar 2008

grants. WIA funds may only be used to pay for support services that are not available through other programs providing such services.

Revised
Mar 2008

- d) **Achievement Objectives**, including short-term goals and benchmarks that will lead to skill goal or career goal achievement.

Revised
Mar 2008

Achievement objectives or benchmarks to measure progress toward the ultimate attainment of the employment goal must be included in the ISS, except for skill attainment goals established for younger youth. Such objectives should establish interim standards of success throughout the period of program participation. Examples of achievement objectives include completion of training activities, attainment of specified grade levels, completion of GED, elimination of employment barriers or other goals that are specific to the individual needs or barriers of a participant.

3) OJT Participants

In most cases, On-the-Job training is not an appropriate work experience activity for youth under age 18. However, Youth service providers may use this service strategy for eligible youth when it is appropriate based on the needs identified in the objective assessment.

The ISS must describe how the training length of the On-the-Job Training (OJT) was determined. This description must include a justification in each case where the length of training varies from the region-established base level for a specific occupation, as described in the Regional Customer Service Plan. Such variation may be based on individual participant circumstances (e.g., disability, related knowledge or experience).

For each OJT participant, the ISS must document why that activity is appropriate for that individual. Such documentation may include a description of how OJT can overcome a participant's substantial barrier to employment or that a participant already has work maturity and basic education skills and simply needs additional occupational training through an OJT to achieve unsubsidized employment. The selection of OJT as a service for a participant must not be based solely on the availability of a training site.

Revised
Mar 2008

OJT as an activity for youth may result in a credential for older youth, using the same process and criteria that is used for adults and dislocated workers.

4) Work Experience

Revised
Mar 2008

The duration of the work experience must be documented in the ISS, based on the need of the participant, in accordance with the policies in the Regional Customer Service Plan and in the WIA Handbook.

5) Employed Participants

For individuals who are employed, but not earning a self-sufficiency wage, and need retraining or need to have their skills upgraded, the ISS must indicate that the training will clearly qualify the participant to work at a specific occupation with a commensurate wage increase. The occupation must also require a different or greater skill level than the participant possesses prior to training. The training must relate to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy or other appropriate purposes identified in the Regional Customer Service Plan.

6) Re-enrollments

If the participant has previously been a WIA participant, the ISS must document the justification for re-enrollment.

7) Post-Program Services

Revised
Mar 2008

All youth participants are to receive post program services for **no less than** 12-months following exit. The ISS must indicate that those services would be appropriate with any additional justification provided in case notes in the participant case file. The development of post-program services requires active participation of the WIA participant and should be developed and entered on the ISS prior to exit. The process of working with the participant prior to exit to develop a post-program services plan is more likely to engage the participant in the plan than if services are offered at the time of, or after, exit. Post-program services are critical to assure ongoing success of the participant.

Revised
Mar 2008

E. Coordination of WIA Funds and Other Grant Assistance for IST

Federal law and policy require the coordination of training costs with funds available under other federal programs. The use of WIA funds for training services is limited to instances when there is insufficient grant assistance from other sources available to pay for those costs.

WIA staff should consider all available sources of funds, excluding loans, in determining an individual's overall need for WIA funds. The exact mix of funds should be determined based on the availability of funding for either training costs or support services, with the goal of ensuring that the costs of the training program are met and the necessary support services are available so training can be completed successfully.

Revised
July 2008

The financial needs determination process is not required for Youth enrolled in IST or any other training activity.

F. Participant Progress

Participant progress must be evaluated in relation to the goals and achievement objectives that were determined during the objective assessment process and documented in the ISS. The evaluation of participant progress generally consists of two parts:

- A performance evaluation from the training instructor or supervisor; and
- A staff review with the participant of the progress that has been made toward the goals and achievement objectives. The staff review must include direct contact with the participant, either in person or by telephone.

For youth enrolled as younger youth, the evaluation of participant progress must be conducted for each participant within the first thirty days of participation in a training activity and at least **monthly** thereafter.

For youth enrolled as older youth, the evaluation of participant progress must be conducted for each participant within the first 30 days of participation in an activity and at least every 90-days thereafter.

Revised
Mar 2008

Participant progress reviews must be documented in case notes in the participant file. Participant progress reports must be completed in accordance with the progress report elements in the Records Keeping and Maintenance section of the WIA Handbook. Any performance evaluations or test scores must also be part of the participant file. Refer to the Record Keeping and Maintenance section of this handbook for the required progress report elements.

Revised
Mar 2008

G. Required Common Measure Activities

The Department of Labor has implemented a new literacy and numeracy gains measure that impacts out-of-school youth who are basic skills deficient and who enrolled in WIA, effective July 1, 2006. Only those youth who are basic skills deficient at the date of participation are included in the literacy and numeracy gains measure. As of July 1, 2006, all out-of-school youth must be assessed for basic skills.

Revised
Mar 2008

1) Out-of-school Youth

Out-of-school is defined as:

- An eligible youth who is a school dropout, or who has received a secondary school diploma or its equivalent but is basic skills deficient, unemployed or underemployed.
- For literacy/numeracy, this term includes all youth except:
 - those who are attending any school and have not received a secondary school diploma or GED; or
 - those who are attending post-secondary school and are not basic skills deficient.

Revised
Mar 2008

2) Basic Skills Deficient

Basic skills deficient is defined as:

The individual computes or solves problems, reads, writes or speaks English at or below the eighth grade level or is unable to compute or solve problems, read, write or speak English at a level necessary to function on the job, in the individual's family or in society.

Revised
Mar 2008

3) National Reporting System (NRS)

To maintain consistency with the implementation of the common measures by the U.S. Department of Education, ETA adopted policies outlined in the National Reporting System (NRS). The NRS was developed by the U.S. Department of Education's Division of Adult Education and Literacy for implementation of an accountability system for federally funded adult education programs under WIA Title II.

Revised
Mar 2008

4) Educational Functioning Levels (EFL)

Unless a previous assessment was conducted within 6 months prior to participation, programs must assess participants at intake or within 30 days following the date of first youth program service to determine their educational functioning level.

Revised
Mar 2008

As outlined in the National Reporting System (NRS), there are two sets of educational functioning levels: six levels for Adult Basic Education (ABE) and six levels for English-as-a-Second Language (ESL) students. ABE levels roughly equate to two grade levels.

***See "REVISED Educational Functioning Level (EFL Descriptors Levels table in Appendix and Literacy/Numeracy Chart information on the educational functioning level descriptors at the end of this section or in Appendix).*

Each ABE and ESL level describes a set of skills and competencies that students entering at that level demonstrate in the areas of reading, writing, numeracy, speaking, listening, functional and workplace skills. These descriptors provide guidelines for placing participants in educational functioning levels based on performance on standardized tests. After a participant has completed an assessment, programs use these descriptors to determine the appropriate initial ABE or ESL level in which to place students.

If a participant is functioning at different levels in reading, writing, numeracy, speaking, listening, functional and workplace areas, the individual is placed in different AE and ESL levels across the functioning areas.

In the post-test assessment, if the participant demonstrates an increase to the next functioning level in any of the areas (reading, writing, numeracy, speaking, listening, functional and workplace areas), he or she has made an educational gain that will boost performance.

For example, an individual is placed in the Beginning Basic Education Level (the second ABE level) in math and the Low Intermediate Basic Education level (the third ABE level) in reading at pre-testing. The individual achieves an educational gain if he or she places in either the third ABE level in math or the fourth ABE level in reading at post-testing.

5) Assessment Tools

Revised
Mar 2008

In-school youth are excluded from the literacy and numeracy measure. Out-of-school youth must be assessed for basic skills as described below. If the youth is not deficient in basic skills, he or she is not included in the literacy and numeracy gains measure.

Pre-tests administered up to six months prior to participation may be used to establish the baseline for the literacy and numeracy gains measure. If a pre-test was not administered before the youth referred to the WIA youth program, the out-of-school youth must take a pre-test within 30 days following the date of WIA participation.

Post-tests must be administered within one year from the date of participation. For example, if a youth becomes a participant on July 1, 2006, the post-test result must be documented on or before June 30, 2007.

Revised
Mar 2008

Service providers are not required to use the same assessment tool throughout their jurisdictions. However, programs must conform to three principles in choosing an assessment tool:

- The same assessment tool must be administered to the participant for the pre-test and post-test.
- The assessment tool and its scores must crosswalk directly to the educational functioning levels (EFL) so that educational gains can be reported in terms of increase in one or more ABE or ESL levels.

- Tests must be administered in a standardized manner throughout the region.

Revised
Mar 2008

Note: At the end of this Section there is a chart showing assessment tools that have been cross-walked to the Educational Functioning Levels as part of the National Reporting System in the U.S. Department of Education.

6) Assessing Youth with Disabilities

Revised
Mar 2008

Reasonable accommodations (described in 29 CFR 37.4) must be provided, as appropriate, when assessing a youth with a disability. Accommodations for assessing youth with disabilities may include, but are not limited to, the following:

- **Presentation:** Changes to the methods of presentation of the test used as the assessment tool. For example, providing Braille versions of the test, an interpreter, large print, visual clues, repeating directions or reading aloud.
- **Response:** Changes to the methods of response to the test questions (e.g. test taker uses reference aids, calculator, tape recorder, word processing software, etc.).
- **Setting:** Changes to the methods of response to the test questions. For example, permitting the test to be taken at home, in small groups, separate rooms, or with special lighting.
- **Timing/Scheduling:** Changes to the timing/scheduling of the test, for example, permitting frequent breaks, extending the amount of time provided for completion of the test, or giving the test over several days.

Revised
Mar 2008

Most youth with disabilities can be assessed using tests that specifically cross-walk to educational functioning levels, using accommodations when needed.

Post-Program Process

A. Exit

Revised
Mar 2008

The date of exit is always the last date on which a WIA Title I or partner service, excluding post-program services, was actually received by an individual. A participant will be exited automatically in the CI/CM system upon the 90th day after the last WIA or partner service is received if no further WIA or partner services are scheduled.

Note: *Future services may only be used to extend the 90 day exit if the gap in service is due to a delay before the beginning of training, or if a health/medical condition or institutionalization prevents an individual from participating in services. WIA service providers must document any gap in service and the reason for the gap in service.*

Revised
Mar 2008

In the following participant circumstances only, the WIA worker can enter the appropriate exit code. These exit codes are found in Section 20, Outcomes:

- Institutionalized;

- Health/Medical or family care (for conditions expected to last beyond 90 days and documented by a physician);
- Deceased;
- Reservists called to active duty;
- Relocated to a mandated residential care program (for youth only); or
- Invalid or missing Social Security Number.

Revised
Mar 2008

In the following participant circumstances, the WIA worker can close all WIA activities and the participant will be exited automatically in 90 days unless the participant is receiving partner services:

- Upon final determination of ineligibility;
- Upon determination of fraud committed by the participant. Please see the Fraud section of this handbook for information concerning determination of fraud;
- Upon failure to furnish verification documentation within a reasonable amount of time; and
- For failure to comply with Section 3 of the Military Selective Service Act (i.e., submitting and registering for the draft as required).

Revised
Mar 2008

A participant's activities may also be ended for other reasons as established by the WIA Service Provider including the following:

- After a job offer or offer of referral to a "suitable self-sufficiency job" is made to and rejected by the participant, a participant's activities may be ended, regardless of how long the individual has been in the program. The WIA Service Provider is to define "suitable self-sufficiency job" based on the needs and resources of the individual;
- Upon recommendation of instructor, supervisor or WIA representative for disciplinary reasons or unsatisfactory progress;
- For health, family or transportation problems which prevent the continuation of scheduled activity; and
- If working for an employer, for any and all reasons that other regular (non-WIA) employees of the employer may be dismissed. In such cases, ending WIA activities is not mandatory or automatic. It is the responsibility of the WIA Service Provider to determine whether the participant's activities should be ended or continue to be served in another WIA activity.

Revised
Mar 2008

If a participant is determined to be ineligible at any time, the individual must be informed of the determination and given a reasonable time to respond. Upon final determination of ineligibility for a program, the participant's activities must be closed. This must occur the same day that the final determination of ineligibility is made. The reason for the ineligibility, the date of final determination of ineligibility and the date of discontinuation of services must be documented in the participant record.

Revised
Mar 2008

If at any time it is found that a participant has committed fraud to receive WIA assistance or has attempted to defraud the WIA program, the participant's activities must be immediately closed. All circumstances related to the fraudulent act or attempt to defraud, along with the last date of services, must be documented and maintained in the participant record. Please see the Fraud and Investigations section of this Handbook for procedures to be used for reporting fraudulent acts.

B. Post-Program Services

Post-program services must be provided for all youth for **not less than** 12 months after exit from the program. Post-program services may be provided beyond 12 months at the discretion of the RWIB. The types of services must be determined based on the needs of the youth.

The development of post-program services requires active participation of the WIA participant and should be developed and entered on the ISS prior to exit. The process of working with the participant prior to exit to develop a post-program services plan is more likely to engage the participant in the plan than if services are offered at the time of or after exit. Post-program services are critical to ensure ongoing success of the participant.

The first post-program service must be provided within the first 30 days of exit from the program. The first post program service must be at least a personal contact (in person or via telephone) with the participant. A second post-program service must occur within 90 days after exit, and quarterly thereafter for the next three quarters. The provision of post-program services must be documented in the participant file.

The purpose of post-program services is to identify any problems or needs that might preclude the participant from obtaining employability goals or remaining employed. Post-program services may include:

- Leadership development and support services;
- Regular contact with the youth's employer, including assistance in addressing work-related problems that arise;
- Assistance in securing better paying jobs, career development and further education;
- Work-related peer support groups;
- Adult mentoring; and
- Tracking the progress of youth in employment, postsecondary training or advanced training.

C. Follow-up

Follow-up is the collection of information on a participant's situation at a specified period after an individual has been exited from WIA services. Follow-up is tracked from the exit date and begins the first quarter after the exit quarter. For older youth, follow-up information is primarily obtained from UI Wage Records. However, supplemental sources may be used if individuals are not found in UI Wage Records, provided that the information is documented and verified. IWD will verify the accuracy of a sample of supplemental information through the monitoring process.

Several reporting items cannot be obtained through UI Wage Records and will need to be obtained through follow-up contacts. These items are:

- Employment Information, including occupation, training-related employment and non-traditional employment;
- Attainment of a recognized educational/occupational certificate/credential/diploma or degree and the date of attainment;

Revised Mar 2008

- Entry into postsecondary education or advanced training and the date of entry. Also, whether or not the individual is still in postsecondary education or advanced training in the third quarter after exit; and

Follow-up for younger youth will be primarily collected through personal contact during the provision of post-program services. The items to be collected include:

- Entry into post-secondary education, advanced training, military service, qualified apprenticeship, unsubsidized employment and the date of entry.
- Retention in postsecondary education, advanced training, military service, qualified apprenticeship or un-subsidized employment in the third quarter after exit.

ATTACHMENT E: EFL Crosswalk

New EFL	Old EFL	ABE	ESL	Basic Skills Deficient
1	1		Beginning ESL Literacy	Basic Skills Deficient
2			Low Beginning ESL Literacy	
3		Beginning ABE Literacy	High Beginning ESL Literacy	
4	2	Beginning Basic Education	Low Intermediate ESL	
5	3	Low Intermediate Basic Education	High Intermediate ESL	
6	4	High Intermediate Basic Education	Advanced ESL	
7	5	Low Adult Secondary Education	Exit ESL	Not Basic Skills Deficient
8	6	High Adult Secondary Education		

Re-employment Services and Profiling

On November 24, 1993, Public Law 103-152, "Unemployment Compensation Amendments of 1993," was enacted. This law amended the Social Security Act by requiring state agencies to establish and utilize a system for profiling unemployment insurance (UI) claimants to identify those who are likely to exhaust their unemployment compensation and need job search assistance to transition to new employment.

The objective of the worker profiling and re-employment services system is to assist impacted workers' return to productive employment in a manner that is efficient and cost-effective. Eligible workers will be those unemployment insurance claimants who have been issued a first payment, are permanently separated (i.e., not on recall and not in a union hiring hall) and are unlikely to return to their previous industry or occupation. Workers will be identified and notified of their selection for Worker Profiling and Re-employment Services Program (*WPRS, hereafter referred to as RES*) no later than the end of the fifth week from the date of their initial claim for benefits.

Revised
Mar 2008

Joint RES/WIA Eligibility

Revised
Mar 2008

The WIA Formula Dislocated Worker Program can serve workers selected for the RES program *if they meet the WIA dislocated worker program eligibility requirements*. The eligibility criteria for dislocated workers is found in Section 11 of this Handbook.

COOPERATIVE AGREEMENT

Revised
Mar 2008

A Cooperative Agreement for the delivery of the Worker Profiling and Re-employment Services Program (*RES*) must be developed in each Iowa Workforce Development region by the primary service provider agencies:

- Iowa Workforce Development Unemployment Insurance (UI) system; and
- The Workforce Investment Act (WIA) Dislocated Worker Program (DWP) service provider.

Revised
Mar 2008

The Cooperative Agreement is the basic policy document governing the operation of the RES program at the local level. The Cooperative Agreement may be incorporated into the region's Memorandum of Understanding (MOU).

Objectives of the Program

Revised
Mar 2008

In developing the Cooperative Agreement, planners must direct program resources and participant services to meet the purpose of RES and accomplish the established program objectives. The law requires that individuals selected to be "profiled" and referred to re-employment services must participate in the services as a condition of eligibility for unemployment compensation.

Section 303 (j) 1 of the amendment outlines the establishment of the worker profiling and re-employment system, as follows.

The state agency charged with the administration of the state law shall establish and utilize a system of profiling all new claimants for regular compensation that:

- 1) Identifies those claimants likely to exhaust regular compensation and to need re-employment services to make a successful transition to new employment;
- 2) Refers claimants to re-employment services available under any state or federal law;
- 3) Collects follow-up information relating to the services received by claimants and the re-employment outcomes for claimants subsequent to receiving services, and utilizes the information in making identifications; and
- 4) Meets other requirements as the Secretary of Labor determines appropriate.

These objectives are qualified in specific target goals for each region that are released annually by Iowa Workforce Development.

Elements of the Cooperative Agreement

Each of the following steps of the worker profiling process must be described in detail and contain the following elements:

1) Selection and Referral

- a) A description of the local referral agreement, including number of individuals to be selected and referred, resources available and scheduling arrangements;
- b) A description of the claimant notification process, including who will provide claimant notification and how claimant notification will be provided;
- c) An explanation of the referral process; and
- d) An explanation of when and under what circumstances participants will be referred to other service providers.

2) Orientation

- a) Who will schedule orientation;
- b) Who will conduct orientation;
- c) Where orientation will take place; and
- d) What information will be provided during orientation.

3) Testing and Assessment

- a) Who will schedule testing and assessment sessions;
- b) Who will conduct testing and assessment; and
- c) Where testing and assessment will be conducted.

4) Development of Service Plan

- a) Who will schedule service plan development;
- b) Who will conduct service plan development;
- c) Where the service plan will be developed; and
- d) What process will be used to ensure that participants complete their re-employment service plans.

5) Re-employment Services

- a) What re-employment services will be provided;
- b) Who will schedule these services;
- c) Who will provide these services;
- d) Where re-employment services will be provided;
- e) Identify the number of individuals targeted to enter a retraining program; and
- f) Identify the planned number of job leads that will be provided to each participant.

6) Termination or Completion of Service Plan

- a) Who will collect follow-up information; and
- b) Who will record employment outcomes.

7) The cooperative agreement must designate a profiling coordinator who will be responsible for ensuring the implementation of the cooperative agreement.

8) The cooperative agreement must stipulate the number of individuals that will be provided re-employment services. If this number is less than the targeted goal for the region, this portion of the cooperative agreement must include an explanation/justification for this reduced number. This section should also include the number of individuals projected for enrollment in a classroom retraining activity.

9) The cooperative agreement must designate an individual who will be responsible for compiling and submitting the Quarter Report. Reports are due 30 days following the end of the program quarter (October 30, January 30, April 30, July 30) and should be submitted to the attention of:

RES Program Coordinator
Iowa Workforce Development
150 Des Moines St.
Des Moines, IA 50309

Worker Adjustment and Retraining Notification Act and Rapid Response

On August 4, 1989, the Worker Adjustment and Retraining Notification Act (WARN) was enacted to establish mandatory advance notice requirements in certain cases of plant closings and mass layoffs. Section 134(a)(2)(A) of the Workforce Investment Act (WIA) requires that statewide rapid response early intervention assistance be provided to workers, the employer and the community to avert or minimize the economic disruption of a mass job dislocation event.

Revised
Mar 2008

The WARN and WIA legislation contain specific requirements for employers and the State Dislocated Worker Unit (SDWU) in the event of a **business** closing or mass layoff. Iowa Workforce Development (**IWD**) has been designated by the Governor as the State department to **administer** the provisions of WARN and WIA and to serve as the lead state agency for the coordination of services to workers and communities affected by business closings and mass layoffs.

Revised
Mar 2008

This section contains the policies and procedures that will be implemented by IWD in response to **business** closures and mass layoffs.

WARN Notice

The Worker Adjustment and Retraining Notification Act (WARN), Public Law 100-379, requires employers, with some exceptions, to give at least (60) days advance notice of a business closing or substantial layoff. For WARN compliance purposes:

Revised
Mar 2008

1) **Substantial layoff**: Substantial layoff is defined as any reduction-in-force which is not the result of a **business** closing and results in an employment loss at a single site of employment during any 30 day period for 500 or more workers, or for 50 to 499 workers (excluding employees regularly working less than 20 hours per week or workers who have worked less than six months in the last 12 months) if those workers make up at least 33 percent of the employer's active workforce at that site. An employer who falls within these guidelines is subject to the WARN legislation.

Revised
Mar 2008

2) **Business closing**: A covered employer must give notice if an employment site (of one or more facilities or operating units within an employment site) will be shut down and the shut down will result in employment loss for 50 or more employees during any 30 day period (excluding employees regularly working less than 20 hours per week). The term "employment loss" means:

- a) An employment termination other than a discharge for cause, voluntary quit or retirement;
- b) A layoff exceeding six months; or
- c) A reduction in an employee's hours of work of more than 50 percent in each month of any six-month period.

No specific format is required, but the WARN notice should include:

Revised
Mar 2008

- Name and address of the impacted **business**;
- Name and telephone number of a company official to contact;
- Name and telephone number of the collective bargaining unit(s), (if appropriate);
- Dates of planned separation;
- A statement indicating if this action is expected to be permanent or temporary;
- The expected date of the first separation and schedule for further separations; and
- The job titles of affected positions and the names of workers currently holding the jobs.

The WARN notice must be transmitted to affected workers and their collective bargaining representatives, to the appropriate unit of local government and to Iowa Workforce Development.

Revised
Mar 2008

Enforcement of the WARN legislation is through U.S. District Court. If a business is found to be in violation, the employer is liable to pay each employee an amount equal to the pay and benefits the worker would have received during the 60-day violation period. An employer is also subject to a civil penalty not to exceed \$500 for each day of violation.

For the complete WARN Act, see: http://www.dol.gov/dol/allcfr/ETA/Title_20/Part_639/toc.htm

Responding to the WARN Notice (Rapid Response)

Revised
Mar 2008

The advance notification is transmitted to the State Dislocated Worker Unit to enable appropriate State administrative personnel to initiate rapid response activities to assist workers impacted by the **business** closing or mass layoff. Closings or layoffs that do not meet the threshold for a WARN notice are expected to receive the same type of services through an expeditious response lead by the appropriate regional **Workforce Investment Act (WIA) service provider and their partner service providers**.

Revised
Mar 2008

On occasion, the State Dislocated Worker Unit or regional Dislocated Worker Unit becomes aware of an impending closing or layoff through the media or through other information which indicates a projected layoff or **business** closing that appears to be covered under the WARN legislation. In these instances **the State Dislocated Worker Unit shall be immediately informed** and will contact the affected company to inform management of the WARN requirements. If information indicates that the actions do not fall within the WARN legislation, the appropriate WIA **service provider and partners** will be contacted to initiate an expeditious local rapid response.

Revised
Mar 2008

A description of the State Dislocated Worker Unit response to a WARN notice or other reports of business closure or mass layoff follows:

Revised
Mar 2008

A. Communications:

Revised
Mar 2008

1. State Dislocated Worker Unit receives WARN notice or is informed of a mass layoff or business closure. Any information obtained at a local level regarding mass layoff or business closure shall be forwarded to the State Dislocated Worker Unit immediately.

Revised
Mar 2008

2. State staff communicate with the contact person as named in the WARN notice and explain Iowa Workforce Development (IWD) policy. If a WARN notice is not issued, State staff will contact the company in question. In either situation, the explanation to company officials is an outline of the procedures as follows in 3 and 4.
3. State staff provide a copy of the WARN notice to regional IWD Managers and WIA providers. If a WARN is not issued, all pertinent information is forwarded.
4. State staff contact the local WIA provider to coordinate the Rapid Response meeting. The purpose of this meeting is to share information regarding services to the workers.

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B. Rapid Response:

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- 1) The Rapid Response meeting includes company officials (both management and labor) and local service providers including, but not limited to:
 - Iowa Department of Human Services;
 - community action agencies;
 - community college staff [representing education];
 - Iowa Division of Vocational Rehabilitation Services;
 - Iowa State University Extension;
 - mental health agencies;
 - a workforce advisor from Iowa Workforce Development; and
 - Workforce Investment Act (WIA) service provider staff.

Others invited to this meeting may include:

- local politicians (i.e., county board of supervisors, mayors, etc.);
 - state representatives, state senators, aids from congressional representatives and senators;
 - representatives of the local Regional Workforce Investment Board (RWIB); and
 - State or local Economic Development agencies.
- 2) State Dislocated Worker Unit staff chair the meeting. To begin the meeting an overview of the process and a series of questions are presented. A round table format is used and all present are encouraged to contribute. The final agenda item is to schedule Employee Information Meetings so all the affected workers can make informed choices as they face dislocation.
 - 3) The Rapid Response meeting is usually held at company facilities and the inclusion of the media is, therefore, a company decision. The meeting(s) generally lasts less than 2 hours.

The tone of the meeting is based on sharing information. This approach reduces much of the stress felt by the employer and encourages active, open dialogue. Items addressed at this meeting include, but are not limited to:

- a) A discussion of the planned layoff schedule, positions impacted, skills and special needs of the impacted workers and whether the pending layoff is the result of foreign competition;
- b) Benefits offered to the impacted workers (company and/or union paid retraining, severance, early retirement, transfers, etc.);
- c) A description of the programs and services offered by the various agencies;

- d) Discussion of available funds to assist with transition and retraining services;
- e) Discussion of establishing a Worker Transition Committee;
- f) Discussion of a general plan of action for the impacted workers; and
- g) Setting the time and location for the Employee Information Meeting(s)

C. Employee Information Meetings:

The purpose of the Employee Information Meeting(s) is to:

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- 1) Provide information regarding the services and activities available through Iowa Workforce Development Center and its **partners**;
- 2) Describe resources available to assist workers in coping with the dislocation;
- 3) Obtain information from the impacted workers **with the intent of** developing an appropriate plan of action to assist workers through the transition process;
- 4) Promote and describe the process to form a Worker Transition Committee;
- 5) Identify the need for, and make arrangements for, any subsequent meetings.

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- a) **State Dislocated Worker Unit staff assist with scheduling Employee Information Meeting(s).**
- b) **All appropriate and relevant service providing agencies are invited to participate in the meetings and briefly explain their services.**
- c) **State Dislocated Worker Unit staff and local WIA staff formulate an appropriate worker survey.**
- d) **Employee Information Meetings are held. The local WIA provider is the lead agency for these meetings, although in certain instances the State Dislocated Worker Unit staff will facilitate these meetings. These meetings are scheduled at the workers' convenience. There are often several meetings held at various hours of the day and at least 1.5 hours should be allocated for each meeting. Worker surveys are distributed and a method of collection is determined.**
- e) **Worker surveys are analyzed.**

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Worker Transition Committee

In some situations, it is appropriate and desirable to establish a Worker Transition Committee (WTC) to assist with the transition of workers to new employment or training situations. The tasks of the Worker Transition Committee may include, but are not limited to:

- 1) Coordinating and participating in an information workshop for workers and their families;
- 2) Assisting with the completion of a worker survey and participating in the design of a service strategy based upon the survey's results;
- 3) Maintaining and updating a comprehensive list of all laid-off workers that indicates each person's status;
- 4) Enhancing job placement activities by utilizing the company's business and worker networks;

- 5) Providing workers with a listing of employment and training services and community resources;
- 6) Conducting a job fair;
- 7) Opening an Outplacement Center; and
- 8) Providing news releases and employee letters that describe current status of workers and service options.

The activities of the committee should be coordinated closely with local and state initiatives assisting the impacted employer and employees.

Composition of a Worker Transition Committee (WTC)

It is recommended that a Worker Transition Committee consist of three to five representatives, each from the workers and the company. Representatives from state agencies and service organizations should be involved with the committee, but serve only as ex-officio members.

The structure of the committee is to be determined by the selected members, with the election of co-chairs (one from labor and one from management) or the selection of a neutral person to chair the meetings and direct the agenda. Duties of the chair person(s) include:

- 1) Presiding over committee meetings, including establishing committee structure;
- 2) Representing the WTC at various community functions;
- 3) Ensuring required reports/minutes of meetings and financial reports of the committee are completed and accurate;
- 4) Ensuring that committee agenda includes only items that enhance the reemployment of the impacted workforce, and initiatives are coordinated with appropriate state and local entities; and
- 5) Preparing a detailed final report of the committee's activities.

Funding

Ordinarily, the cost of the Worker Transition Committee (WTC) is funded by the company and local contributions. At the discretion of the State Dislocated Worker Unit, if funds are available, the State may provide financial assistance to help with the establishment and operation of a WTC. The amount of the state financial assistance must be matched, at a minimum, on a dollar for dollar basis. To receive such funds, the WTC must develop an initial plan of activities, including a budget, and submit it to the State Dislocated Worker Unit. Any state funds made available to the WTC may only be used to cover the initial start-up and operating costs of the committee for a maximum of the first six months.

Allowable costs are limited to:

- 1) The wages, excluding overtime, of the representatives of the company and the workers for the time actually engaged in the business of the committee as certified by the chairperson(s);
- 2) Necessary disbursements for travel, office supplies, clerical support, preparing and printing reports and other similar expenses as approved by the committee;

- 3) The wages of the chairperson(s) of the committee if that individual is not serving as a volunteer;
- 4) Costs such as consulting or research fees, salaries and services expenses incurred for the benefit of the workers at the plant on behalf of and approved by the committee;
- 5) Other administrative costs **determined** appropriate by the committee and approved by the chair(s) for the benefit of the impacted workers and family members.

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Certification of Training Providers and Programs

The Regional Workforce Investment Boards, in partnership with Iowa Workforce Development, will identify and certify training providers whose performance qualifies them to receive Workforce Investment Act (WIA) funds to train Adults and Dislocated Workers. Training services are designed to equip individuals to enter the workforce and retain employment.

Background

The Workforce Investment Act of 1998 emphasizes informed customer choice, system performance and continuous improvement. To facilitate these outcomes, WIA provides for three levels of services to increase employment retention and participant earnings. They are:

- Core services;
- Intensive services; and
- Training services.

Anyone is eligible to receive core employment-related services. Intensive services are intended to identify obstacles to employment through a comprehensive assessment or an individual employment plan in order to determine specific needed services. After an individual has met the eligibility requirements for intensive services, participants in need of training services will make an informed decision by selecting a program and training provider from a list of eligible statewide training providers.

To make an informed decision, a participant will need, at minimum:

- 1) Access to high-quality labor-market information through the Iowa Workforce Development Center system; and
- 2) Guidance from qualified staff.

The training program selected must be directly linked to employment opportunities in the local region that are:

- In high demand; or
- Have a high potential for sustained demand; or
- Related to growth in the local area; or
- In another area in which the individual is willing to relocate.

The selection of a training provider is made in consultation with the individual's case manager. The role of staff will shift from decision-maker to coach.

Eligible Training Providers

Eligible training providers include:

- 1) Postsecondary educational institutions that are eligible to receive funds under Title IV of the Higher Education Act of 1965 and provide a program that leads to an associate degree, baccalaureate degree or certificate;
- 2) Entities that carry out programs under the "National Apprenticeship Act," and
- 3) Other public or private providers of a program of training services.

Training Programs

A training program is considered to be a course of study that, upon successful completion, leads to a certificate, an associate degree, baccalaureate degree or an employer-identified competency skill.

Certification Process

An application for each program must be submitted to the Regional Workforce Investment Board in the region in which the training provider desires its program to be certified. Each program of training services must be described, including appropriate performance and cost information.

Training providers determined to be eligible by Regional Workforce Investment Boards in partnership with Iowa Workforce Development **initially will remain eligible, unless determined to be ineligible by IWD or a Regional Workforce Investment Board. If a training provider has a legal name change without curriculum changes in program, recertification is not necessary. A change in curriculum, however, would initiate the certification process.**

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Responsibilities of the Regional Workforce Investment Boards

The Regional Workforce Investment Board will be responsible for:

- 1) Accepting applications from postsecondary educational institutions, entities providing apprenticeship programs, public and private providers for initial and subsequent eligibility. For initial eligibility, the Regional Workforce Investment Board may require additional information, including performance information.
- 2) Submitting the local list of eligible providers, including performance and cost information for each program, to Iowa Workforce Development.
- 3) Ensuring dissemination of the statewide list to participants in employment and training activities and others through the regional Workforce Development Center system.
- 4) Consulting with Iowa Workforce Development in cases where decertification of an eligible provider is contemplated because inaccurate information has been provided.

- 5) Notifying all known providers of training in their region regarding the process and timeline for accepting applications.

Responsibilities of Iowa Workforce Development

Iowa Workforce Development will be responsible for:

- 1) Establishing initial eligibility criteria, as well as setting minimum levels of performance for public and private providers;
- 2) Setting minimum levels of performance measures for all providers to remain subsequently eligible;
- 3) Developing and maintaining the statewide database of eligible training providers that is created from the training provider applications approved by the Regional Workforce Investment Boards;
- 4) Verifying the accuracy of the information on the state list;
- 5) Removing training providers who do not meet program performance levels;
- 6) Decertifying training providers who provide inaccurate information; and
- 7) Decertifying training providers who violate any provision of the Workforce Investment Act

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Initial Provider Eligibility

Upon completion of the application, initial eligibility will be granted to:

- Postsecondary educational institutions that are eligible to receive funds under Title IV of the Higher Education Act and provide a program that leads to an associate or baccalaureate degree, certificate or diploma; and
- Entities that carry out apprenticeship programs registered under the National Apprenticeship Act.

Other public and private providers of training services that currently provide a training program will be required to submit additional information to the Regional Workforce Investment Board in the region in which they desire to provide training services.

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Iowa Workforce Development will accept documentation from the appropriate certifying agency for post-secondary educational institutions that are eligible to receive funds under Title IV and National Apprenticeship Programs that do not provide a program of training services at the time of application. Other public and private providers of training services that currently do not provide a program of training services at the time of application must:

- Document the needs for the training based on specific employer needs in the region; and
- Develop a training curriculum with the agreement of local employers.

Once the program offered by a training provider is certified as eligible, the training provider will be included on a statewide list that will be available to customers seeking training services.

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To be eligible, an interested training provider must submit an application(s) to the Regional Workforce Investment Board. The application date will be established by each Regional Workforce Investment Board. Iowa Workforce Development has 30 days from the receipt of the regionally approved applications to review **and add to the list of eligible training providers**. If a training provider has been determined to be eligible and desires to continue program certification, it must submit performance information to the Regional Workforce Investment Board and meet performance levels annually in order to remain eligible.

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Each Regional Workforce Investment Board will maintain a **copy of the application** for all approved training providers **within their region**, including providers for On-the-Job and customized training in the region. The Regional Workforce Investment Board will submit all approved applications to Iowa Workforce Development after the applications are received **and approved** locally. Iowa Workforce Development will be responsible for maintaining the **statewide approved training provider database**. The list will be updated at least annually, or as needed, and will be made available to participants in employment and training activities and others through the Iowa Workforce Development Center system. The Regional Workforce Investment Board has the responsibility of notifying all known providers of training in their region regarding the process and timeline for accepting applications. Iowa Workforce Development may approve and certify training providers from other neighboring states, when requested.

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Application Process for Initial Eligibility

Postsecondary educational institutions that are eligible to receive funds under Title IV of the Higher Education Act, entities that carry out programs under the National Apprenticeship Act and other public or private providers of a program of training services will be required to complete and submit an application to the Regional Workforce Investment Board in each region.

The application requires identifying information on the training provider and enrollment periods, as well as the following information:

- 1) The name and description of the training program(s) to be offered.
- 2) The cost of each training program (tuition, books, supplies, including tools, uniforms, fees including laboratory, rentals, deposits and other miscellaneous charges to complete a certificate or degree program or an employer identified competency skill.

In addition to the above requirements, public or private providers of a program must provide the following information including:

- 3) Description of the facility;
- 4) Financial information;
- 5) Organization of the school;
- 6) Program information; and
- 7) Performance information.

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The performance information required for each training program must include:

- Program completion rate for all individuals participating in the applicable program conducted by the provider. Program completion is defined by the attainment of a certificate or diploma;
- Percentage of program completers who obtained unsubsidized employment;
- Percentage of program completers who obtained unsubsidized employment in an occupation related to their training. The training provider must specify how the information was obtained, what percentage of completer's data was collected and **what** year the data was collected. The training provider must use the most recent year for which complete data is available;
- Average wages of program completers in unsubsidized employment;
- Average wages of program completers in unsubsidized employment in an occupation related to their training; and
- Where applicable, the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skill of the graduates of the training program.

Required Information for Subsequent Eligibility

To remain eligible and determined subsequently eligible, a training provider must have their performance information reviewed by the Regional Workforce Investment Board. The training provider, on an annual basis, must submit the required performance information to the Regional Workforce Investment Board. If the training provider does not meet the established performance levels, Iowa Workforce Development may decertify the training provider and remove it from the list. The required performance information for subsequent eligibility includes the following information:

- Program completion rate for all individuals participating in the applicable program conducted by the provider. Program completion is defined by the obtainment of a certificate or diploma.
- Percentage of program completers who obtained unsubsidized employment
- Percentage of program completers who obtained unsubsidized employment in an occupation related to their training. The training provider must specify how the information was obtained, what percentage of completers data was collected and, what year the data was collected. The training provider needs to use the most recent year that complete data is available.
- Average wages of program completers who obtained unsubsidized employment.
- Average wages of program completers who obtained unsubsidized employment in an occupation related to their training.
- Where applicable, the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skill of the graduates of the training program.

- Percentage of WIA participants who obtained unsubsidized employment;
- Percentage of WIA participants who have completed the training program and who are placed in unsubsidized employment;
- Retention rates in unsubsidized employment of WIA participants who have completed the training program, six months after the first day of employment;
- Wages received by WIA participants who have completed the training program, six months after the first day of employment; and
- Average actual cost of training for WIA participants to complete the training program, including tuition, fees and books.

Iowa Workforce Development will publish, on an annual basis, guidelines on acceptable performance measures for training providers.

Decertification

Iowa Workforce Development, in consultation with the Regional Workforce Investment Board, determines whether to decertify a training provider. If the Regional Workforce Investment Board determines that the training provider does not meet the established performance levels, written recommendations will be provided to the Division Administrator, Workforce Development Center **Administration**. The Division Administrator, Workforce Development Center **Administration**, will make a determination whether the training provider is decertified and removed from the list.

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Regional Workforce Investment Boards and Iowa Workforce Development must take into consideration the following factors when determining subsequent eligibility:

- The specific economic, geographic and demographic factors in the region in which the training providers seeking eligibility are located; and
- Characteristics of the populations served by the training providers seeking eligibility including difficulties in serving such populations, where applicable.

If it is determined that an eligible provider, or an individual supplying information on behalf of the provider, intentionally supplies inaccurate information, Iowa Workforce Development will terminate the training provider for a minimum of two years. If either the Regional Workforce Investment Board or Iowa Workforce Development determines that an eligible provider substantially violates any requirement under the Workforce Investment Act, it may terminate eligibility to receive funds for the program involved or take other such action as determined to be appropriate. A provider whose eligibility is terminated under any of these conditions is liable to repay all WIA training funds it received during the period of noncompliance.

Appeal Process

If a training provider has been determined to be ineligible by failing to meet performance levels, intentionally supplying inaccurate information or violating any provision of the Workforce Investment Act, it has the right to appeal the denial of eligibility to Iowa Workforce Development. Procedures outlined in the Complaint Procedure Section provide an opportunity for a hearing and prescribed time limits to ensure prompt resolution of the appeal.

Section 18

Individual Training Accounts

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The Individual Training Account (ITA) is established on behalf of a participant by the service provider. It is the mechanism through which funds will be used to make payment only for Adults and Dislocated Workers for purchasing training services from eligible training providers. Payment for support services and related needs are not allowable under the Individual Training Accounts.

Adult and Dislocated Worker service providers must provide participants the opportunity to select an eligible training provider, maximizing participant choice, yet also **allowing** consultation from the participant's case manager. Unless the program has insufficient funds to cover the estimated cost of the program, the Adult or Dislocated Worker service provider must refer the individual to the selected training provider. Since funds allocated to a Regional Workforce Investment Region for training activities are limited, priority shall be given to recipients of public assistance and other low-income individuals.

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Payment Process

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Mar 2009

Payments from ITAs may be made using a variety of ways including credit vouchers, electronic transfer of funds through financial institutions, purchase orders, credit/debit cards or other appropriate methods. How funds will be transferred within a region, within the State and outside the State will be a local decision as described in the Regional **Customer Service Plan**. The actual implementation of the Individual Training Account will involve the Adult or Dislocated Worker service provider and the selected training provider. Payment amounts and duration of an Individual Training Account may be limited according to the needs identified in the individual's employment plan and specified in the local plan.

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Performance Management: - Title I Programs

The programs authorized in Title I of the Workforce Investment Act (the Adult Services, Youth Services and Dislocated Worker Services) are evaluated by measures established by the Act on a state and regional basis. In order for the state to qualify for incentive funds, it must meet performance standards set for these measures (WIA Title I), in conjunction with successful performance by programs funded under the Carl Perkins Act and the Workforce Investment Act Title II.

Regionally, performance by Title I programs will also be evaluated on the measures identified in this section. It is important that levels of performance for each measure are objective, quantifiable and measurable. Local factors impact workforce development. Standards for measurement for each region will be established through negotiation between Iowa Workforce Development, the Chief Elected Official board and each Regional Workforce Investment Board in the same manner that each region's Workforce Development Center system performance standards are negotiated.

Performance Outcome Measures

The overall mission of Iowa's Workforce Development Center System is to:

- 1) Increase the size of the skilled labor force; and
- 2) Increase earned income among Iowa citizens.

Each region's Workforce Development Center system will address its locally developed priorities in conjunction with the above goals. The role of the Title I service provider is established in each region's Memorandum of Understanding between One-Stop Partners and the Regional Workforce Investment Board with the agreement of the Chief Elected Official board. In addition to having the performance of the regional Workforce Development Center System evaluated as a whole, all Title I programs will be evaluated based on the following outcome measures:

A. Adult Program Outcome Measures

- 1) Entry into unsubsidized employment;
- ⇒ Retention in unsubsidized employment in the first, second and third quarters after the exit quarter;
- ⇒ Average earnings for participants received in unsubsidized employment in both the second and third quarters after the exit quarter; and

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- 4) Attainment of a recognized credential related to achievement of educational skills (such as a secondary school diploma or its recognized equivalent) or occupational skills by participants who enter unsubsidized employment.

B. Dislocated Worker Program Outcome Measures

- 1) Entry into unsubsidized employment;
- 2) Retention in unsubsidized employment six months after entry into employment;
- 3) Earnings received in unsubsidized employment six months after entry into employment; and
- 4) Attainment of a recognized credential related to achievement of educational skills (such as a secondary school diploma or its recognized equivalent) or occupational skills by participants who enter unsubsidized employment.

C. Youth Ages 19 to 21 Outcome Measures

- 1) Entry into unsubsidized employment;
- 2) Retention in unsubsidized employment after entry into employment;
- 3) Earnings received in unsubsidized employment; and
- 4) Attainment of a recognized credential related to achievement of educational skills (such as a secondary school diploma or its recognized equivalent) or occupational skills by participants who enter post-secondary education, advanced training or unsubsidized employment.

D. Youth Ages 14 to 18 Outcome Measures

- 1) Attainment of basic skills and, as appropriate, work readiness or occupational skills;
- 2) Attainment of secondary school diplomas and their recognized equivalents; and
- 3) Placement and retention in postsecondary education, advanced training, military service, employment or qualified apprenticeships.

E. Customer Satisfaction – Employers

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A minimum of 500 telephone surveys must be completed. A completed survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. Monthly, a list of names will be provided for the telephone survey. The sample provided will be sufficient to meet the required response rate so that the 500 completed surveys are representative of the whole program year.

- The Contractor will mail a notification letter to the individuals to be called at least two days prior to the first attempted call.
- At least five attempts, at different times of the day, will be made to contact the individuals in the sample.

- The response rate from the sample must be a minimum of 70%. The response rate is computed by dividing the number of completed surveys by the number included in the sample.
- The Employer Survey will be conducted by telephone. The proposed lead-in may be modified to suit the individual needs of the state and the names for program services recognizable for their population. The numbered questions must remain as stated.

The Script

I would like to ask you some questions about your recent experience with _____. Our purpose is to learn from you how to improve programs and services offered to employers. The Office of Management and Budget approved this survey to collect information on your experience with the services we provide to employers. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT’S PARTICIPATION IN THE INTERVIEW.]

[The Questions]

1. Utilizing a scale of 1 to 10 where “1” means “Very Dissatisfied” and “10” means “Very Satisfied”, what is your overall satisfaction with the services provided from _____?

Very Dissatisfied										Very Satisfied	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12	

2. Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? “1” now means “Falls Short of Your Expectations” and “10” means “Exceeds Your Expectations.”

Falls short of Expectations										Exceeds Expectations	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12	

3. Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? “1”: now means “Not very close to the Ideal” and “10” means “Very Close to the Ideal.”

Not Very Close to the Ideal										Very Close to the Ideal	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12	

¹DK = Don’t Know
² REF = Refused to Answer

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F. Customer Satisfaction – Participants

WIA Participant Universe: The potential respondent universe for the “WIA Participant” survey will include all of those individuals who are registered under Title I-B of the Workforce Investment Act and exit in any of the four quarters of the program year (January 1 to December 31). Only individuals who have received services under Title I-B and have exited can be potential respondents. Individuals are to be contacted within 60-days of their date of exit.

A minimum of 500 telephone surveys must be completed. A completed survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. Monthly, a list of names will be provided for the telephone survey. The sample provided will be sufficient to meet the required response rate so that the 500 completed surveys are representative of the whole program year.

- The Contractor will mail a notification letter to the individuals to be called at least two days prior to the first attempted call.
- At least five attempts, at different times of the day, will be made to contact the individuals in the sample.
- The response rate from the sample must be a minimum of 70%. The response rate is computed by dividing the number of completed surveys by the number included in the sample.
- The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of the interview. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) or service, the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

The Script

[Introductory Script]

My name is (interviewer) with (firm or Department) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of participant).

Are you the Ms./Mr. (name of participant) who received a (name of service(s)) from the on (date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NOT, END THE INTERVIEW AND THANK THE RESPONDENT FOR HIS OR HER TIME.]

I would like to ask you some questions about your recent experience with the services provided to you. Our purpose is to learn from you how to improve programs and services offered to people. The Office of Management and Budget approved this survey to collect information on your experience with the services we provide to individuals. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

[The Questions]

- Utilizing a scale of 1 to 10 where “1” means “Very Dissatisfied” and “10” means “Very Satisfied”, what is your overall satisfaction with the services provided from _____?

Very Dissatisfied										Very Satisfied	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12	

- Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? “1” now means “Falls Short of Your Expectations” and “10” means “Exceeds Your Expectations.”

Falls short of Expectations										Exceeds Expectations	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12	

- Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? “1”: now means “Not very close to the Ideal” and “10” means “Very Close to the Ideal.”

Not Very Close to the Ideal										Very Close to the Ideal	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12	

¹DK = Don't Know

²REF = Refused to Answer

Other Measures

- Entry by participants who have completed training services provided under Workforce Investment Act section 134(d)4 into unsubsidized employment related to the training received;
- Wages at entry into employment (including rate of replacement for such participants as dislocated workers);
- Cost of workforce investment activities relative to the effect of the activities on the performance of participants;
- Retention and earnings received in unsubsidized employment 12 months after entry into the employment; and
- Performance with respect to the indicators of performance specified in Workforce Investment Act subsection (b)(2)(A) of recipients of public assistance, out-of-school youth, veterans, individuals with disabilities, displaced homemakers and older individuals.

Negotiation of Regional Standards

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Title I standards will be negotiated between Iowa Workforce Development and the Regional Workforce Investment Board and Chief Elected Official board. Performance standards will be negotiated for each region between **January 1 and September 1 for two program years**. Iowa Workforce Development, the Regional Workforce Investment Board and Chief Elected Official Board will evaluate regional performance and the appropriateness of the negotiated standards. Formal negotiation will be conducted for two-year periods **after regional planning has been completed**.

Iowa Workforce Development will establish a minimum acceptable level of performance for each measure, based upon levels established through negotiation between the state and the Department of Labor and historical data. Negotiation will focus on the adjusted level of performance, which will serve as the regional objective. Performance of a program within a region below the minimum acceptable levels will be the basis for corrective action or sanctions. Performance above adjusted levels will be the basis for incentive awards.

Incentives

Exceptional performance in the region's Title I Program is recognized and rewarded through an incentive award system. The system described below applies only to the Incentive Award Funds available under Title I of the Workforce Investment Act (WIA). A region will not qualify for an incentive if it is subject to a sanction.

A. The Incentive Award System

A portion of the state level funds reserved from Title I programs will be set aside for providing incentive awards to regions that demonstrate superior performance and for the provision of technical assistance to all regions.

Incentive awards, which are granted during a program year, will be distributed based upon performance from the previous program year.

Actual distribution of the funds will occur after the end of each program year when final performance standards are calculated. At that time, performance will be compared against the region's adjusted levels to determine eligibility for, and the amount of, incentive awards.

Revised
Mar 2008

Performance measures that will be included for incentive/sanction determinations beginning in PY2008 are:

The WIA Adult and Dislocated Worker measures:

- **Entered Employment Rate**
- **Employment Retention Rate; and**
- **Average Six Months Earnings.**

The WIA Youth measures are:

- **Older Youth Entered Employment Rate;**
- **Older Youth Employment and Retention Rate;**

- Younger Youth Diploma or Equivalent Rate; and
- Younger Youth Retention Rate.

Revised
Mar 2008

The following policies will govern the award of incentive funds or application of sanctions for regions based upon their level of performance on the 10 WIA measures listed above.

1. Evaluating Performance for Incentives and Sanctions

For each performance measure, the percentage by which each Region met its negotiated standard will be calculated. For example, if a Region had an 80% negotiated performance standard for a specific measure and the actual achievement was 80%, they would have achieved 100% of their negotiated standard on that measure. Likewise, if the achievement on that measure was only 40%, they would have achieved 50% of their negotiated standard.

The percentage for the performance measures will be clustered by program area: adults, dislocated workers and youth. An average level of achievement will be calculated for each of the four clusters using the scores for each measure in each program area.

Revised
Mar 2008

2. Eligibility for Incentive Awards

In determining eligibility for incentive awards, only the 10 measures listed above will be considered.

To be eligible for an incentive award, a Region must meet two criteria: 1) for any program area, each measure within that group must be achieved at a minimum level of 90% of the negotiated standard and 2) the average of all measures within that group must be at least 100% of the negotiated standards.

3. Amount of Incentive Award

The amount of funds available for distribution for incentive awards will be 50% of the Statewide Activity Set-Aside funds and any carry-over incentive funds from the previous year (see below). The funds will be distributed as follows:

Adult Pool 25%;

Dislocated Worker Pool 25%;

Youth Pool 25%; and

Super Pool 25%.

Regions may qualify to receive incentive funds from any of the three basic pools: adult, dislocated worker and youth. The funds in each of these pools will be distributed equally among all regions that qualify for that pool. Regions will also qualify to share equally in the funds reserved in the Super Pool if they have achieved 90% of the negotiated standard on all performance measures and have a 100% overall average achievement on all measures.

Regions may not receive a total incentive award greater than 25% of their total WIA formula budget for the Program Year in which the award is made. Any incentive funds not awarded due to this restriction will carry-over to the incentive award pool in the following year.

Revised
Mar 2008

4. Failing to Meet the Negotiated Standards

Negotiated standards of performance have been established for each of the 10 performance measures identified above in each Region of the State. The lowest acceptable level of achievement is 80% of the established standard on each measure. If a Region falls below the threshold of 80% on any of the performance measures, the Region may be subject to sanction.

5. Unacceptable Performance for One Year

The first year that a Region achieves unacceptable levels of performance will result in the provision of technical assistance from IWD. This assistance may require the development of a performance improvement plan that contains the following elements:

- Designation of which performance indicators will be improved through the implementation of the plan;
- Analysis of the performance deficiency, including a description of the problem-solving techniques that will be used to determine the likely causes of the poor performance and/or identification of those causes;
- Identification of the corrective actions that the Region will take to improve performance; and
- A timetable for implementing the corrective action plan.

6. Unacceptable Performance in Two Consecutive Years

If performance is unacceptable for two consecutive years for the same performance measure, sanctions may be imposed. Possible sanctions include, but are not limited to, the following:

- Requiring the development and implementation of a corrective action plan;
- Prohibiting the use of eligible providers or partners identified as achieving a poor level of performance;
- Disapproving or requiring modifications to the Regional Customer Service Plan;
- Requiring the re-negotiation of the Memorandum of Understanding (MOU);
- Requiring the designation of an alternate Coordinating Service Provider (CSP);
- Requiring the designation of alternate Adult, Dislocated Worker or Youth Service Providers;
- Requiring the appointment and certification of a new Regional Workforce Investment Board (RWIB); and
- Re-designating the Region.

IWD will determine the appropriate sanction on a case-by-case basis, depending on the severity of the poor performance.

B. Data Requirements and Timeline for Incentive Awards

The determination of actual performance achievement on the 10 performance measures and any subsequent incentive awards will be based on data contained in the Integrated Customer Service system (ICS). All final program year data must be entered in the ICS and a final WIA Annual Status and a Monthly Progress report must be generated no later than August 15 following the end of the program year. The information in these reports will be used for incentive award determination. No updates to this data will be permitted unless authorized by Iowa Workforce Development.

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Mar 2008

The initial determination of incentive awards will be made no later than **October 15** following the end of the program year. By that time, the Chair of each Regional Workforce Investment Board will be notified of its initial performance and incentive award determination. The RWIB, or RWIB designee, will be allowed two weeks in which to respond to these initial determinations. The RWIB's response must be limited to the calculation of the awards. Changes to the data will not be permitted unless authorized by Iowa Workforce Development. A final determination and the awarding of incentive funds will occur no later than **November 15** following the end of the program year. Iowa Workforce Development reserves the authority to adjust the timelines for the awarding of incentive funds if circumstances warrant such an adjustment.

Technical Assistance

The other side of an incentive system is a process designed to facilitate a region's progress in achieving base standards of performance. If a region does not meet performance outcome requirements, IWD will provide technical assistance to the region to improve its performance. The following process will be used:

- A. Technical Assistance will be available to the Title I Service Providers, through Iowa Workforce Development staff and consultants. In situations where regional performance falls below the minimum acceptable level, consultants from IWD will assist the RWIB, or RWIB designee, with the development of a plan to improve performance.

Revised
Mar 2008

If regional Title I programs do not meet the minimum acceptable level of performance for two consecutive years, the RWIB **may be asked** to develop a Performance Improvement Plan. Technical assistance will also be available to the RWIB and CEO to adjust the Local Customer Service Plan to facilitate the success of the Region's performance improvement plan.

- B. The Performance Improvement plan must be reviewed and approved by the Chief Elected Official board prior to its submittal to Iowa Workforce Development.

Sanctions

If a region falls below the minimum acceptable levels of performance agreed upon for the region's average composite "percent achieved" score in any of the program areas for two consecutive years, the Governor, through Iowa Workforce Development, may take corrective action. The critical measures that determine a possible sanction are:

- Adult Program Average;
- Dislocated Worker Program Average; and
- Youth Program Average.

Revised
Mar 2008

The corrective action **may** include the development of a performance improvement plan and the possibility of a reorganization plan, under which the Governor:

- Requires the appointment and certification of a new Local Board;
- Prohibits the use of particular service providers that have been identified as achieving poor levels of performance;
- Requires the certification of a new Coordinating Service Provider;
- Requires the development of a new local plan; or
- Requires other appropriate measures designed to improve the performance of the local area.

An appeal to sanctions may be made by a local region following the process identified in the State Complaint Procedures Section of this handbook.

If a region is being sanctioned, it cannot qualify for an incentive award in the Title I category.

Reporting

Progress on objectives must be reported to IWD on a quarterly basis. Quarterly progress reports are due from each Regional Workforce Investment Board on:

- October 31
- January 31
- April 30

The Annual Progress Report for the Department of Labor is due from each region to the State on August 15 of each year. The incentives awarded, or technical assistance plan development, will be based upon information available in the final report.

Revised
Mar 2008

In addition, a narrative report will be required for presentation to the State Workforce Development Board.

Outcomes

Revised
Mar 2008

WIA performance for Adults, Dislocated Workers and Older Youth is based on an individual's status in the first through third quarters after the exit quarter, rather than the status at the time of exit.

Exiting Participants

Revised
Mar 2008

A participant who hasn't received a program or partner-funded service for 90 consecutive days and has no future services scheduled will be exited. This is often referred to as a "soft exit." The date of exit is always the last date on which a WIA Title I or partner service, excluding post-program services, was actually received by a participant.

Revised
Mar 2008

Regardless of the circumstances, services to a participant must be ended:

- Upon the 90th day after the last WIA service is received if no further WIA or partner services are scheduled;

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Mar 2008

NOTE: Future services may only be used to extend the 90-day exit rule if the gap in service is due to a delay before the beginning of training, a health/medical condition of participant/family member or a temporary move from the area prevents an individual from participating in services. Gaps in service should be less than 90 days (from date of last service) although a subsequent gap could be initiated as necessary. All gaps must be documented and are subject to audit.

- Upon final determination of ineligibility;
- Upon determination of fraud committed by the participant. Please see the Fraud section of this Handbook for information concerning determination of fraud;
- Upon failure to furnish verification documentation within a reasonable amount of time; and
- For failure to comply with Section 3 of the Military Selective Service Act (i.e., submitting and registering for the draft as required).

A participant may also be exited for other reasons as established by the WIA Service Provider including the following:

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Mar 2008

- After a job offer or offer of referral to a "suitable self-sufficiency job" is made to and rejected by the participant, a participant may be exited, regardless of how long the individual has been in the program. The WIA Service Provider is to define "suitable self-sufficiency job" based on the needs and resources of the individual;
- Upon recommendation of instructor, supervisor or WIA representative for disciplinary reasons or unsatisfactory progress;

- For health, family or transportation problems which prevent the continuation of scheduled activity; and
- **For reasons that other non-WIA employees** of the employer may be dismissed. In such cases, exiting from WIA services is not mandatory or automatic. It is the responsibility of the WIA Service Provider to determine whether the participant should be exited or continue to be served in another WIA activity.

Revised
Mar 2008

If a participant is determined to be ineligible at any time, the individual must be informed of the determination and given a reasonable time to respond. Upon final determination of ineligibility for a program, the participant must be exited from that program. **Services must end** the same day that the final determination of ineligibility is made. The reason for the ineligibility, the date of final determination of ineligibility, and the date **the services end** must be documented in the participant record.

Revised
Mar 2008

If at any time it is found that a participant has committed fraud to receive WIA assistance or has attempted to defraud the WIA program, **the services** must be immediately **ended**. All circumstances related to the fraudulent act or attempt to defraud, along with the exit date, must be documented and maintained in the participant record. Please see the Fraud and Investigations section of this Handbook for procedures to be used for reporting fraudulent acts.

Revised
Mar 2008

Exit Codes

Revised
Mar 2008

The following is a list of **circumstances where a participant can be exited immediately and excluded from performance measures**.

If one of the following six conditions exists either at exit or during the subsequent three (3) quarter measurement periods, the participant will be excluded from WIA performance measures.

Exits that are Excluded from Common Measures

1. Institutionalized (IN)

The participant is residing in an institution or facility providing 24-hour support, such as a prison or hospital and is expected to remain in that institution for at least 90 days. **This reason does not apply to individuals with disabilities (as defined in 29 CFR 37.4) residing in institutions, nursing homes or other residential environments, individuals participating in the Responsible Reintegration of Youthful Offenders program and individuals participating in the Prisoner Reentry Initiative.**

Written documentation such as a court decree, letter from an appropriate penal or law official, or other written document is required to support the use of this exit reason. A copy of the document must be maintained in the participant file.

2. Health, Medical or Family Care (OH)

The participant is receiving medical treatment **or providing care for a family member with a health or medical condition** that precludes entry into unsubsidized employment or continued participation in the program. **This does not include temporary conditions or situations expected to last for less than 90 days.** Written documentation from a doctor or other appropriate medical official is required to support the use of this exit reason. A copy of the written document must be maintained in the participant file.

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3. Deceased (OD)

Written documentation such as an obituary, funeral announcement, death certificate or other written document is required to substantiate the use of this exit reason. A copy of the documentation must be maintained in the participant file.

4. Reservists called to active duty (includes National Guard)

The participant is a member of the National Guard or a military Reserve unit and is called to active duty for at least 90 days. Written documentation is required to substantiate the use of this exit reason. A copy of the documentation must be maintained in the participant file.

5. Relocated to a residential or non-residential program (applies to youth only)

For youth participants only, the participant is in the foster care system or another mandated (residential or nonresidential) program and has moved from the area as part of such a program. This does not include relocation to a Job Corps center. Written documentation is required to substantiate the use of this exit reason. A copy of the documentation must be maintained in the participant file.

6. Invalid or missing SSN

Because the measures require grantees to match personally identifiable client records with wage and other administrative data in order to obtain outcome information, grantees may exclude from all the measures those participants who do not voluntarily disclose a valid social security number.

If exit occurs due to one of the above circumstances, the participant is excluded from all performance measure outcomes, both positive and negative.

Follow-up Information

Revised
Mar 2008

If available, UI Wage Records must be used for the calculation of many of the WIA performance measures. While the majority of employment is “covered” by UI Wage Records, certain types of employers and employees are not covered under state UI laws. **Non-covered** employment typically includes federal civilian employment, the postal service, military, railroad, self-employment and employment where earnings are primarily based on commission.

If UI wage records are not available for an individual, supplemental sources may be used for the performance measures relating to employment. In addition, information for some measures is not available from UI Wage Records and must be obtained from supplemental sources. Therefore, post-program outcome (follow-up) information must be obtained from exited participants for at least three calendar quarters after the exit quarter to provide the supplemental data.

Revised
Mar 2008

The Federal Employee Data Exchange System (FEDES) provides a convenient way for participating states to receive federal employment and earnings data for authorized use. Iowa has negotiated an agreement and is participating in FEDES to secure employment and earnings information on federal civilian employment, the postal service and active-duty military employment.

Required Post-Program Outcome (Follow-up) Information

The following is the information that must be obtained for individuals exited from the various WIA programs.

A. Adults

- 1) Employment in first quarter after **the** exit quarter:
 - a) Employment at any time during the quarter; and
 - b) Type of documentation.

An individual is considered to be employed if, in the first full calendar quarter after exit, he or she did any work at all as a paid employee (i.e., received at least some earnings), worked in their own business, profession or worked on their own farm.

All supplemental data should be documented and is subject to audit. A telephone or personal response from the participant should be accompanied by a written document such as a W2 form, pay stub, 1099 form or other written documentation. Telephone verification of employment with employers is acceptable, but should also be accompanied by written documentation such as a letter from the employer. For self-employed individuals, telephone verification with major clients or contracting entities is acceptable, but should also be documented. A copy of the documentation should be maintained in the participant's file.

- 2) If not reported at the time of exit, the following additional information is required:
 - a) Name of business;
 - b) Occupation title and occupational code;
 - c) Date employment began;
 - d) Hourly wage of job;
 - e) Training-related employment; and
 - f) Non-traditional employment.

Revised
Mar 2008

- 3) Employment in **second and** third quarter after exit
Same **criteria** as the first quarter after exit.

Revised
Mar 2008

- 4) Attained a recognized educational or occupational certificate, credential, diploma, or degree by the end of the third quarter after exit:
 - a. Type of credential/**certificate**;
 - b. Date credential/**certificate** received; and
 - c. Type of documentation.

A telephone or personal response from the participant must be accompanied by a document such as a certificate, degree, school transcript or other written documentation. A telephone response from the institution or entity that an individual has attained a credential or certificate must also be accompanied by written documentation, such as a letter from the training institution. A copy of the documentation must be maintained in the participant's file. **Credentials and certificates are defined in Section 2, Definitions.**

Revised
Mar 2008

B. Dislocated Workers

- 1) Employment in first quarter after exit quarter:
 - a) Employment at any time during the quarter; and
 - b) Type of documentation.

An individual is considered to be employed if, in the first full calendar quarter after exit, he or she did any work as a paid employee (i.e., received at least some earnings), worked in their own business, profession or worked on their own farm.

All supplemental data should be documented and is subject to audit. A telephone or personal response from the participant should be accompanied by a written document such as a W2 form, pay stub, 1099 form or other written documentation. Telephone verification of employment with employers is acceptable, but should also be accompanied by written documentation, such as a letter from the employer. For self-employed individuals, telephone verification with major clients or contracting entities is acceptable, but should also be documented. A copy of the documentation should be maintained in the participant's file.

- 2) If not reported at the time of exit, the following additional information is required:
 - a) Name of business;
 - b) Occupation title and occupational code;
 - c) Date employment began;
 - d) Hourly wage of job;
 - e) Training-related employment; and
 - f) Non-traditional employment.

Revised
Mar 2008

- 3) Employment in **second and** third quarters after exit:
Same **criteria** as the first quarter after exit.

Revised
Mar 2008

- 4) Attained a recognized educational or occupational certificate, credential, diploma or degree by the end of the third quarter after exit:
 - a. Type of credential/**certificate**;
 - b. Date credential/**certificate** received; and
 - c. Type of documentation.

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Mar 2008

A telephone or personal response from the participant must be accompanied by a document such as a certificate, degree, school transcript or other written documentation. A telephone response from the institution or entity that an individual has attained a credential or certificate must also be accompanied by written documentation, such as a letter from the training institution. A copy of the documentation must be maintained in the participant's file.

C. Older Youth (19 - 21)

- 1) Entered post-secondary education or advanced training by the end of the first quarter after exit:
 - a) Date entered training; and

An individual must have actually begun to attend classes to be considered to have entered post-secondary education or advanced training.
 - b) Type of documentation.

A telephone or personal response from the individual or training institution must be accompanied by written documentation, such as a transcript, copy of grades, letter from the training institution or entity, or other written documentation. A copy of the documentation must be maintained in the participant's file.

- 2) In post-secondary education or advanced training in the third quarter after exit:

An individual must have actually attended classes to be considered to be in post-secondary education or advanced training; and

Documentation requirements are the same as above.

- 3) Employment in first quarter after exit quarter
 - a) Employment at any time during the quarter; and
 - b) Type of documentation.

An individual is considered to be employed if, in the first full calendar quarter after exit, he or she did any work as a paid employee (i.e., received at least some earnings), worked in their own business, profession or worked on their own farm.

All supplemental data should be documented and is subject to audit. A telephone or personal response from the participant should be accompanied by a written document such as a W2 form, pay stub, 1099 form or other written documentation. Telephone verification of employment with employers is acceptable but should also be accompanied by written documentation, such as a letter from the employer. For self-employed individuals, telephone verification with major clients or contracting entities is acceptable but should also be documented. A copy of the documentation should be maintained in the participant's file.

- 4) If not reported at the time of exit, the following additional information is required:
 - a) Name of business;
 - b) Occupation title and occupational code;
 - c) Date employment began;
 - d) Hourly wage of job;
 - e) Training-related employment; and
 - f) Non-traditional employment.

- 5) Employment in third quarter after exit:

Same **criteria** as the first quarter after exit.

Revised
Mar 2008

- 6) Attained a recognized educational or occupational certificate, credential, diploma or degree by the end of the third quarter after exit
- a. Type of credential/certificate;
 - b. Date credential/certificate received; and
 - c. Type of documentation.

A telephone or personal response from the participant must be accompanied by a document such as a certificate, degree, school transcript or other written documentation. A telephone response from the institution or entity that an individual has attained a credential or certificate must also be accompanied by written documentation, such as a letter from the training institution. A copy of the documentation must be maintained in the participant's file.

D. Younger Youth (14 - 18)

- 1) Attained a secondary school (high school) diploma, GED, or high school equivalency diploma by the end of the first quarter after exit:
- a) Type of certificate – do not count certificates of completion;
 - b) Date of attainment; and
 - c) Type of documentation.

A telephone or personal response from the participant must be accompanied by a document such as a certificate, degree, school transcript or other written documentation. A telephone response from the certification institution or entity that an individual has attained a credential must also be accompanied by written documentation, such as a letter from the training institution. A copy of the documentation must be maintained in the participant's file.

- 2) Remained in secondary school after exit.

- 3) Entered by the end of the first quarter after exit:

- a) Postsecondary education;
 - Date entered postsecondary education -
The date the youth actually started to attend classes.
 - Type of documentation -
A telephone or personal response from the individual or training institution must be accompanied by written documentation, such as a transcript, copy of grades, letter from the training institution or entity or other written documentation. A copy of the documentation must be maintained in the participant's file.
- b) Advanced training;
 - Date entered advanced training -
The youth actually started to attend classes.
 - Type of documentation -
Documentation requirements are the same as above.

- c) Military service;
 - Date entered military service -
The date the youth reported for active duty.
 - Type of documentation -
A telephone or personal response from the individual or military personnel must be accompanied by written documentation such as a letter from the appropriate military branch, military orders or other written documentation. A copy of the documentation must be maintained in the participant's file.
- d) Qualified apprenticeship; or
 - Date entered apprenticeship -
The date the youth entered a program approved and recorded by the ETA/Bureau of Apprenticeship and Training.
 - Type of documentation -
A telephone or personal response from the participant or apprenticeship official must be accompanied by written documentation, such as a certified registration or other written documentation.
- e) Unsubsidized employment:
 - Employment at any time after exit through the end of the first quarter after exit;
and
 - Type of documentation -
An individual is considered to be employed if, in the calendar quarter after exit, he or she did any work as a paid employee (i.e. received at least some earnings), worked in their own business, profession or worked on their own farm. Also include entry into the Peace Corps, VISTA and other National Service programs funded by the Federal Corporation for National and Community Service under the National and Community Service Trust Act of 1993, such as the AmeriCorps and the National Civilian Community Corps programs.

All supplemental data should be documented and is subject to audit. A telephone or personal response from the participant should be accompanied by a written document such as a W2 form, pay stub, 1099 form or other written documentation. Telephone verification of employment with employers is acceptable, but should also be accompanied by written documentation, such as a letter from the employer. For self-employed individuals, telephone verification with major clients or contracting entities is acceptable, but should also be documented. A copy of the documentation should be maintained in the participant's file.

- 4) Active in at any time during the third quarter after exit:
 - a) Postsecondary education;
 - b) Advanced training;
 - c) Military service;
 - d) Qualified apprenticeship; or
 - e) Unsubsidized employment.

The documentation requirements are the same as for the first quarter after exit.

Performance Measures

Under WIA, there are four Adult performance measures, four Dislocated Worker performance measures, four Older Youth performance measures, three Younger Youth performance measures and two Customer Satisfaction performance measures (one for participants and one for employers). The following is description of the performance measures, operational parameters for the calculation of performance for each measure, definitions related to the measures and the Department of Labor's (DOL's) rationale for each performance measure.

A. Adult Measures

Measure #1: Adult Entered Employment Rate

*Of those who are not employed at **the date of participation**:*

Revised
Mar 2008

The number of adult **participants** who are **employed in the first quarter after the exit quarter**, **divided** by the number of adult **participants** who exit during the quarter.

Operational Parameters:

Revised
Mar 2008

- Individuals who are employed at the **date of participation** are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).

Revised
Mar 2008

- Individuals who, although employed, have either received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or are transitioning service members are considered NOT employed and are included in the measure.

- Employment at participation is based on information collected from the individual, not from wage records.

Rationale:

This measure provides an assessment of program impact in increasing employment for those who were unemployed. ETA recognizes concerns that have been raised concerning the exclusion of individuals who are employed at the date of participation from this measure. However, including individuals with jobs at program entry is not fully consistent with the concept of an entered employment indicator. The positive impact of services provided to incumbent workers and the underemployed can be demonstrated in both the retention and earnings measures.

Measure #2: Adult Employment Retention Rate

Revised
Mar 2008

*Of those who are employed in the first quarter after **the exit quarter**:*

The number of **adult participants** who are employed in **both the second and third quarters** after **the exit quarter**, divided by the number of **adult participants** who exit during the quarter.

Operational Parameters:

- This measure includes only those who are employed in the first quarter after the exit quarter (regardless of their employment status at participation).

Revised
Mar 2008

- Individuals who are not found to be employed in the first quarter after the exit quarter are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- Employment in the **first, second and third quarters**, after the exit quarter, does not have to be with the same employer.

Rationale:

Revised
Mar 2008

By defining a positive outcome as employment in the first, second and third quarters after the quarter of exit, the measure approximates retention for at least six months following participation in the program. However, a positive outcome on the retention measure does not necessarily indicate continuous employment with the same employer.

Measure # 3: Adult Average Earnings

Revised
Mar 2008

*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.

Operational Parameters:

Revised
Mar 2008

- To ensure comparability of this measure on a national level, wage records will be the only data source for this measure. **Acceptable wage record sources are a state's Unemployment Insurance wage records, federal employment wage records, military employment wage records and other administrative wage records.**
- Individuals whose employment in either the first, second, or third quarters after the exit quarter was determined solely from supplementary sources, and not from wage records, are excluded from the measure.

Rationale:

Revised
Mar 2008

ETA implemented a new methodology for calculating the average earnings measure for beginning in Program Year (PY) 2006. A number of states have expressed concern about the existing methodology for the earnings measure as previously defined, citing it as a disincentive to serving people with previous work experience, especially those with higher wages. The earlier definition focused on a comparison of pre-program and post-program earnings; the outcomes reflected more of the previous earnings history of the people served rather than the program's intervention. This limited its usefulness as a measure of a program's performance.

The revised adult earnings measure looks at wages over six months of those exiters who are working in the first, second and third quarters after exit. ETA believes this earnings measure is more straightforward than the previous approach, and the results will be easier to understand and explain to stakeholders than measures that compare the percentages or rates of pre-program and post-program earnings or changes in post-program earnings. By excluding the pre-program measurement point, agencies can develop more realistic and meaningful targets for the earnings measure, since programs do not have control over the pre-program earnings of the individuals they serve.

ETA will continue to collect the pre-program earnings, as well as other information on participants, and supplement this measure with data on earnings increase when describing program outcomes.

Revised
Mar 2008

Measure #4: Adult Employment and Credential/Certificate Rate

Of those adults who received training services:

The number of adult participants who were employed in the first quarter after exit and received a credential/certificate by the end of the third quarter after exit, divided by the number of adult participants who exited services during the quarter.

Operational Parameters:

- The use of the definition of “certificate” is applicable for participants who began receiving services on or after July 1, 2006. Adult participants who received services prior to July 1, 2006 are covered under the previous requirements defined as credentials.
- The numerator of this measure includes those who were employed in the first quarter after exit, regardless of whether they were employed at enrollment.
- Credentials/Certificates can be obtained while a person is still participating in services and up to three-quarters following exit.

Rationale:

This measure is limited to individuals who are in training because that is the only set of services that lead to attainment of a credential/certificate. To promote program integration and partner collaboration, this measure recognizes joint participation in WIA services and non-WIA funded training programs. While there will be variation in the ability of local providers or state agencies to track participants who are enrolled in non-WIA funded training services, recognizing participation in these partner programs is considered a significant and necessary step toward building integrated workforce systems. Through this measure, WIA is able to obtain credit for non-WIA funded training, in addition to WIA-funded training.

This measure includes all individuals who received training regardless of whether they had jobs at participation. It recognizes not only individuals who enter employment, but also incumbent workers and students who have jobs or are placed in jobs, but continue receiving training services to attain more skills and better jobs. A timeframe of three quarters after exit to obtain a credential/certificate is proposed to allow time for individuals to take tests, which may occur after training is completed and may only be offered once a year.

B. Dislocated Worker Measures

Measure #5: Dislocated Worker Entered Employment Rate

Revised
Mar 2008

Of those who are not employed at the date of participation:

The number of dislocated worker participants who are employed in the first quarter after the exit quarter, divided by the number of dislocated worker participants who exit during the quarter.

Operational Parameters:

Revised
Mar 2008

- Individuals who are employed at the date of participation are excluded from this measure (i.e. programs will not be held accountable for these individuals under this measure).

Revised
Mar 2008

- Individuals who, although employed, have either received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or are transitioning service members who are considered NOT employed and are included in the measure.
- Employment at participation is based on information collected from the individual, not from wage records.

Rationale:

Revised
Mar 2008

This measure provides an assessment of program impact in increasing employment for those who were unemployed. ETA recognizes concerns that have been raised concerning the exclusion of individuals who are employed at the date of participation from this measure. However, including individuals with jobs at program entry is not fully consistent with the concept of an entered employment indicator. The positive impact of services provided to incumbent workers and the underemployed can be demonstrated in both the retention and earnings measures.

Revised
Mar 2008

Measure #6: Dislocated Worker Employment Retention Rate at Six Months

Of those who are employed in the first quarter after the exit quarter:

The number of dislocated worker participants who are employed in both the second and third quarters after the exit quarter, divided by the number of dislocated worker participants who exit during the quarter.

Operational Parameters:

- This measure includes only those who are employed in the first quarter after the exit quarter (regardless of their employment status at participation).
- Individuals who are not found to be employed in the first quarter after the exit quarter are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- Employment in the first, second and third quarters, after the exit quarter, does not have to be with the same employer.

Rationale:

By defining a positive outcome as employment in the first, second and third quarters after the quarter of exit, the measure approximates retention for at least six months following participation in the program. However, a positive outcome on the retention measure does not necessarily indicate continuous employment with the same employer.

Measure #7: Dislocated Worker Average Earnings

Revised
Mar 2008

Of those who are employed in the first, second and third quarters 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 dislocated worker participants who exit during the quarter.

Revised
Mar 2008

Operational Parameters:

- To ensure comparability of this measure on a national level, wage records will be the only data source for this measure. Acceptable wage record sources are a state's Unemployment Insurance wage records, federal employment wage records, military employment wage records and other administrative wage records.
- Individuals whose employment in either the first, second or third quarters after the exit quarter was determined solely from supplementary sources, and not from wage records, are excluded from the measure.

Revised
Mar 2008

Rationale:

ETA implemented a new methodology for calculating the average earnings measure beginning in Program Year (PY) 2006. A number of states have expressed concern about the existing methodology for the earnings measure as previously defined, citing it as a disincentive to serving people with previous work experience, especially those with higher wages. The earlier definition focused on a comparison of pre-program and post-program earnings; the outcomes reflected more of the previous earnings history of the people served rather than the program's intervention. This limited its usefulness as a measure of a program's performance.

The revised dislocated worker earnings measure looks at wages over six months of those exiters who are working in the first, second and third quarters after exit. ETA believes this earnings measure is more straightforward than the previous approach, and the results will be easier to understand and explain to stakeholders than measures that compare the percentages or rates of pre-program and post-program earnings or changes in post-program earnings. By excluding the pre-program measurement point, agencies can develop more realistic and meaningful targets for the earnings measure since programs do not have control over the pre-program earnings of the individuals they serve.

ETA will continue to collect the pre-program earnings, as well as other information on participants, and supplement this measure with data on earnings increase when describing program outcomes.

Revised
Mar 2008

Measure #8: Dislocated Worker Employment and Credential/Certificate Rate

Of those dislocated workers who received training services:

The number of dislocated worker participants who were employed in the first quarter after exit and received a credential/certificate by the end of the third quarter after exit, divided by the number of dislocated worker participants who exited services during the quarter.

Operational Parameters:

Revised
Mar 2008

- The use of the definition of "certificate" is applicable for participants who began receiving services on or after July 1, 2006. Dislocated worker participants who received services prior to July 1, 2006 are covered under the previous requirements defined as credentials (See Section 2, Definitions.)
- The numerator of this measure includes those who were employed in the first quarter after exit, regardless of whether they were employed at participation.
- Credentials/certificates can be obtained while a person is still participating in services and up to three quarters following exit.

Revised
Mar 2008

Rationale:

This measure is limited to individuals who are in training because that is the only set of services that lead to attainment of a credential. To promote program integration and partner collaboration, this measure does recognize joint participation in WIA services and non-WIA funded training programs. While there will be variation in the ability of local providers or state agencies to track participants who are enrolled in non-WIA funded training services, it is considered a significant and necessary step toward building integrated workforce-funded programs that will be able to get credit for non-WIA funded training, in addition to WIA funded training.

Revised
Mar 2008

This measure includes all individuals who received training regardless of whether they had jobs at participation. It recognizes not only individuals who enter employment, but also incumbent workers and students who have jobs or are placed in jobs, but continue receiving training services to attain more skills and better jobs. A timeframe of three quarters after exit to obtain a credential is proposed to allow time for individuals to take tests, which may occur after training is completed and may only be offered once a year.

C. Older Youth (Age 19 – 21) Measures

Measure #9: Older Youth Entered Employment Rate

Revised
Mar 2008

Of those who are not employed at participation and who are not enrolled in post-secondary education or advanced training/advanced training-occupational skills training in the first quarter after the exit quarter or are employed in the first quarter after the exit quarter:

Revised
Mar 2008

Number of older youth participants who are employed in the first quarter after the exit quarter, divided by the number of older youth participants who exit during the quarter.

Operational Parameters:

- Individuals who are employed at participation are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- The use of the definition of "advanced training/ occupational skills training" became effective July 1, 2006. Youth participants who received services prior to July 1, 2006 are covered under the previous requirements.
- Employment at participation is based on information collected from the participant, not from wage records.
- Individuals in both employment and post-secondary education or advanced training in the first quarter after exit will be included in the denominator. Individuals who are not employed, but are in only post-secondary education or advanced training in the first quarter after exit are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).

Revised
Mar 2008

Rationale:

The exclusion of those individuals who move on to post-secondary education or advanced training and not employment avoids the disincentive of penalizing a program for placing an older youth in post-secondary education or advanced training. It better aligns the older youth measures with the younger youth measures which reward programs for moving youth into post-secondary education or advanced training. Those individuals who are excluded from this

measure due to entry into post-secondary education or advanced training will be measured in the older youth credential rate.

Measure #10: Older Youth Employment Retention Rate at Six Months

Revised
Mar 2008

*Of those **older youth** who are employed in the first quarter after the exit quarter and who are either not enrolled in post-secondary education or advanced training/**advanced training-occupational skills training** in the third quarter after the exit quarter or are employed in the third quarter after the exit quarter:*

Number of older youth **participants** who are employed in third quarter after the exit quarter, divided by the number of older youth **participants** who exit during the quarter.

Operational Parameters:

- This measure includes all individuals who are employed in the first quarter following exit, except those individuals who are employed in the first quarter and not employed in the third quarter following exit, but are in post-secondary education or advanced training/occupational skills training in the third quarter following exit. These individuals are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- The use of the definition of "advanced training/ occupational skills training" became effective July 1, 2006. Youth participants who received services prior to July 1, 2006 are covered under the previous requirements.
- Employment in the first and third quarters following exit does not have to be with the same employer.

Revised
Mar 2008

Rationale:

As in the entered employment rate, it would be unfair to penalize a participant who was employed in the quarter after exit, but left employment to start post-secondary education in the third quarter after exit. Therefore, those not employed in the third quarter after exit who are in post-secondary education or advanced training/**occupational skills training** in that third quarter following exit are excluded from the measure.

Measure #11: Older Youth Average Earnings Change in Six Months

Revised
Mar 2008

Of those who are employed in the first quarter after the exit quarter and who are either not enrolled in post-secondary education or advanced training/occupational skills training in the third quarter after the exit quarter or are employed in the third quarter after the exit quarter:

Total post-program earnings (earnings in quarter 2 + quarter 3 after exit), minus pre-program earnings (earnings in quarter 2 + quarter 3 prior to **participation**), divided by the number of older youth **participants** who exit during the quarter.

Operational Parameters:

- This measure includes the same population as the older youth employment retention measure (regardless of their employment status at participation).

Revised
Mar 2008

- The use of the definition of "advanced training/occupational skills training" became effective July 1, 2006. Youth participants who received services prior to July 1, 2006 are covered under the previous requirements.
- To ensure comparability of this measure on a national level, the UI wage records will be the only data source for this measure. Therefore, individuals whose employment in either the first or third quarter after exit was determined from supplementary sources and not from UI wage records are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.

Revised
Mar 2008

- Individuals whose employment in either the first or third quarter after the exit quarter was determined from supplementary sources and not from wage records are excluded from the measure.
- Grantees must initiate processes to obtain the second and third quarter pre-program earnings for the individual at the time of participation in the program.
- Earnings may be excluded from each of the total quarterly amounts only where the grantee has determined that false or erroneous wage record data have been reported to the grantee, or the individual has received distributions related to severance pay or other earnings attributable to termination from an employment situation. Such a determination by the grantee must be based on documented procedures and processes for editing and cleaning wage record data and are subject to audit.

Rationale:

ETA will not be amending the older youth earnings measure to an average earnings measure since the older youth earnings measure may be eliminated upon WIA reauthorization.

Measure #12: Older Youth Credential Rate

Revised
Mar 2008

Number of older youth participants who are either employed, in post-secondary education, or in advanced training/advanced training-occupational skills training in the first quarter after the exit quarter and received a credential or certificate by the end of the third quarter after the exit quarter, divided by the number of older youth participants who exit during the quarter.

Operational Parameters:

- The use of the definition of "certificate" is applicable for participants who begin receiving services on or after July 1, 2006. Older youth participants who received services prior to July 1, 2006 are covered under the previous requirements.
- The use of the definition of "advanced training/occupational skills training" became effective July 1, 2006. Youth participants who received services prior to July 1, 2006 are covered under the previous requirements.
- As opposed to the adult and dislocated worker measures where a credential/certificate must be coupled with employment, for older youth, a credential/certificate can be coupled with employment, entry into post-secondary education, or entry into advanced training.

Revised
Mar 2008

- As opposed to the adult and dislocated worker measures where only those who received training services are included in the measure, all older youth exiters will be included in this measure.
- Credentials/certificates can be obtained while a person is still participating in services.

Rationale:

This denominator is different from the adult and dislocated worker credential measure in that those two measures are a subset of participants enrolled in training, while this measure includes all older youth. The reason is that there is not a specific activity of "training" in the youth program as there is in the adult and dislocated worker programs through individual training accounts. Therefore, it is not possible to limit the measure to those enrolled in training.

D. Younger Youth (Age 14 – 18) Measures

Measure #13: Younger Youth Skill Attainment Rate

Of all in-school youth and any out-of-school youth assessed to be in need of basic skills, work readiness skills and/or occupational skills:

Revised
Mar 2008

Total number of basic skills goals, work readiness skills goals and occupational skills goals attained by younger youth, divided by the total number of basic skills goals, work readiness skills and occupational skills goals set.

Operational Parameters:

Revised
Mar 2008

- The measure should create an appropriate intermediate-type measure for youth who require more services, such as academic and soft skill development, prior to attaining a diploma or equivalency, employment and post-secondary education.
- If a participant is deficient in basic literacy skills, the individual must set, at a minimum, one basic skills goal (the participant may also set work readiness and/or occupational skills goals, if appropriate).
- WIA participants counted in this measure will be all in-school, and any out-of-school youth assessed to be in need of basic skills, work readiness skills and/or occupational skills.
- All youth measured in this rate must have a minimum of one skill goal set per year and may have a maximum of three goals per year.
- The target date for accomplishing each skill goal must be set for no later than one year.
- The skill goal or the target date set can only be extended if the participant has a gap in service where they are placed in a hold status in which the participant is not receiving services, but plans to return to the program. When they enter a hold status, the one-year clock for the goal target date stops. The clock begins again once the participant is no longer in a hold status.
- Goals will fall into the category of basic skills, work readiness skills or occupational skills. Participants may have any combination of the three types of skill goals (three skill goals in the same category, two skill goals in one category and one skill goal in another, or one skill goal in each category, etc.).

Revised
Mar 2008

- Success of skill attainment goals will be recorded in the quarter of goal achievement, while failure will be recorded in the quarter one year from the time the goal was set if not attained by such time.

Rationale:

There is concern about the potential lack of comparability among States and local areas on this measure. At the same time, local flexibility is important because of the individual service strategy philosophy. With these competing forces, it is important to set some guidelines to ensure comparability, while not being so prescriptive as to prevent participants from setting appropriate goals. Therefore, a maximum of three goals per person in each year is allowable in order to prevent the setting of multiple minimum-level skills goals, while still encouraging participants to set goals in any one of the skill categories.

Measure #14: Younger Youth Diploma or Equivalent Attainment

Of those younger youth who are without a diploma or equivalent at the time of participation:

The number of younger youth that attained secondary school diploma or equivalent by the end of the first quarter after exit, divided by the number of younger youth who exit during the quarter (except those who are still in secondary school at exit).

Operational Parameters:

- If a younger youth exits WIA while still enrolled in secondary education, the individual is excluded from the measure (i.e., programs will not be held accountable for these individuals under this measure).
- All younger youth (except those still in secondary school at exit and those who have already attained their diploma or equivalent prior to enrollment) will be assessed in this measure in the quarter after exit.

Rationale:

Those participants who exit WIA while still enrolled in secondary education are excluded from the measure. This exclusion is because some participants may decide to leave the program before finishing high school. It would be impossible for those participants to have attained a diploma or equivalent at the time of exit if they are still enrolled in high school. This measure is intended to motivate program staff to continue services to participants until they attain a diploma or its equivalent.

Measure #15: Younger Youth Retention Rate

The number of younger youth found in one of the following categories in the third quarter following exit, divided by the number of younger youth who exit during the quarter (except those still in secondary school at exit):

- post secondary education;
- advanced training (replaced with advanced training or occupational skills in PY 2006);
- employment (including military service); or
- qualified apprenticeships

Revised
Mar 2008

Revised
Mar 2008

Operational Parameters:

- If the participant is in one of the placement activities listed above during the third quarter following exit, the individual is counted as successfully retained (the participant does not have to remain in the same activity for the entire retention period, as long as the participant is found in one of the activities during the third quarter).
- The use of the definition of "advanced training/ occupational skills training" became effective July 1, 2006. Younger youth participants who received services prior to July 1, 2006 are covered under the previous requirements.
- If the participant exits WIA and does not enter into any of placement activities by the time retention is measured, the participant is counted in the denominator of the measure and it is reflected as a negative outcome.
- If a younger youth exits WIA while still enrolled in secondary education, the individual is excluded from the measure (ie., programs will not be held accountable for these individuals under this measure).

Revised
Mar 2008

Rationale:

This measure assesses retention in the third quarter following exit from the program. The Workforce Investment Act stipulated one measure for younger youth placement and retention. Because of the increasing emphasis on post-program measures, retention was chosen as the focus of this measure. To be consistent with the diploma/equivalency attainment rate and because it would be unfair to penalize those participants who exit while still in secondary school, the denominator of this measure does not include those who exit while still in secondary school.

Customer Satisfaction

Revised
Mar 2008

The State of Iowa has chosen, through an RFP process, an independent survey company to perform the customer satisfaction surveys for both the participants and employers. The following outlines the process to be used.

Measure #16: Participant Satisfaction

Revised
Mar 2008

WIA Participant Universe: The potential respondent universe for the "WIA Participant" survey will include all of those individuals who are registered under Title I-B of the Workforce Investment Act and exit in any of the four quarters of the program year (July 1 to June 30). Only individuals who have received services under Title I-B and have exited can be potential respondents. Individuals are to be contacted within 60-days of their date of exit.

Revised
Mar 2008

A minimum of 500 telephone surveys must be completed. A completed survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. Monthly, a list of names will be provided for the telephone survey. The sample provided will be sufficient to meet the required response rate so that the 500 completed surveys are representative of the whole program year.

- The Contractor will mail a notification letter to the individuals to be called at least two days prior to the first attempted call.
- At least five attempts, at different times of the day, will be made to contact the individuals in the sample.

Revised
Mar 2008

- The response rate from the sample must be a minimum of 70%. The response rate is computed by dividing the number of completed surveys by the number included in the sample.
- The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of the interview. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) or service, the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

The Script

[Introductory Script]

My name is (interviewer) with (firm or Department) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of participant).

Are you the Ms./Mr. (name of participant) who received a (name of service(s)) from the on (date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NOT, END THE INTERVIEW AND THANK THE RESPONDENT FOR HIS OR HER TIME.]

I would like to ask you some questions about your recent experience with the services provided to you. Our purpose is to learn from you how to improve programs and services offered to people. The Office of Management and Budget approved this survey to collect information on your experience with the services we provide to individuals. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

[The Questions]

1. Utilizing a scale of 1 to 10 where "1" means "Very Dissatisfied" and "10" means "Very Satisfied", what is your overall satisfaction with the services provided from _____?

Very Dissatisfied										Very Satisfied	DK1	REF2
1	2	3	4	5	6	7	8	9	10	11	12	

Revised
Mar 2008

2. Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? "1" now means "Falls Short of Your Expectations" and "10" means "Exceeds Your Expectations."

Falls short of Expectations										Exceeds Expectations	DK1	REF2
1	2	3	4	5	6	7	8	9	10	11	12	

Revised
Mar 2008

3. Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? "1" now means "Not very close to the Ideal" and "10" means "Very Close to the Ideal."

Not Very Close to the Ideal										Very Close to the Ideal		DK1	REF2
1	2	3	4	5	6	7	8	9	10	11	12		

¹DK = Don't Know
² REF = Refused to Answer

Measure 17: Employer Satisfaction

Revised
Mar 2008

Employer Survey

A minimum of 500 telephone surveys must be completed. A completed survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. Monthly, a list of names will be provided for the telephone survey. The sample provided will be sufficient to meet the required response rate so that the 500 completed surveys are representative of the whole program year.

- The Contractor will mail a notification letter to the individuals to be called at least two days prior to the first attempted call.
- At least five attempts, at different times of the day, will be made to contact the individuals in the sample.
- The response rate from the sample must be a minimum of 70%. The response rate is computed by dividing the number of completed surveys by the number included in the sample.
- The Employer Survey will be conducted by telephone. The proposed lead-in can be modified to suit the individual needs of the state and the names for program services recognizable for their population. The numbered questions must remain as stated.

Revised
Mar 2008

The Script

I would like to ask you some questions about your recent experience with _____. Our purpose is to learn from you how to improve programs and services offered to employers. The Office of Management and Budget approved this survey to collect information on your experience with the services we provide to employers. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Revised
Mar 2008

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

[The Questions]

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- Utilizing a scale of 1 to 10 where “1” means “Very Dissatisfied” and “10” means “Very Satisfied”, what is your overall satisfaction with the services provided from _____?

Very Dissatisfied										Very Satisfied	DK1	REF2
1	2	3	4	5	6	7	8	9	10	11	12	

- Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? “1” now means “Falls Short of Your Expectations” and “10” means “Exceeds Your Expectations.”

Falls short of Expectations										Exceeds Expectations	DK1	REF2
1	2	3	4	5	6	7	8	9	10	11	12	

- Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? “1” now means “Not very close to the Ideal” and “10” means “Very Close to the Ideal.”

Not Very Close to the Ideal										Very Close to the Ideal	DK ¹	REF ²
1	2	3	4	5	6	7	8	9	10	11	12	

¹DK = Don't Know

² REF = Refused to Answer

ETA's Common Measures Policy

Revised
Mar 2008

Workforce programs administered by ETA and VETS are subject to the common measures policy. Designation that a program is subject to the adult and/or youth measures will be implemented through modifications to each program's reporting and recordkeeping system. This, however, does not impact the existing eligibility requirements of the program.

Please note: ETA has adopted the common measures methodology for the calculation of the entered employment, employment retention and earnings measurement in the WIA performance accountability system for WIA Adult, Dislocated Worker, and Youth programs and for the Trade Act, Jobs for Veterans Act (38 use 41O2A(f)) and Wagner-Peyser Act program performance measures. Excluded from the WIA performance accountability system of adult and dislocated worker program participants are those that receive only self-service and informational activities.

In addition, indicators of performance for the WIA Youth program continue to be the seven statutory youth measures. States will be held accountable for these seven measures until WIA is reauthorized.

Revised
Mar 2008

A. Introduction to Common Measures Methodologies

The methodologies of the common measures are written as an equation, clearly identifying who is in the numerator and who is in the denominator. In cases where there are conditions that apply to both the numerator and denominator, the condition is represented in italics at the beginning of the measure. For example, the adult entered employment rate is defined as:

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Mar 2008

Of those who are not employed at the date of participation:

The number of adults who are employed in the first quarter after the exit quarter, divided by the number of adults who exit during the quarter.

The condition "of those not employed at the date of participation" applies to both the numerator and denominator as follows: the number of adults who *are not employed at the date of participation* and are employed in the first quarter after the exit quarter, divided by the number of adults who *are not employed at the date of participation* and exit during the quarter. In addition, the phrase "who exit during the quarter" is used frequently in the denominators of the measures. This phrase has the same meaning as the term "exit quarter" used in some of the numerators.

B. Adult Measures (This refers to all Adults and Dislocated Workers)

1. Entered Employment

Methodology:

Of those who are not employed at the date of participation:

The number of adult participants who are employed in the first quarter after the exit quarter, divided by the number of adult participants who exit during the quarter.

Operational Parameters:

Individuals who are employed at the date of participation are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).

Individuals who, although employed at the date of participation, have either received a notice of termination of employment or whose employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or who are transitioning service members are considered not employed at the date of participation and are included in the performance measure.

Employment at the date of participation is based on information collected from the individual, not from wage records.

Discussion:

This measure provides an assessment of program impact in increasing employment for those who were not employed. ETA recognizes concerns related to the exclusion of individuals who are employed at the date of participation from this measure. However, including individuals with jobs at program entry is not fully consistent with the concept of an entered employment indicator. Positive impacts of services provided to incumbent workers and underemployed individuals can be demonstrated in both the retention and earnings measures.

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Mar 2008

2. Employment Retention

Methodology:

Of those who are employed in the first quarter after the exit quarter:

The number of adult participants who are employed in both the second and third quarters after the exit quarter, divided by the number of adult participants who exit during the quarter.

Revised
Mar 2008

Operational Parameters:

This measure includes only those who are employed in the first quarter after the exit quarter (regardless of their employment status at participation).

Individuals who are not employed in the first quarter after the exit quarter are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).

Employment in the first, second and third quarters, after the exit quarter, does not have to be with the same employer.

Discussion:

By defining a positive outcome as employment in the first, second and third quarters after the quarter of exit, the measure approximates retention for at least six months following participation in the program. However, a positive outcome on the retention measure does not necessarily indicate continuous employment with the same employer.

3. Average Earnings

This methodology for calculating the Average Earnings measure became effective July 1, 2006.

Methodology:

Of those adult participants who are employed in the first, second and third quarters 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.

Operational Parameters:

To ensure comparability of this measure on a national level, wage records will be the only data source for this measure. Acceptable wage record sources are a state's Unemployment Insurance wage records, federal employment wage records, military employment wage records and other administrative wage records.

Individuals whose employment in either the first, second, or third quarters after the exit quarter was determined solely from supplementary sources, and not from wage records, are excluded from the measure.

Discussion:

ETA implemented a new methodology for calculating the average earnings measure for Program Year (PY) 2006. A number of states have expressed concern about the existing methodology for the earnings measure as previously defined, citing it as a disincentive to serving people with previous work experience, especially those with higher wages. The earlier definition focused on a comparison of pre-program and post-program earnings; the outcomes reflected more of the previous earnings history of the people served rather than the program's intervention. This limited its usefulness as a measure of a program's performance.

In response, the revised adult earnings measure looks at wages over six months of those exiters who are working in the first, second and third quarters after exit. ETA believes this earnings measure is more straightforward than the previous approach, and the results will be easier to understand and explain to stakeholders than measures that compare the percentages or rates of preprogram and post-program earnings or changes in post-program

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earnings. By excluding the pre-program measurement point, agencies can develop more realistic and meaningful targets for the earnings measure since programs do not have control over the pre-program earnings of the individuals they serve.

ETA will continue to collect the pre-program earnings, as well as other information on participants, and supplement this measure with data on earnings increase when describing program outcomes.

SPECIAL NOTE: Currently, mechanisms are not in place to provide access to wage records for all grantees operating ETA national or discretionary grant programs including, but not limited to, programs such as the Migrant and Seasonal Farm Workers, Indian and Native American and Senior Community Service Employment programs. For these grantees, supplemental sources of data will be permitted as an interim means of reporting on the earnings measure until all grantees in a program have access to wage records. Any adjustments necessary for the implementation of this measure using supplemental information as the data source will be addressed in separate program guidance.

Revised
Mar 2008

C. Youth Measures

1. Placement in Employment or Education

Methodology:

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.

Operational Parameters:

Individuals who are in post-secondary education or employment at the date of participation are excluded from this measure (i.e. programs will not be held accountable for these individuals under this measure).

Employment and education status at the date of participation are based on information collected from the individual.

Individuals in secondary school at exit will be included in this measure.

Discussion:

Participants who enter ETA-funded youth programs while already in postsecondary education, employment or the military have achieved the desired outcome under this measure. Thus, these individuals are excluded from this measure.

Successfully returning young people to school or alternative education is desirable, but secondary school enrollment does not qualify as a placement under this measure. Individuals in secondary school at exit are included in this measure. This policy is consistent with ETA's vision to ensure youth successfully complete their secondary education, which will ultimately lead to better long-term success in the workforce.

Revised
Mar 2008

2. Attainment of a Degree or Certificate

Revised
Mar 2008

Methodology:

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.

Operational Parameters:

Education refers to participation in secondary school, post-secondary school, adult education programs or any other organized program of study leading to a degree or certificate.

Individuals in secondary school at exit will be included in this measure.

The term diploma means any credential that the state education agency accepts as equivalent to a high school diploma. TEGL 17-05 clarifies that the term diploma also includes post-secondary degrees including Associate's Degrees (AA and AS) and Bachelor's Degrees (BA and BS).

Diplomas, GED's or certificates can be obtained while a person is still receiving services or at any point by the end of the third quarter after the exit quarter.

Work readiness certificates will not be accepted under this measure.

Discussion:

Individuals in secondary school at exit are included in this measure. This policy is consistent with ETA's vision to ensure youth successfully complete their secondary education, which will ultimately lead to better long-term success in the workforce.

ETA recognizes that work readiness skills are a valued skill set that will lead to successful employment and retention and encourages programs to continue to provide work readiness skills. However, the focus of the certificate measure is attainment of measurable technical or occupational skills, rather than work readiness skills. Although there are currently work readiness certificates developed or in development, these certificates focus primarily on basic skills, which are covered under the literacy/numeracy measure. It would be duplicative to include the attainment of basic skills under this measure.

3. Literacy and Numeracy Gains

Revised
Mar 2008

Methodology:

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 participants who have completed a year in the youth program (i.e., one year from the date of first youth program service) plus the number of participants who exit before completing a year in the youth program.

Operational Parameters:

In-school youth are excluded from this measure. (Note: Determination of in-school or out-of-school status is only made at point of program participation.)

It is allowable to use pre-tests that are administered up to six months prior to the date of first WIA youth service, if such pre-test scores are available. If prior pre-tests are not available,

administration of the pre-test must occur within 60 days following the date of first youth program service. All pre and post-tests must be Department of Labor (DOL) approved.

Revised
Mar 2008

This measure is based on "date of first youth program service" rather than date of participation because date of participation is defined as the earliest date of service from any program if a participant receives services from multiple programs. It is possible for the participation date of a youth to be prior to the date of first WIA youth service if such a youth was served earlier by a different program. Therefore, date of first WIA youth service is used to ensure that this measure is based on a "youth participation date" rather than the initial participation date.

Individuals who are determined not to be basic skills deficient, based on pre-test results, are excluded from this measure (i.e., programs will not be held accountable for these individuals under this measure).

Revised
Mar 2008

When administering assessment tools, individuals with disabilities (as defined in 29 CFR Part 37.4) should be accommodated according to: (1) Section 188 of WIA: 29 CFR Part 37, Section 504 of the Rehabilitation Act of 1973, and Title H of the Americans with Disabilities Act, (2) guidelines associated with the assessment tool used to determine functioning levels, or (3) state law or policies. Further guidance can be found in this section under Testing Youth with Disabilities in TEGL 17-05.

The measure includes individuals who are given an initial assessment but either:

- (1) do not post-test before exiting the program; or
- (2) exit before completing a year in the youth program (i.e., one year from the date of first youth program service).

To be included in the numerator, a participant must demonstrate on a post-test that he or she has advanced one or more educational functioning levels beyond the level in which he or she was initially placed at pre-test within one year from the date of first youth program service. (Note: The one-year time period is from date of first youth program service, not date of pre-test.)

All out-of-school youth must be assessed in basic reading/writing and math.

Discussion:

Revised
Mar 2008

The literacy and numeracy gains indicator measures the increase in skills of participants through a common assessment tool administered at program entry and regular intervals thereafter. Youth participants for whom the goal of literacy and/ or numeracy gains is most appropriate are those with basic skills deficiencies. Participants who are not basic skills deficient cannot achieve a positive outcome because they have attained basic literacy and numeracy. Exclusion of individuals who are not basic skills deficient focuses the measure on the participants with the greatest need for remediation and minimizes the burden of testing individuals who, by virtue of their existing skill level, will not achieve a positive outcome under this measure.

In-school youth already undergo a number of assessments within the school system in order to comply with state standards of learning and, in many states, graduation exams. Requiring in-school youth to receive further academic assessments outside of the school system is redundant since it is the responsibility of local school districts to ensure proper academic assessment of in-school youth. Therefore, in-school youth are excluded from this measure.

Under a normal distribution of pre-test scores, most participants' scores will place the individuals in a range indicating they have completed some of the skills in that particular educational functioning level. Therefore, for a majority of participants, a positive outcome for

this measure (i.e., completion of one educational functioning level and an increase to the next level) is not likely to require the equivalent of completing two grade levels, but will average to the equivalent of one grade level.

National Reporting System (NRS):

Revised
Mar 2008

To maintain consistency with the implementation of the common measures by the Department of Education (DE), ETA is adopting policies for the DE outcome measure of educational gain, as outlined in the NRS. The NRS was developed by the Department of Education's Division of Adult Education and Literacy for implementation of an accountability system for federally-funded adult education programs under WIA Title II.

Educational Functioning Levels (EFL)*

Revised
Mar 2008

Unless a previous assessment was conducted within six months prior to participation, programs must assess participants at intake or within 30 days following the date of first youth program service to determine their initial educational functioning level. As outlined in the NRS, there are two sets of educational functioning levels - six levels for Adult Basic Education (ABE) and six levels for English-as-a-Second Language (ESL) students. ABE levels roughly equate to two grade levels. Further guidance on the educational functioning level descriptors can be found in TEGL 17-05.

Each ABE and ESL level describes a set of skills and competencies that students entering at that level demonstrate in the areas of reading, writing, numeracy, speaking, listening, functional and workplace skills. These descriptors provide guidelines for placing participants in educational functioning levels, based on performance on standardized tests. After a participant has completed a uniform, standardized assessment procedure, programs use these descriptors to determine the appropriate initial ABE or ESL level in which to place students.

If a participant is functioning at different levels in reading, writing, numeracy, speaking, listening, functional and workplace areas, the individual is placed in different ABE and ESL levels across the functioning areas. In the post-test assessment, if the participant demonstrates an increase to the next functioning level in any of the areas (reading, writing, numeracy, speaking, listening, functional and workplace areas) he or she has made an educational gain and should be included in the numerator. For example, an individual is placed in the Beginning Basic Education level (the second ABE level) in math and the Low Intermediate Basic Education level (the third ABE level) in reading at pre-testing. The individual achieves an educational gain if he or she places in either the third ABE level in math or the fourth ABE level in reading at post-testing.

*See the Educational Functioning Level chart at the end of Section 14 or in the Appendix.

Section
21

Reserved for Future Use

General Provisions

The Workforce Investment Act of 1998 specifies 19 employment and training programs that must be made available through the Workforce Development Center system and identifies another five programs whose partnership in the Workforce Development Center system would help maximize utilization of the system's resources and increase customer choice. In addition to specific program requirements, the Act sets out a number of conditions that, except as otherwise provided, are applicable to all WIA programs available in the system.

Each program is to serve participants who can benefit from and are most in need of such services. Programs are to contribute to occupational development, upward mobility and development of new careers and opportunities for nontraditional employment. WIA funds are to be used only for activities that are in addition to those that would otherwise be available in the region.

Inter-Regional Cost Sharing

Any region may enter into an agreement with another region within the same labor market to pay or share costs of program services, including support services. The agreement must be approved by each regional board providing guidance to the area and shall be described in the Regional Customer Service Plan.

OJT Employers

Revised
Mar 2008

Employers that, under previous contracts, have exhibited a pattern of failing to provide On-the-Job training participants with wages, benefits and working conditions comparable to regular employees shall not be awarded an On-the-Job training contract.

Youth Educational Program Standards

All education programs for youth supported with WIA funds shall be consistent with applicable State and local educational standards. Standards and procedures regarding the awarding of academic credit and certifying educational attainment in programs conducted under the WIA shall be consistent with the requirements of applicable State and local laws and regulations.

Public Service Employment

WIA funds cannot be used for public service employment except for disaster relief employment, as specifically authorized under the Act.

Entitlement

Nothing in the Act shall be construed to provide an individual with an entitlement to a service under the Act.

Prohibited Activities

WIA funds must not be spent on:

- 1) Wages of incumbent employees during their participation in economic development activities provided through a statewide workforce investment system;
- 2) Expenses prohibited under any other federal, State or local law or regulation;
- 3) Foreign travel, if the source of funds is formula funds under subtitle B, Title I; and
- 4) Financial assistance for any program involving political activities.

Fee-Based Services

Fees may not be charged for placement or referral to a WIA activity.

However, services, facilities or equipment funded under the WIA may be used on a fee-for-service basis by employers in a region in order to provide employment and training activities to incumbent workers:

- When such services, facilities or equipment are not in use to provide services for WIA participants;
- If such use for incumbent workers would not have an adverse affect on providing services to WIA participants; and
- If the income derived from such fees is used to carry out WIA programs.

Economic Development Activities

WIA funds may not be spent on employment generating activities, economic development and other similar activities, unless they are directly related to training for eligible individuals. For purposes of this section, employer outreach and job development activities are directly related to training for eligible individuals. The employer outreach and job development activities that are allowable include:

- 1) Contacts with potential employers for the purpose of placement of WIA participants;
- 2) Participation in business associations (such as chambers of commerce);
- 3) WIA staff participation on economic development boards and commissions and work with economic development agencies to:
 - Provide information about WIA programs;
 - Assist in making informed decisions about community job training needs; and

- Promote the use of first source hiring agreements and enterprise zone vouchering services.
- 4) Active participation in local business resource centers (incubators) to provide technical assistance to small and new business to reduce the rate of business failure;
- 5) Subscriptions to relevant publications;
- 6) General dissemination of information of WIA programs and activities;
- 7) The conduct of labor market surveys;
- 8) The development of On-the-Job training opportunities; and
- 9) Other allowable WIA activities in the private sector.

Sectarian Activities

The employment or training of participants in sectarian activities is prohibited, as is the construction, operation or maintenance of any part of any facility that is used for sectarian instruction or religious worship. However, WIA funds may be used for the maintenance of a facility that is not primarily devoted to sectarian instruction or religious worship if the organization operating the facility is part of a program or activity providing services to WIA participants.

Business Relocation

WIA Title I funds may not be used for:

- 1) The encouragement of a business to relocate from any location in the United States if the relocation results in any employee losing his or her job at the original location; or
- 2) Customized, skill or On-the-Job training or company specific assessments of job applicants or employees of a business that has relocated from any location in the United States until the company has operated at that location for 120 days, if the relocation has resulted in any employee losing his or her job at the original location.

Pre-award reviews must be conducted to verify that establishments that are new or expanding are not relocating from another area.

Displacement

A participant in a program or activity authorized under Title I of WIA must not displace (including a partial displacement) any currently employed employee as of the date of the participation. In addition, a program or activity authorized under Title I of WIA must not impair existing contracts for services or collective bargaining agreements. If so, the appropriate labor organization and employer must provide written concurrence before the program or activity begins. Regular employees and program participants alleging displacement may file a complaint under WIA grievance procedures.

Nondiscrimination

All WIA grant recipients, including State and regional workforce investment boards, Coordinating Service Providers, WIA service providers, vendors and sub-recipients, must comply with the following federal Non-discrimination and Equal Opportunity Provisions that prohibit discrimination:

- On the basis of age under the Age Discrimination Act of 1975 (42 USC 6101 et seq.);
- On the basis of disability under Section 504 of the Rehabilitation Act of 1973 (29 USC 794);
- On the basis of sex under Title IX of the Education Amendments of 1972 (20 USC 1681 et seq.);
- Or on the basis of race, color or national origin under Title VI of the Civil Rights Act of 1964 (42 USC 2000d et seq.)

No individual shall be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any WIA program or activity because of race, color, religion, sex (except as otherwise permitted under Title IX of the Education Amendments of 1972), national origin, age, disability or political affiliation or belief. Discrimination is also prohibited against certain noncitizens, including nationals of the United States of America, lawfully admitted permanent resident aliens, refugees, asylees, parolees and other immigrants authorized by the Attorney General to work in the United States.

In addition, discrimination against an individual on the basis of his or her status as a WIA program participant is prohibited.

Nondiscrimination and equal opportunity requirements and procedures, including complaint processing and compliance reviews, are governed by the regulations implementing WIA section 188 and are administered and enforced by the DOL Civil Rights Center.

Other Federal Requirements

All WIA grant recipients and sub-recipients must comply with the following government-wide requirements:

- Debarment and Suspension ((29CFR part 93);
- Drug-Free Workplace (29 CFR part 98); and
- Restrictions on Lobbying (29 CRF part 93).

Wage and Labor Standards

Individuals in On-the-Job training or individuals employed in activities under Title I of WIA must be compensated at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and skills. Pay rates must be in accordance with applicable law, but may

not be less than the higher of the rate specified in the Fair Labor Standards Act or the applicable State or local minimum wage law.

Revised
Mar 2008

WIA participants must also be provided benefits and working conditions at the same level as other trainees or employees working a similar length of time and **performing** the same type of work.

Allowances, earnings and payments to individuals participating in programs under Title I of WIA are not considered as income for purposes of determining eligibility for, and the amount of, income transfer and in-kind aid furnished under any federal or federally-assisted program based on need, other than as provided under the Social Security Act.

Health and Safety Standards

Health and safety standards established under federal and state law otherwise applicable to working conditions of employees are equally applicable to participants engaged in programs and activities under Title I of WIA. To the extent that **Iowa's** Workers' Compensation law applies, Workers' Compensation must be provided to participants in programs and activities under Title I of WIA on the same basis as the compensation provided to other individuals in the State **similarly employed**. If **Iowa's** Workers' Compensation law applies to a participant in work experience, Workers' Compensation benefits must be available with respect to injuries suffered by the participant in a work experience component. If **Iowa's** Workers' Compensation law does not apply to a participant in work experience, insurance coverage must be secured for injuries suffered by the participant in the course of the work experience.

Revised
Mar 2008

Conflict of Interest

A State or regional workforce investment board member or Youth Advisory Council member must neither cast a vote on, nor participate in, any decision-making capacity on the provision of services by such member (or any organization which that member directly represents), nor on any matter which would provide any direct financial benefit to that member or a member of his immediate family. However, neither membership on the state board, the regional board or the Youth Advisory Council, nor the receipt of WIA funds to provide training and related services, by itself, violates these conflict of interest provisions.

Nepotism

No person may be placed in a WIA employment activity if a member of that person's immediate family is directly supervised by or directly supervises that individual. However, if a State or local legal requirement regarding nepotism is more restrictive than this provision, that State or local requirement must be followed.

Revised
Mar 2008

This policy also applies to counselors and participants and pertains to anyone that the counselor is related to by blood, marriage or adoption or domestic partnership.

Construction

WIA Title I funds must not be spent on construction or purchase of facilities or buildings except:

- 1) To meet a recipient's obligation to provide physical and programmatic accessibility and reasonable accommodation, as required by section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended;

Revised
Mar 2008

- 2) To fund repairs, alterations and capital improvements of:

Real property in which the federal government acquired equity through the use of funds provided under Title III of the Social Security Act, the Wagner-Peyser Act or any other federal programs prior to the enactment of WIA. This requires prior approval by the Governor **and** the costs of these repairs shall be assessed proportionate to space utilized.

- 3) For Job Corps facilities authorized by WIA;
- 4) To fund disaster relief employment on projects for demolition, cleaning, repair, renovation, and reconstruction of damaged and destroyed structures, facilities and lands located within a disaster area.

Section

23

Contracting

RESERVED

State Complaint Procedures

This section contains the procedure to be used to file a WIA-related complaint with the State.

Complaints may be filed with Iowa Workforce Development to resolve alleged violations of the Workforce Investment Act (WIA), Federal or State regulations, grant agreement, contract or other agreements under the Act.

Iowa Workforce Development's complaint procedure may also be used to resolve complaints with respect to audit findings, investigations or monitoring reports.

Complaints alleging discrimination must be filed as per that specific subsection of this section. (See Complaints Alleging Discrimination -- RESERVED.)

Grievances and complaints from customers and other parties related to the regional Workforce Development Center system and local WIA programs should be filed through local complaint procedures. Any party which has alleged violations at the local level, and filed a complaint at the local level, may request review by Iowa Workforce Development if that party receives an adverse decision or no decision within 60 days of the date the complaint was filed at the local level.

Filing a complaint

Any interested person, organization or agency may file a complaint.

Time Limits

Complaints must be filed within 90 calendar days of the alleged occurrence.

Content of the Complaint

Complaints must be clearly portrayed as such and meet the following requirements:

- 1) Complaints must be legible and signed by the complainant or the complainant's authorized representative;
- 2) Complaints must pertain to a single subject, situation or set of facts and pertain to issues over which the State has authority (unless appealed from the local level);
- 3) The name, address and phone number (or TDD number) must be clearly indicated. If the complainant is represented by an attorney or other representative of the complainant's

choice, the name, address and phone number of the representative must also appear in the complaint;

- 4) Complaints must state the name of the party or parties complained against and, if known to the complainant, the address and telephone number of the party or parties complained against;
- 5) Complaints must contain a clear and concise statement of the facts, including pertinent dates, constituting the alleged violations;
- 6) Complaints must cite the provisions of WIA regulations, grant agreements, or other agreements under WIA believed to have been violated, if applicable;
- 7) Complaints must state the relief or remedial action(s) sought; and
- 8) Copies of documents supporting or referred to in the complaint must be attached to the complaint; and
- 9) Complaints must be addressed to:

Complaint Officer
Division of Workforce Development Center Administration
Iowa Workforce Development
150 Des Moines Street
Des Moines, Iowa 50309

Acknowledgement of a Complaint and Notice of Opportunity for a Hearing

A complaint is deemed filed with the State when it has been received by the Complaint Officer and meets the requirements outlined above. Upon receipt of a complaint, Iowa Workforce Development will send a copy of the complaint and a letter of acknowledgement and notice to the complainant and any persons or entities cited in the complaint within seven calendar days. The letter of acknowledgement and notice will contain the filing date and notice of the following opportunities:

- 1) The opportunity for informal resolution of the complaint at any time before a hearing is convened; and
- 2) The opportunity for a party to request a hearing by filing with the Complaint Officer within seven calendar days of receipt of the acknowledgement of the complaint.
 - a) Failure to file a written request for a hearing within the time provided constitutes a waiver of the right to a hearing, and a three-member panel will rule on the complaint based upon the information submitted;
 - b) If a hearing is requested within seven calendar days of receipt of the acknowledgement of the complaint, the hearing will be held within 20 calendar days of the filing of the complaint;
 - c) The opportunity for a party to submit written evidence, statements, and documents in a time and manner prescribed by the complaint officer.

Complaint Resolution

The Complaint Officer shall convene a review panel of three agency staff members to review complaints within 20 calendar days of the receipt of the complaint. The review panel may, at its discretion, request oral testimony from the complainant and the parties complained against.

Within 30 calendar days of the receipt of the complaint, the review panel will issue a written decision including the basis for the decision, and, if applicable, remedies to be granted. The decision will detail the procedures for a review by the Director if the complainant is not satisfied with the decision.

Party(ies) may appeal the decision by filing an appeal with the Complaint Office no later than 10 calendar days from the issuance date of the decision. The Complaint Officer will forward the complaint file to the Director for review.

If no appeal of the decision is filed within the time provided, the decision shall become the final agency decision.

Informal Settlement

A complaint may, unless precluded by statute, be informally settled by mutual agreement of the parties any time before a hearing is convened. The settlement must be effected by a settlement agreement or a statement from the complainant that the complaint has been withdrawn or resolved to the complainant's satisfaction. The Complaint Officer must acknowledge the informal settlement and notify the parties of the final action. With respect to the specific factual situation which is the subject of controversy, the informal settlement constitutes a waiver by all parties of the formalities to which they are entitled under the terms of the Iowa Administrative Procedure Act, Iowa Code Chapter 17A, WIA, and the rules and regulations under WIA.

Hearings

Upon receipt of a timely request for a hearing, the Complaint Officer will assign the matter to a panel. The panel will give all parties at least seven days written notice either by personal service or certified mail of the date, time and place of the hearing. The notice may be waived in case of emergency, as determined by the panel, or for administrative expediency upon agreement of the interested parties.

The notice of hearing will include:

- 1) A statement of the date, time, place, nature of the hearing;
- 2) A brief statement of the issues involved; and
- 3) A statement informing all parties of their opportunities at the hearing:
 - a) Opportunity for the complainant to withdraw the request for hearing before the hearing;
 - b) Opportunity to reschedule the hearing for good cause, provided the hearing is not held later than 20 days after the filing of the complaint;
 - c) Opportunity to be represented by an attorney or other representative of choice at the complainant's expense;
 - d) Opportunity to respond and present evidence and bring witnesses to the hearing;

- e) Opportunity to have records or documents relevant to the issues produced by their custodian when such records or documents are kept by or for the state, contractor or its subcontractor in the ordinary course of business and where prior reasonable notice has been given to the Complaint Officer;
- f) Opportunity to question any witnesses or parties;
- g) The right to an impartial review panel; and
- h) A final written agency decision shall be issued within 60 days of the filing of the complaint.

Appeal to the Director

An appeal to the Director must be filed within 10 calendar days from the issuance date of the decision and include:

- 1) The date of filing the appeal; and
- 2) The specific grounds upon which the appeal is made. Those provisions upon which an appeal is not requested will be considered resolved and not subject to further review.
- 3) Appeals must be addressed to:

Complaint Officer
Division of Workforce Development Center Administration
Iowa Workforce Development
150 Des Moines Street
Des Moines, Iowa 50309.

Upon receipt of an appeal, the Complaint Officer will forward the complaint file to the Director. The Complaint Officer will give written notice to all parties of the filing of the appeal and set a deadline for submission of all written evidence, statements, and documents.

The Director will consider all timely-filed appeals, exceptions, statements, and documents at the time the decision is reviewed. With the consent of the Director, each party may present oral argument.

The Director may adopt, modify or reject the review panel's decision or remand the case to the review panel for the taking of such additional evidence and the making of such further findings of fact, decision and order as the Director deems necessary.

Decision by Director

Upon completing the review of the review panel's decision, the Director shall issue and forward to all parties a final written decision no later than 60 days after the filing of the initial complaint.

Department of Labor Review

The Director's decision is final unless the Secretary exercises the authority of federal review in accordance with 20 CFR 667. Federal level review may be accepted by the Secretary if the complaint meets the requirements of 20 CFR 667. Upon exhaustion of the State's grievance and complaint procedure, or where the Secretary has reason to believe that the State is failing to comply with the WIA, the state plan, or the region's customer service plan, the Secretary

must investigate the allegation or belief and determine within 120 days after receiving the complaint whether such allegation or complaint is true.

Review of Local Level Complaints

Any party receiving an adverse decision at the local level may file an appeal within 10 calendar days to the IWD Complaint Officer. In addition, any complaint filed at the local level with no decision within 60 days of the date of the filing may be reviewed by IWD. The request to review the complaint must be filed with the Complaint Officer within 15 calendar days from the date on which the decision should have been received.

The appeal or request for review must comply with the procedures as prescribed in this section for filing a complaint. The parties involved will be afforded the rights and opportunities as prescribed in this section for filing a state level complaint.

Remand of Grievances and Complaints

The Complaint Officer will review all WIA complaints filed with IWD within seven (7) calendar days. If the subject and facts presented in the complaint are most relevant to local policy, the Complaint Officer will remand the complaint to the Coordinating Service Provider of the appropriate Workforce Investment Region for resolution.

Failure to file the complaint or grievance in the proper venue does not negate the complainant's responsibility for filing the complaint in the appropriate time frames.

Complaints Alleging Discrimination

(RESERVED)

Complaints of Non-Designation of a Local Area

A unit or combination of units of general local governments or a rural concentrated employment program grant recipient (described in the Workforce Investment Act of 1998 section 116(a)(2)(B)) that requests, but is not granted automatic or temporary and subsequent designation as a local workforce investment area under the Workforce Investment Act of 1998 section 116(a)(2) or 116(a)(3) may appeal to the State Workforce Development Board within 30 days of the non-designation.

If the State Workforce Development Board does grant designation on appeal, the decision may be appealed to the Secretary of Labor within 30 days of the written notice of denial. The appeal must be submitted by certified mail, return receipt requested, to the Secretary, U.S. Department of Labor, Washington, D.C. 20210. The appellant must establish that it was not accorded procedural rights under the appeal process described in the state plan or establish it meets the requirements for designation in the Workforce Investment Act of 1998 section 116(a)(2) or 116(a)(3). The Secretary will take into account any comments submitted by the State Workforce Investment Board.

Complaints of Denial or Termination of Eligibility

Training services providers have the opportunity to appeal:

- 1) Denial of eligibility by a Regional Workforce Investment Board or Iowa Workforce Development;
- 2) Termination of eligibility or other action by a Regional Workforce Investment Board or Iowa Workforce Development under the Workforce Investment Act of 1998 section 122(f); or
- 3) Denial of eligibility as a provider of on-the-job training or customized training by the Coordinating Service Provider.

All appeals must be filed to Iowa Workforce Development within 30 days of receipt of written notice of denial or termination of eligibility. Appellants must follow the procedures for a complaint described above in this section. Appeals will be handled in the same manner as a complaint.

State decisions issued under this subsection may not be appealed to the Secretary of Labor.

Complaints Concerning Drug Testing and Sanctions

The following persons may appeal to Iowa Workforce Development:

- 1) WIA participants subject to testing for use of controlled substances, imposed under a state policy established under the Workforce Investment Act of 1998 section 181(f); and
- 2) WIA participants who are sanctioned after testing positive for the use of controlled substances, under a state policy established under the Workforce Investment Act of 1998 section 181(f).

State decisions issued under this subsection may not be appealed to the Secretary of Labor.

Complaints Concerning Non-Performance

A workforce development region may appeal non-performance sanctions to the Secretary of Labor under the following conditions:

- 1) The region has been found in substantial violation of WIA Title I, and has received notice from the Governor that either all or part of the local plan will be revoked or that a reorganization will occur; or
- 2) The region has failed to meet local performance measures for two consecutive years and has received the Governor's notice of intent to impose a reorganization plan.

Revocation of the local plan or reorganization do not become effective until the time for appeal has expired or the Secretary has issued a decision.

An appeal under this subsection must be filed within 30 days after receipt of written notification of plan revocation or imposed reorganization. It must be submitted by certified mail, return receipt requested, to:

Secretary of Labor
Attention: ASET
U.S. Department of Labor
Washington, D.C. 20010

A copy of the appeal must be simultaneously provided to the Governor. In deciding the appeal, the Secretary may consider comments submitted in response from the Governor.

The Secretary will notify the Governor and appellant in writing of the Secretary's decision within 45 days after receipt of the appeal filed under number 1 above; and within 30 days after receipt of appeals filed under number 2 above.

Local Complaint Procedures

Each Coordinating Service Provider must establish procedures for grievances and complaints. The local procedures must provide:

- 1) A process for dealing with grievances and complaints from participants and other interested parties affected by the local workforce investment system, including one-stop partners and service providers;
- 2) An opportunity for an informal resolution and a hearing to be completed within two days of the filing of the grievance or complaint;
- 3) A process which allows an individual alleging a labor standards violation to submit a grievance to a binding arbitration procedure, if a collective bargaining agreement covering the parties to the grievance so provides; and
- 4) An opportunity for a local level appeal to Iowa Workforce Development when:
 - a) No decision is reached within 60 days; or
 - b) Either party is dissatisfied with the local hearing decision.

Participants, service providers and other interested individuals must be informed of the local complaint procedure in writing, as well as the ability and procedures to appeal local decisions to Iowa Workforce Development.

Fraud and Investigation

Information and complaints involving criminal fraud, waste, abuse or other criminal activity must be reported immediately through the Department of Labor's Incident Reporting System to:

DOL Office of Inspector General
Office of Investigations
Room S5514
200 Constitution Avenue NW
Washington DC 20210

And simultaneously to:

Division Administrator
Division of Workforce Development Center Administration
Iowa Workforce Development
150 Des Moines Street
Des Moines, IA 50309

As an alternative, the report may be made to the corresponding Regional Inspector General for Investigations, with a copy simultaneously provided to the Employment and Training Administration. The hotline number is 1-800-347-3756. Using this method, the information should also simultaneously be reported to IWD at the above address.

Complaints of a non-criminal nature are handled under the same procedures as resolution of a monitoring/investigative finding. (See the State Complaint Procedure Section.)

Equal Employment Opportunity

The purpose of this part is to implement the nondiscrimination and equal opportunity provisions of the Workforce Investment Act of 1998 (WIA), which are contained in section 188 of WIA. Section 188 prohibits discrimination on the grounds of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in a WIA Title I - financially assisted program or activity. 29 CFR Part 37 clarifies the application of the nondiscrimination and equal opportunity provisions of WIA and provides uniform procedures for implementing them.

No individual in the United States may, on the ground of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in any WIA Title I - financially assisted program or activity, be excluded from participation in denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any WIA Title I-funded program or activity.

To Whom This Section Applies

- 1) Recipients*;
- 2) Applicants/claimants;
- 3) Participants;
- 4) Employment applicants;
- 5) Employees;
- 6) Grant applicants.

* Recipient means any entity to which financial assistance under WIA Title I is extended, either directly from the Department (DOL) or through the Governor or another recipient (including any successor, assignee, or transferee of a recipient), but excluding the ultimate beneficiaries of the WIA Title I-funded program or activity.

This section does not apply to

- 1) Programs or activities that are financially assisted by the Department exclusively under laws other than Title I of WIA, and that are not part of the Workforce Development Center delivery system (including programs or activities implemented under, authorized by, and/or financially assisted by the Department under, JTPA);
- 2) Contracts of insurance or guaranty;

- 3) The ultimate beneficiary to this program of Federal financial assistance;
- 4) Federal procurement contracts, with the exception of contracts to operate or provide services to Job Corps Centers; and
- 5) Federally-operated Job Corps Centers; The operating Department is responsible for enforcing the nondiscrimination and equal opportunity laws to which such Centers are subject.

Prohibited Actions

For the purposes of this section, "prohibited ground" means race, color, religion, sex, national origin, age, political affiliation or belief, and for beneficiaries only, citizenship or participation in any WIA Title I-financially assisted program or activity.

- 1) A recipient must not, directly or through contractual, licensing, or other arrangements, on a prohibited ground:
 - a) Deny an individual any aid, benefits, services, or training provided under a WIA Title I-funded program or activity;
 - b) Provide to an individual any aid, benefits, services, or training that is different, or is provided in a different manner, from that provided to others under a WIA Title I-funded program or activity;
 - c) Subject an individual to segregation or separate treatment in any matter related to his or her receipt of any aid, benefits, services, or training under a WIA Title I-funded program or activity;
 - d) Restrict an individual in any way in the enjoyment of any advantage or privilege enjoyed by others receiving any aid, benefits, services, or training under a WIA Title I-funded program or activity;
 - e) Treat an individual differently from others in determining whether he or she satisfies any admission, enrollment, eligibility, membership, or other requirement or condition for any aid, benefits, services, or training provided under a WIA Title I-funded program or activity;
 - f) Deny or limit an individual with respect to any opportunity to participate in a WIA Title I-funded program or activity, or afford him or her an opportunity to do so that is different from the opportunity afforded others under a WIA Title I-funded program or activity;
 - g) Deny an individual the opportunity to participate as a member of a planning or advisory body that is an integral part of the WIA Title I-funded program or activity; or
 - h) Otherwise limit on a prohibited ground an individual in enjoyment of any right, privilege, advantage, or opportunity enjoyed by others receiving any WIA Title I-financially assisted aid, benefits, services, or training.
- 2) A recipient must not, directly or through contractual, licensing, or other arrangements:
 - a) Aid or perpetuate discrimination by providing significant assistance to an agency, organization, or person that discriminates on a prohibited ground in providing any aid, benefits, services, or training to registrants, applicants or participants in a WIA Title I-funded program or activity; or
 - b) Refuse to accommodate an individual's religious practices or beliefs, unless to do so would result in undue hardship, as defined in section 37.4.
- 3) In making any of the determinations listed in paragraph (4 of this section, either directly or through contractual, licensing, or other arrangements, a recipient must not use standards,

procedures, criteria, or administrative methods that have any of the following purposes or effects:

- a) Subjecting individuals to discrimination on a prohibited ground; or
 - b) Defeating or substantially impairing, on a prohibited ground, accomplishment of the objectives of either:
 - i) The WIA Title 1-funded program or activity; or
 - ii) The nondiscrimination and equal opportunity provisions of WIA or this part.
- 4) The determinations to which this paragraph applies include, but are not limited to:
- a) The types of aid, benefits, services, training, or facilities that will be provided under any WIA Title I- funded program or activity;
 - b) The class of individuals to whom such aid, benefits, services, training, or facilities will be provided; or
 - c) The situations in which such aid, benefits, services, training, or facilities will be provided.
- 5) Paragraphs (3) and (4) of this section apply to the administration of WIA Title I-funded programs or activities providing aid, benefits, services, training, or facilities in any manner, including, but not limited to:
- a) Outreach and recruitment;
 - b) Registration;
 - c) Counseling and guidance;
 - d) Testing;
 - e) Selection, placement, appointment, and referral;
 - f) Training; and
 - g) Promotion and retention.
- 6) A recipient must not take any of the prohibited actions listed in paragraphs (3) and (4) of this section either directly or through contractual, licensing, or other arrangements.
- 7) In determining the site or location of facilities, a grant applicant or recipient must not make selections that have any of the following purposes or effects:
- a) On a prohibited ground:
 - i) Excluding individuals from a WIA Title I-financially assisted program or activity;
 - ii) Denying them the benefits of such a program or activity; or
 - iii) Subjecting them to discrimination; or
 - b) Defeating or substantially impairing the accomplishment of the objectives of either:
 - i) The WIA Title I-financially assisted program or activity; or
 - ii) The nondiscrimination and equal opportunity provisions of WIA or this part.
- 8) A recipient must not permit participants to be employed or trained in sectarian activities.
- 9) This paragraph applies to any facility that is, or will be, primarily used or inherently devoted either:

- a) For sectarian instruction; or
 - b) As a place of worship,
 - i) A recipient must not permit participants to be employed or trained in any way to:
 - Construct any part of such a facility,
 - Operate any part of such a facility, or
 - Maintain any part of that facility.
- 10) If a facility is not primarily or inherently devoted to sectarian instruction or religious worship, a recipient may permit the use of WIA Title I funds to employ participants to maintain the facility, if the organization that operates the facility is part of a program or activity that provides services to participants.
- 11) The exclusion of an individual from programs or activities limited by Federal statute or Executive Order to a certain class or classes of individuals of which the individual in question is not a member is not prohibited by this part.

Methods of Administration (Reserved)

Additional information will be provided pending clarification from the Department of Labor.

Equal Opportunity Officer

The following entities must identify an individual to serve as the Equal Opportunity Officer as described in 29 CFR part 37:

- 1) IWD State EO officer and Recipient's designated EO officers
- 2) recipients *and* their staffs, including SESAs, State agencies administering WIA Title 1, SDA grant recipients, Substate grantees, service providers, any other public or private agency receiving funds directly or Indirectly under WIA Title I-financially assisted State programs.

State Equal Opportunity Officer

The State's Equal Opportunity Officer serves as liaison with the Civil Rights Center of the Department of Labor and develops and carries out the State's Methods of Administration (MOA). He or she ensures recipient compliance with EO provisions.

The state's Equal Opportunity officer is Harvey Andrews. He is located in the Employee Services section of the Customer Services Division of Iowa Workforce Development in Des Moines at 1000 East Grand Avenue. Phone number (515)-281-3316.

An Equal Opportunity Officer is responsible for coordinating a recipient's obligations under 29 CFR Part 37.

The Equal Opportunity Officer responsibilities include, but are not limited to:

- 1) Serving as the recipient's liaison with the Civil Rights Center;

- 2) Monitoring and investigating the recipient's activities, and the activities of the entities that receive WIA Title I funds from the recipient, to make sure that the recipient and its subrecipients are not violating their nondiscrimination and equal opportunity obligations under WIA Title I and this part;
- 3) Reviewing the recipient's written policies to make sure that those policies are nondiscriminatory;
- 4) Developing and publishing the recipient's procedures for processing discrimination complaints and making sure that those procedures are followed;
- 5) Reporting directly to the appropriate official (including, but not limited to, the State WIA Director, Governor's WIA Liaison, Job Corps Center Director, SESA Administrator, or LWIA grant recipient) about equal opportunity matters;
- 6) Undergoing training at the recipient's expense to maintain competency, if the Director (DOL, CRC) requires him or her, and/or his or her staff, to do so; and
- 7) If applicable, overseeing the development and implementation of the recipient's Methods of Administration.

Discrimination Complaints

Any person who believes that either he or she, or any specific class of individuals, has been or is being subjected to discrimination prohibited by WIA or this part, may file a written complaint, either by him/herself or through a representative.

A complainant may file a complaint with either the recipient or the Director.

Generally, a complaint must be filed within 180 days of the alleged discrimination. However, for good cause shown, the Director may extend the filing time. The time period for filing is for the administrative convenience of CRC, and does not create a defense for the respondent.

Each complaint must be filed in accordance with section 25 of this handbook:

Note: It is the responsibility of all WIA Title I service providers of programs, services, and activities to develop an internal complaint procedure in accordance with the requirements of 29CFR Part 37.76.

Monitoring

State and federal regulations assign responsibility for financial and program compliance monitoring to agencies that receive and disburse the program funds. IWD has established policies and procedures to be followed in the performance of that monitoring. The requirements are intended to promote the effective utilization of public funds while providing procedures to ensure that the objectives of the programs are being met.

Achievement of program goals and program efficiency are the result of sound planning and management decisions. Monitoring provides the State and the regions with a means of evaluating this process. Recommendations for corrective action are tools that IWD uses to provide technical assistance on deficient areas of operation. This section outlines the monitoring responsibilities of IWD and the regions.

State Monitoring Responsibilities

**Revised
Mar 2008**

IWD will conduct two types of monitoring:

- Financial; and
- Program

**Revised
Mar 2008**

Following is an outline of those two types of reviews, the area of responsibility within IWD, and the programs included in those reviews.

Financial and Program Reviews

Financial Compliance Reviews

**Revised
Mar 2008**

Annually, a two financial compliance reviews will be conducted by the Administrative Services Division, Financial Management Bureau. The on-site reviews will be of all programs administered through written agreements involving IWD, the service providers and the fiscal agents. Monitoring will be limited to those contractors of IWD that receive \$100,000 or more during the fiscal year. The monitoring will be performed to ensure compliance with, but is not limited to, the following:

**Revised
Mar 2008**

- 1) Workforce Investment Act (WIA) Handbook;
- 2) Contractual agreements with IWD;
- 3) Generally Accepted Accounting Principles;
- 4) Memorandum of Understanding; and
- 5) Resource Sharing Agreement and Cost Allocation Plans.

Program Compliance Reviews

Revised
Mar 2008

Each year, programs from all 15 regions are monitored by the Workforce Development Center Administration Division. The reviews focus on the WIA program and are conducted by IWD's Workforce Program Coordinators. The on-site reviews will include, but are not limited to, the following:

- Activities and services;
- Applicant and participant process;
- Participant eligibility and verification;
- Participant file review;
- Local plans; and
- Program performance.

Revised
Mar 2008

Revised
Mar 2008

Revised
Mar 2008

The Workforce Program Coordinators ensure local compliance with the applicable state and federal regulations that govern the activities mentioned above.

Reporting and Follow-up

Reporting and follow-up for both financial and program monitoring involves three separate steps.

1) Initial Determination

Separate Initial Determination letters are completed by the applicable Division and Bureau for each on-site visit. The report shall include:

- a) A description of findings which includes specific references to the standards, policies or procedures which have been violated;
- b) If necessary, recommended and required corrective action to be implemented by the contractor;
- c) A description of any questioned costs, including the amount; and
- d) Time frames for completing any corrective action and responding to the initial report.

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Mar 2008

Revised
Mar 2008

Each finding within the Initial Determination will identify the entity responsible for responding to that comment. The contractor will coordinate this effort and ensure that the responses are compiled and submitted to the appropriate individual at IWD within 20 calendar days from the date of the Initial Determination.

2) Final Report

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A final report will be issued to the Contractor within 20 calendar days after receipt of the response from the Contractor. The final report will state IWD's determination on all findings that required a response and the notification of the right to appeal the final report. If any findings are unresolved or if costs are disallowed, the letter will also include:

- a) A description of the unresolved finding(s);
- b) A citation or reference to the applicable regulations or policies on which the finding was based;
- c) The final report of IWD on each unresolved finding; and
- d) If there are disallowed costs, the amount of costs disallowed and notification that an initial demand letter will be sent.

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Copies of the final report will be sent to each Region's RWIB and CEO Board. Additionally, each IWD team responsible for Financial Compliance Reviews and Program Compliance Reviews will share copies of each final report.

3) Follow-up

Follow-up on findings identified will be conducted during the following fiscal year's review. The follow-up will review corrective actions taken in response to those findings. Follow-up will be conducted by the IWD group that initiated the original comment or finding.

Appeals

**Revised
Mar 2008**

The Service Provider may submit an appeal of a final report within 15 calendar days of the date of the final report. The appeal must be directed to the Workforce Development Center Administration Division of IWD and to the attention of the Division Administrator. The request for an appeal must also include a copy of the final report on and the basis for the appeal.

Appeals will be reviewed by a three-member Appeal Committee from IWD within 30 days of receipt and shall include the Division Administrator, Workforce Development Center Administration Division and the Division Administrator, Administrative Services Division. The third member shall be chosen from other management staff at either the Workforce Development Center Administration Division or the Administrative Services Division. When the appeal is due to an audit or financial compliance review, the third member will be from the Workforce Development Center Administration Division. When the appeal is due to a program compliance review, the third person will be from the Administrative Services Division. None of these individuals may have been involved in the on-site monitoring, audit resolution process or final determination that resulted from the original finding(s).

A decision on the appeal will be rendered by a majority vote of the Appeal Committee. If they cannot arrive at a decision, the Deputy Director or Director of IWD shall make the final decision. A final decision must be made in writing within 30 days of receipt of the appeal. If, after the appeal process is completed, disallowed costs are determined (when applicable) the debt collection process identified in this handbook must be followed.

Regional Monitoring Responsibilities

The Workforce Investment Act and its implementing regulations assign responsibilities for monitoring to a variety of administrators, policy makers and operators within the WIA delivery system. These monitoring requirements are intended to promote the effective utilization of public funds while providing procedures to ensure that the objectives of the program are met.

The establishment and maintenance of a monitoring system is necessary to qualify for a waiver or imposition of sanctions for some types of negative audit and monitoring findings.

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This section outlines the monitoring responsibilities of all WIA Service Providers. Iowa Workforce Development's procedures are outlined in the Performance (Section 19) and Compliance Review (Section 24) subsections of this Handbook

The Contractor's financial monitoring of sub-recipients will be consistent with the guidelines established in this section for financial monitoring including, but not limited to, a review of overhead payments, client payments, reconciliation of expense and revenue reported and verification of staff wages paid in compliance with federal regulations. All monitoring that is completed will be in compliance with the WIA Handbook.

Required Components of a Monitoring System

Monitoring Activities

The monitoring system must ensure that participant and contract monitoring activities are conducted as outlined in this subsection.

FOR ALL PROGRAMS:

Once during each program year, the WIA Service Provider must monitor each contract written for \$25,000 or more. The WIA Service Provider must also monitor the following:

- 1) A random sample of 10 percent of all non-OJT financial contracts under \$25,000 which start during the quarter;
- 2) A random sample of 10 percent of non-financial activity of service contracts which start during the quarter; and
- 3) A random sample of 10 percent, **but not less than 10**, of all participant files of participants enrolled or transferred into adult, dislocated worker and youth programs during the quarter.

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These random samples must be drawn quarterly and the monitoring activity for the quarter must be completed at the end of the subsequent quarter.

In addition, all On-the-Job training contracts must be monitored during the second 30 day period of activity under the contract and at least every 90 days thereafter.

Sampling Procedures

The monitoring system must have procedures for drawing random samples from the participant file universe and from the contract universe. These procedures must ensure that the sampling is random and that the requirements are met.

FOR ALL PROGRAMS:

- 1) Participant Files
 - a) The monitoring sample must be drawn after the end of the quarter being sampled and monitored but no later than 30 days after the last day of the quarter being sampled;

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- b)** A participant co-enrolled in more than one program must be included in the universe for each program in which the participant is enrolled;
- c)** A participant must be included in the sample only in the quarter the participant is enrolled; and
- d)** A participant who has been transferred must be included in the sample for the quarter during which the transfer occurred.

2) Contracts

- a)** The 10 percent monitoring sample of all non-OJT contracts below \$25,000 must be drawn after the end of the quarter being sampled and monitored but no later than 30 days after the quarter being sampled; and
- b)** A contract must be included in the sample for the quarter within which its effective date falls.

The monitoring system must be designed to review compliance with all applicable State and federal laws and regulations. Following are the compliance review requirements for completing the two basic types of monitoring, participant file and contract monitoring. The following requirements apply to all programs.

1) Participant File Monitoring must include a review of:

- a)** The participant record including a review of the eligibility determination;
- b)** A sample of direct payments to the participant;
- c)** A sample of time and attendance records; and
- d)** Compliance with federal and State regulations and the Regional Customer Service Plan.

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2) Contract Monitoring, including OJT contracts, must include a review of:

- a)** The service provider record;
- b)** A sample of fiscal transactions;
- c)** Payroll and time and attendance records, as appropriate;
- d)** Compliance with the federal and State regulations and the Regional Customer Service Plan;
- e)** Compliance with equal opportunity regulations;
- f)** Compliance with Service Plan; and
- g)** Compliance with the Work Statement, Training Outline and all other contract provisions contained in the Contract.

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Monitoring Reports

The monitoring system must include a method of documenting that the monitoring activity has taken place. In order to meet the documentation requirement, a monitoring report on each contract or participant monitored must be prepared and maintained along with documentation of corrective action required and taken. Any findings and corrective action to be taken must be

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transmitted to the monitored entity in writing. If the monitoring results in no findings requiring corrective action, this information may be communicated at the exit interview or in writing.

If a co-enrolled participant is drawn in the sample for more than one program for the same quarter, only one monitoring report, which includes both monitoring activities, may be completed.

Summary of Monitoring Reports

A summary report of monitoring activity must be completed for all programs. These summary reports must be maintained and available for Iowa Workforce Development use in its program compliance review process.

FOR ALL PROGRAMS:

A summary report must be completed for each program monitored for each quarter by the end of the subsequent quarter and must include:

- 1) A list of all participants enrolled or transferred into a program during the quarter;
- 2) A list of all participants that were monitored during the quarter;
- 3) A list of all contracts for \$25,000 or more with effective dates that fall within the quarter;
- 4) A list of all OJT contracts that were active during the program year with effective dates;
- 5) A list of all non-OJT contracts (financial and non-financial) for less than \$25,000 with effective dates that fall within the quarter;
- 6) A list of all non-OJT contracts that were monitored during the quarter; and
- 7) A list of OJT contracts that were monitored including the dates monitored.

In place of the lists in items (a), (b) and (d) above, a computer generated list derived from the program provided by Iowa Workforce Development can be used. The above required lists may be included in one document or can be separate documents.

Policies, Procedures and Timeframes

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A monitoring plan containing written policies, procedures and timeframes for the following must be developed and described in the Regional Customer Service Plan:

- 1) Monitoring activities;
- 2) Reporting;
- 3) Random sampling of participant files and contracts;
- 4) Corrective action; and
- 5) Sanctions.

Section

29

Allocation/Reallocation Process

RESERVED

Procurement

This section contains the standards and guidelines for the procurement of supplies, property and services for selected IWD programs. These standards are furnished to ensure that such materials and services are obtained efficiently, economically and in compliance with applicable federal and State regulations. All references to “contractor” within this section are applicable to grantees, sub-recipients, Coordinating Service Providers and WIA Service Providers.

Elements of a Procurement System

A contractor receiving federal or State funds from IWD, and conducting its own procurement, must have written procurement procedures. The procedures must be consistent with applicable State and local laws and regulations, the procurement standards set forth in this section and the regulations as described in:

- 29 CFR Part 95 for institutions of higher education and non-profit organizations; or
- 29 CFR Part 97 for State and local government organizations.

State and federal procurement laws and regulations, including the procurement standards set forth in this section, take precedent over any contractor procurement policies and procedures.

The written procurement policies and procedures of each contractor must include, at a minimum, the following elements:

- Authority to take procurement actions;
- Standards of conduct;
- Methods of procurement;
- Solicitation procedures; and
- Documentation requirements.

Each of these elements is described in detail below.

Procurement Standards

Procurement must be conducted with complete impartiality, without preferential treatment of anyone, in a manner that provides maximum open and free competition and must be documented.

Contractors must conduct competitive procurement except under the circumstances listed under the Solicitation subsection below as part of the *Sole Source (Non-competitive) Procurement* item. Modifications to a contract that substantially change the statement of work of that contract require competitive procurement.

The following situations are examples of restriction of competition that must be avoided:

- 1) Placing unreasonable requirements on firms or organizations in order for them to qualify to do business;
- 2) Requiring unnecessary experience and excessive bonding;
- 3) Writing requirements for a procurement so narrowly that they favor a potential service provider or vendor;
- 4) Noncompetitive pricing practices between firms or organizations or between affiliated companies or organizations;
- 5) Noncompetitive awards to consultants that are on retainer contracts;
- 6) Organizational conflict of interest;
- 7) Specifying only a “brand name” product, instead of allowing “an equal” product to be offered and describing the performance of other relevant requirements of the procurement;
- 8) Overly restrictive specifications; and
- 9) Any arbitrary action in the procurement process.

The contractor’s procurement system must include policies relating to all of the standards in this section. In most cases, these standards can be adopted as written. However, in some cases, such as *Authority to Take Procurement Actions*, decisions must be made at the local level and developed into written policies.

Procurement Policy Elements

A. Authority to Take Procurement Actions

The authority policies must include the position title(s) of the individual(s) with the authority to perform the following functions:

- 1) Initiation of procurement actions;
- 2) Selection of entities for receipt of awards;
- 3) Signing purchase agreements, contracts and modifications thereof; and
- 4) Termination of contracts.

Different individuals may have authority for different types or dollar amounts of procurement. Where Local Elected Officials or members of the RWIB have a full or partial role in procurement, that role must be described as part of the policies under *Authority to Take Procurement Action*.

B. Standards of Conduct

Standards of conduct for procurement must include policies regarding the following:

1) **Conflict of Interest**

An individual in a decision-making capacity, including staff, RWIB members, CEO board members and other council members, must not engage in any activity including the design, selection, award or administration of a purchase agreement or contract supported by any funds under contract with the fiscal agent, sub-recipient, or designated service provider by IWD if a conflict of interest, real or apparent, would be involved. This is described in more detail in the Financial Management section of the handbook.

2) **Confidentiality and Non-Disclosure**

Information must not be disclosed to anyone who is not directly involved in the procurement process relating to the intent to implement a procurement, the amount of funds available, or any related data, until that information is made known to all bidders through a notification of the intent to solicit or dissemination of a Request for Proposal (RFP) or Request for Quote (RFQ).

Technical and cost/price information from any proposal must not be disclosed to anyone not officially involved in the procurement process while the procurement is still in progress.

Certain technical or proposal information that a bidder has designated as proprietary or trade secret, and with which the fiscal agent, sub-recipient or designated service provider concurs, must not be disclosed to other bidders even after the award is made and publicized.

The number or names of bidders must not be disclosed to anyone not officially involved in the procurement process until the contract is awarded and the decision is made public.

3) **Disclosure**

The announcements of solicitation requirements, including proposal evaluation factors that will be used to assess bids or proposals, must be released to all bidders at the same time.

Information given in response to a question from one bidder must be shared with all known potential bidders.

4) **Prohibited Actions of Staff or Council Members**

Individuals involved in the procurement processes that are predisposed either for or against any potential service provider or vendor must withdraw from the procurement process.

Individuals involved in a procurement process must not solicit nor accept any payment, gratuity, favor, offer of employment, kickback or anything of monetary value from fiscal agents, sub-recipients, designated service providers, service providers or vendors, or potential service providers or vendors.

Staff and council members involved in the procurement process must not attempt to influence procurement decisions of individuals involved in the procurement process.

Any individual involved in a procurement process must not be employed by any bidder for that same procurement.

5) **Penalties, Sanctions and Disciplinary Actions**

Contractors must provide for penalties, sanctions or other disciplinary actions for violations of standards of conduct by the contractor's officers, staff, or agents, council members or by bidders, sub-recipients, service providers, vendors or their agents.

Any attempt by a potential contractor or vendor to make any payment, gratuity or offer of employment or kickbacks to any individual involved in a procurement process must lead to disqualification of that entity's proposal.

C. **Methods of Procurement**

There are three types of allowable procurement procedures: Request for Quotations (RFQ), Request for Proposals (RFP), and sole source.

1) **Request for Quotations (RFQ)**

An RFQ is used when the supplies, property or service to be procured have been specifically defined and price quotes or bids are being sought to provide such supplies, property or service.

When an RFQ method is used, the RFQ must provide a clear and accurate description of the technical requirements for the supplies, property or services to be procured, as well as identifying all requirements which the bidders must fulfill and all other factors to be used in evaluating bids or proposals. It must also designate a period of performance or the date by which supplies, property or services must be delivered.

All quotes received on any RFQ, whether written or verbal, must be documented regardless of the amount of the proposed purchase.

2) **Request for Proposals (RFP)**

An RFP is appropriate when the supplies, property or services to be procured have not been specifically defined and proposals which further describe what will be provided are being sought, and will be evaluated on technical and other factors in addition to cost, price and timely delivery. Proposals received for which a direct comparison of price and cost for the same or substantially equivalent types of supplies, property or services cannot be made must be treated as Sole Source procurement.

A Request for Proposal must contain:

- a) A clear and accurate description of the technical requirements for the supplies, property or services to be procured, the period of performance or date by which the supplies, property or services must be delivered and the requirements for the location and method of delivery;
- b) The contract clauses that will be included in any resulting contract or purchase order;
- c) Certifications, assurances and representations that the potential service provider will have to make including, at a minimum:

- i) An assurance that to the best of the bidder's knowledge and belief, the cost data are accurate, complete and current at the time of the proposal;
 - ii) A guaranteed period of time for which the proposal is good;
 - iii) An assurance that the bidder is not debarred or suspended;
 - iv) An assurance that the bidder will comply fully with the nondiscrimination and equal opportunity provisions of fiscal agent, designated service provider or sub-recipient; and
 - v) An assurance of timely delivery.
- d) Instructions on how to prepare and submit the proposal, including any required format;
 - e) All requirements that the bidder must fulfill;
 - f) Evaluation factors and criteria that will be used to judge the proposals; and
 - g) Timelines for submittal and review of the proposal and the manner in which late proposals will be treated.

3) Sole Source (Non-competitive) Procurement

Sole source or non-competitive procurement may be used only when competitive procurement processes are not feasible or they may have a negative impact upon the program. In those limited situations described below, procurement may be conducted on a negotiated rather than a competitive basis.

Except for the circumstances described in items (a) through (e) below, a written solicitation with a statement of work must be issued for all sole source procurement and a written proposal, including cost and price, must be obtained from the potential service provider or vendor. In all instances except item (a) below (i.e., single purchases of supplies, equipment or services totaling less than \$5,000 in the aggregate), the use of sole source procurement must be justified and documented in writing, as described in "Documentation" of this subsection.

For circumstances described in item (a) below, the fiscal agent, designated service provider or sub-recipient must ensure that the purchase price is reasonable in relation to similar products or services that are available; however, additional written documentation of that determination is unnecessary. In such cases, the fiscal entity's usual fiscal records will provide sufficient documentation.

The circumstances or situations under which sole source procurement is allowable are limited to the following:

- a) Any single purchase of supplies, equipment or services totaling less than \$5,000 in the aggregate;
- b) Single participant Work Experience, Vocational Exploration, Limited Internship and On-the-Job Training contracts;
- c) Enrollment of individual participants in Institutional Skills Training;

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- d) All other individual training or services contracts involving only one participant, except where such contracts include the purchase of property. Such property must be purchased through competitive procedures;
- e) Activities and services, other than those in (b) and (d) above, which are provided by the fiscal agent, designated service provider or sub-recipient when a determination of demonstrated performance clearly documents the staff's ability to provide the training or services;
- f) A modification to a contract that does not substantially change the statement of work of that contract;
- g) After solicitation of an adequate number of sources only one acceptable response was received;
- h) Any single service or workshop costing less than \$5,000 identified in the Regional Customer Service Plan;
- i) Supplies, property and services that have been determined to be available from a single source; and
- j) An emergency situation for which IWD or applicable governing boards provides written approval.

D. Solicitation

Solicitation is the process by which offers or bids are obtained from potential sub-recipients, service providers or vendors.

In order to ensure that an adequate number of bids or proposals are solicited, each fiscal agent, designated service provider and sub-recipient must maintain a list of potential service providers or vendors. The list should include as many potential service providers or vendors as possible and can be developed by collecting the names of interested parties from "intent to solicit" meetings and publicity and from directories of appropriate service providers and vendors.

The list must be updated on a periodic basis by removing defunct service providers and vendors and service providers and vendors that have not demonstrated any interest for a given time. Potential service providers and vendors that have shown interest must be added to the list, regardless of their geographical location. The list must include community-based organizations, small and minority businesses and women's business enterprises that normally provide employment and training related services.

All potential service providers or vendors on the fiscal agent's, designated service provider's, and sub-recipient's lists must be given the opportunity to submit a bid or proposal, regardless of geographical location.

All procurements for any supplies, property or services with an anticipated value of \$10,000 or more in the aggregate must be publicly advertised.

E. Documentation

All steps of the procurement process must be documented **in accordance with 29 CFR Part 95 or 29 CFR Part 97** (as appropriate) including solicitations, selection process, contract

negotiations and award. In addition, all documents (e.g., proposal review forms, cost analysis work papers, etc.) developed during the procurement process must be maintained as required in the Record Keeping and Maintenance subsection.

If procurement requires IWD approval, a copy of that approval must also be retained.

For competitive procurement through RFQ's and RFP's, the following must be documented:

- 1) The name and title of the individual initiating the procurement process;
- 2) The date the procurement process was begun (i.e., the date of the decision to procure);
- 3) Information relating to the amount and source(s) of available funds;
- 4) The description of the supplies, property, or services to be procured;
- 5) A list of service providers who received direct solicitations, and any publications which were made; or, for RFQ's when verbal solicitations were conducted, the name of the individual contacted and the name of the individual making the contact;
- 6) The prices or proposals received;
- 7) For RFP's, a copy of the request which was released, a copy of all proposals received and the evaluations of proposals received;
- 8) The name(s) of bidder(s) selected for award;
- 9) When the lowest cost offer is not accepted, additional justification for the selection;
- 10) The name, title and signature of the individual with final approval authority.

In addition to the items listed above, Sole Source procurement, other than those described under item (a) on page 7 of this subsection, must also include the following documentation:

- 11) The justification for why the Sole Source method was used;
- 12) A description of the proposed service provider's or vendor's unique or special capacity to fill the requirement;
- 13) A description of actions that were taken to obtain more than one quote or offer, where applicable; and
- 14) Any other facts that support the use of Sole Source.

Property

This section contains the requirements and guidelines regarding the acquisition, management and maintenance of property purchased using IWD funding sources.

The term property, as used in this section, means a tangible item having a useful life of more than one year. In addition, it must meet one or more of the following tests:

Revised
Mar 2008

- 1) The original acquisition value of the unit is **\$5,000** or more;
- 2) It involves the purchase of like items that individually cost less than **\$5,000**, but the cumulative cost will exceed that amount during the fiscal year. Specifically, furniture with an estimated cumulative acquisition cost of **\$5,000** or more in one of the following categories: bookcase, file cabinets, chairs, desks, tables, credenzas, stands, shelving or modular furniture; or

Revised
Mar 2008

- 3) It involves the purchase of a personal computer (PC) logic units (hard drives, routers, servers, hubs, etc.) or monitor with an original acquisition cost of **\$5,000** or more; or
- 4) Items of any cost are being purchased with a cumulative acquisition cost of **\$5,000** or more per fiscal year.

Property Acquisition

Property purchased with funds received through IWD must be acquired in accordance with the standards in this handbook. **Prior approval must be obtained from Iowa Workforce Development before purchasing:**

Revised
Mar 2008

- 1) Any property with a unit acquisition value of **\$5,000** or more. Requests for prior approval of such items must be made in writing through the IWD **Budget Analyst assigned to the region.**

Revised
Mar 2008

- 2) All PC logic units (hard drives, servers, routers, hubs, etc.). Requests for prior approval of such items must be made through the **Information Technology Bureau of IWD.** Prior approval is necessary to ensure compatibility with the IWD-supported ICS system. Therefore, purchase or lease-purchase of all computer hardware and software that is to be used in conjunction with the delivery of the Regional Customer Service Plan and the sub-recipient's electronic reporting system shall require prior approval. A complete description of the equipment (including vendor, model, specifications, price and how it will be used) must be sent to:

Iowa Workforce Development
Information Technology Bureau
1000 E. Grand
Des Moines, IA 50319

Revised
Mar 2008

Computer equipment that does not meet the minimum standards as provided by the **Information Technology Bureau** may not be approved for purchase. If purchased with other funds, technical support may not be provided by IWD.

Real property, including real estate and land, must not be purchased with funds received through IWD.

Property Management

Title to all property purchased with IWD funds, including participant property, is vested with the State if the State is the majority owner. (If more than one agency contributed funds for the purchase of property, the majority owner is the entity that provided the largest portion of funds. In instances in which entities contributed the same amount of funding, the state is considered the majority owner.)

Revised
Mar 2008

A pre-numbered IWD property tag must be affixed to all property with a unit acquisition value of **\$5,000** or more. An unnumbered IWD property tag must be affixed to all property with a per-unit cost of less than **\$5,000**. Pre-numbered and unnumbered tags will be provided to each region.

Revised
Mar 2008

Equipment with an original acquisition cost of **\$5,000** or more, and purchased through IWD funding sources, will be tagged and entered onto the system by authorized field staff. The field staff must also send copies of the documentation for all purchases of **\$5,000** or more to the Business Management unit of IWD for audit purposes. The documentation must include a copy of the purchase request or other written approval of management to purchase the item, receiving report, invoice and copy of the inventory record that has already been entered into the system. Originals of the **above**-mentioned documents should be retained by the fiscal agent for audit purposes.

At a minimum, an inventory of all property must include the following:

- 1) Property tag number;
- 2) Description of the property;
- 3) Stock or identification number, including model and manufacturer's serial number, when applicable;
- 4) Manufacturer;
- 5) Purchase date;
- 6) Purchase order number, when applicable;
- 7) Unit cost;
- 8) Location of property;
- 9) Condition of property;

10) Disposition of property as applicable; and

11) Grant agreement number.

A physical observation of all property must be conducted by the service provider prior to the end of each fiscal year on June 30. A complete inventory list must be provided to Iowa Workforce Development in each fiscal year's close-out package.

Data Processing Equipment

Revised
Mar 2008

Data Processing equipment with an original acquisition cost of **\$5,000 or greater** will be tagged with a pre-numbered IWD property tag and added to inventory. Data Processing equipment with an original acquisition cost less than **\$5,000** will not be tagged and will not be kept on IWD's inventory nor included in IWD's GAAP report. However, DP equipment records will be kept on the inventory software for DP maintenance and support purposes only. Aggregate accounts may need to be set up depending on the cumulative cost. The DP equipment with an original acquisition cost between \$50.00 and \$4,999.00 that also has a serial number should be kept on the inventory software. Examples of which equipment that may include are PC's, PC monitors, terminals, laptops, printers, servers, control units, hubs, modems, routers, external tape backup units, convenience bases, external CD ROM drives, external hard drives, scanners, etc.

IMPORTANT: Any internal pieces purchased in additional to the original cost of the PC control unit or printer should NOT be included when determining the original acquisition cost.

Revised
Mar 2008

Authorized field personnel should enter equipment that has an original acquisition cost of **\$5,000 or greater (tagged) or less than \$5,000 (untagged)** into the inventory software. Documentation does not need to be provided to Business Management for data processing equipment costing less than \$5,000 since these items will not be part of the audit or GAAP report.

Property Maintenance

Revised
Mar 2008

The CSP is responsible for coordinating the property reporting system. All new purchases of property shall appear on the books of account of the entity that provided the check or warrant to pay for the property. The **service provider** must ensure that property inventories accurately reflect all new purchases and must maintain accurate property inventories for those items under its control. The entity that is majority owner of a piece of property is responsible for ensuring that property is used for program objectives and for tracking the property.

Revised
Mar 2008

In general, liability for property shall reside with the **service provider** having custody of the property. A control system to ensure adequate safeguards are taken to prevent loss, damage or theft of any property must be developed and implemented. Any loss, damage or theft must be investigated by the **service provider** to whom the property is assigned. Such instances must also be reported to local law enforcement, the CSP and IWD. Responsibility for property may be assigned to an entity other than the **service provider** with prior approval of IWD.

Maintenance procedures must be established and implemented to ensure maintenance of the property in good condition. All costs incurred from such procedures are allowable program costs.

Property Use

All property purchased with IWD funds or transferred from programs under the authority of IWD must be used to meet program objectives and the needs and priorities identified in the Regional Customer Service Plan.

Property purchased with IWD funds must be used by the Coordinating Service Provider (CSP) in the program or project for which it was acquired, as long as it is needed for that project or program. When no longer needed for the original program or project, the property may be used in other activities supported by IWD.

IWD-purchased property may be made available for use on other projects or programs providing such use will not interfere with the work on the project or program for which it was originally acquired. Priority should be given to other programs or projects supported by IWD.

IWD property may not be used to compete unfairly with private companies that provide equivalent services.

Property Disposition

Property may be disposed locally or to the state administrative office. The method of disposal may be the outright disposal by local waste agencies of items that are either unusable, unsafe or are currently of immaterial value. Those items that do not fit this definition may be sold locally, using a public process, to generate program income.

Prior to disposing of the property the IWD Regional Manager needs to sign off approval to get rid of the equipment and remove it from the inventory software. Field offices may dispose of the property locally at no cost to the state. If unable to dispose locally, a list including make, model number, serial number and tag number for each item, should be submitted to Business Management to schedule a time for pick up. It is the responsibility of the authorized individuals in the field to remove the surplus items from both the inventory software and aggregate accounts. The same procedures must be followed when donating equipment to a school, etc.

Data processing equipment may be disposed locally, however, a list of the equipment to be disposed must be sent to the Information Technology Bureau of IWD notifying them of the intent to surplus. The Information Technology (IT) Bureau will determine if there is need for the equipment in another part of the state. **The IWD Financial Management Bureau must be notified of any items that have been deleted from the inventory system. This should be done within 30 days of the disposition.**

Revised
Mar 2008

All equipment and/or furniture with a current market value of **\$5,000** or more **MUST** be returned to the administrative office to be disposed of according to federal guidelines. A copy of the field office documentation (list of equipment deleted and authorization letter) must be sent to Business Management where it will be kept for the auditors.

Revised
Mar 2008

Equipment from other programs may be included with IWD's surplus equipment.

IMPORTANT: Please trade in copiers and fax machines since toner contains hazardous chemicals that require proper disposition to comply with the Environmental Protection Agency (EPA) regulations for disposal. IWD cannot take copiers and faxes to state surplus so will not accept them from the field as surplus.

Requests to dispose of property are to be sent to:

Financial Management Bureau
Iowa Workforce Development
1000 East Grand Avenue
Des Moines, Iowa 50319

Any funds generated from sale of property are to be considered program income and must be used to further the objectives of the program(s) that paid for that property originally. If that funding source no longer exists, then the program income generated must be used for other allowable employment or training activities. In cases where the property was purchased from multiple funding sources, the program income generated may be attributed to the funding source that paid the greatest share of the cost of the property. Otherwise, the program income must be allocated by the same percentages as were used to purchase the property originally.

The **Financial Management Bureau** of Iowa Workforce Development should be contacted regarding the receipt, expenditure and reporting of program income.

Revised
Mar 2008

Financial Management Bureau
Iowa Workforce Development
1000 East Grand Avenue
Des Moines, Iowa 50319

Financial Management

The purpose of this section is to provide information regarding general requirements of a financial management system. Each section provides general comments about varying aspects of financial activity and shall not be interpreted as the only standards by which a region may be held accountable. All references to “contractor” within this section are applicable to grantees, subrecipients, Coordinating Service Providers, and WIA Service Providers. Allowable costs shall be determined in accordance with the Office of Management and Budget (OMB) Circulars applicable to the various entities administering the Workforce Investment Act. They are as follows:

- State and Local Governments, OMB Circular A-87;
- Non-Profit entities, OMB Circular A-122; and
- Institutions of Higher Education, OMB Circular A-21.

In addition, Appendix E of 45 CFR part 74, applies to hospitals receiving research and development grants.

Nothing in this section shall supersede the requirements placed on each entity as promulgated by the applicable OMB Circular. This includes:

- 1) Factors which affect allowable costs;
- 2) Reasonable costs;
- 3) Allocable costs;
- 4) Applicable credits;
- 5) Direct costs;
- 6) Indirect or Facility and Administrative (F&A) costs;
- 7) Allowable costs as defined in “Selected Items of Cost,” per OMB Circulars referenced above.

Additional regulations applicable to contractors are found in 29 CFR, Part 97 for State and Local Governments and Part 95 for Institutions of Higher Education, Hospitals and other Non-Profit Organizations. Exceptions to those rules are:

- 1) Procurement contracts and other transactions between local boards and units of state and local governments must be conducted only on a cost reimbursement basis;
- 2) Program income shall be calculated based on the methods outlined in the Program Income subsection below.
- 3) Any excess revenue over expenditures incurred for services provided by a governmental unit or non-profit, must be considered program income.

General Requirements of a Financial Management System

Financial systems should provide fiscal controls and accounting procedures that conform to Generally Accepted Accounting Principles (GAAP) as they relate to programs administered. A financial management system must also have certain procedures in place to assure that the system meets the requirements of state and federal laws and regulations.

Financial Management System Standards

To be in accordance with GAAP, a financial system must include:

- 1) Information pertaining to grant and appropriated funds, obligations, unobligated balances, assets, expenditures, and income;
- 2) Effective internal controls to safeguard assets and assure their proper use;
- 3) A comparison of actual expenditures with budgeted amounts for each grant and appropriation;
- 4) Source documentation to support accounting records; and
- 5) Procedures to determine that costs are allowable, consistent and accurately allocated to the appropriate programs and cost categories.

A financial management system must be designed to:

- 1) Permit preparation of required reports, which are uniform in definition;
- 2) Permit the tracing of funds to a level of expenditure which demonstrates funds have not been used in violation of the state and federal laws and regulations, and contract General/Special Provisions;
- 3) Permit the tracing of program income and potential stand-in costs;
- 4) Demonstrate compliance with matching requirements;
- 5) Be accessible to authorized federal and state staff; and
- 6) Provide verifiable records for monitoring, reporting, audit, program management and evaluation purposes.

Procedural Requirements

A financial management system must have procedures in place to ensure that:

- 1) Obligations and expenditures are planned, controlled, recorded, and reported against line items, cost categories, programs and program years, as applicable;
- 2) Cash and accrued expenditures are reported by each funding source listed in the budget summary: program, program year, cost category and line item;
- 3) Financial records are kept that accurately and properly reflect program costs by allowable cost categories and line items, as applicable;
- 4) Reports are accurate and submitted on time;
- 5) Compliance with the state and federal laws and regulations, and contract General/Special Provisions is maintained;
- 6) Costs incurred are necessary, reasonable, and allocable (according to the applicable OMB Circular);
- 7) Cash on hand is kept to a minimum and consistent with the subrecipient's ability to draw funds;
- 8) Any working capital advance payments are kept to a minimum, and in compliance with policies in this section;
- 9) Program income is identified including controls to ensure the proper reporting, use, and accountability of those funds;
- 10) Any interest earned on advances of funds is documented and reported;
- 11) Allowable match is determined, documented and reported;
- 12) Information necessary to evaluate the effectiveness of the program is documented;
- 13) Time and attendance information is maintained;
- 14) A proper request for reimbursement is paid as promptly as possible after receipt;
- 15) There are assurances that funds will be maintained in a Restricted Fund.

In addition, a financial management system must include accounting procedures for:

- 16) Coding of obligations and expenses to each program, cost category and line item, as applicable;
- 17) Reviewing, editing, and approving expenditures prior to payment;
- 18) Reconciling books of account with bank statements;
- 19) Posting transactions to books of account;
- 20) Preparing trial balances;
- 21) Preparing financial reports by funding source as listed in the budget summary and contract Special Provisions;

- 22) Maintaining a petty cash system, if one is used;
- 23) Maintaining a cash receipt and disbursement system;
- 24) Distributing joint costs;
- 25) Safeguarding unsigned and signed checks;
- 26) Maintaining a payroll system; and
- 27) Maintaining individual specific job descriptions on all staff that charge time to programs administered. If standard job descriptions maintained do not address actual activities performed by staff, then an individual specific job description would be necessary.

Program Income

Program income means income generated by a program-supported activity or earned only as a result of the contract. Program income includes:

- 1) Income from fees for services performed and from conferences;
- 2) Income from the use or rental of property acquired with contract funds;
- 3) Income from the sale of commodities or items fabricated under a contract;
- 4) Income generated due to revenue in excess of expenditures for services rendered, when provided by a governmental unit or non-profit entity.

Program income does not include:

- 5) Interest earned on grant funds, rebates, credits, discounts, refunds, or any interest earned on any of them. Such funds shall be credited as a reduction of costs if received during the same funding period. Any credits received after the funding period must be returned to IWD;
- 6) Taxes, special assessments, levies, fines, and other governmental revenues raised by a contractor;
- 7) Income from royalties and license fees, copyrighted material, patents, patent applications, trademarks, and inventions developed by a contractor;
- 8) Any other refunds or reimbursements, such as such as Pell Grant reimbursement. (Such funds shall be credited back to the program that incurred the original costs.)
- 9) Any other funds received as the result of the sale of equipment. (Such funds shall be credited back to the program that incurred the original costs.)

Costs incidental to the generation of program income must be deducted, if not already charged to the grant, from gross program income to determine net program income.

Net program income earned may be retained and not sent back to IWD, if such income is added to the funds committed to the particular program under which it was earned. Net program income must be used for allowable program purposes, and under the terms and

conditions applicable to the use of that program's funds. Program income generated may be used for any allowable activity under the program that generated that income.

All net program income generated and expended must be reported to IWD each month on the Financial Status Report. Documentation of the use of net program income must be maintained on file.

The classification of costs, including cost limitations, apply to net program income. Net program income must be disbursed prior to requesting additional cash payments. Net program income not disbursed prior to the submittal of the annual closeout reports must be returned to IWD.

If the net program income cannot be used by the region that generated such income, for allowable purposes, the funds must be returned to IWD. IWD may permit another region to use the net program income for allowable purposes.

Any net program income not used in accordance with the requirements of this section must be returned to IWD.

Working Capital Advance Payments of Federal Funds

Reimbursement is the preferred method for payment. However, the subrecipient may provide working capital advance payments to contractors (for federal funds only) – although not vendors or training providers -- after determining that:

- 1) Reimbursement is not feasible because the contractor lacks sufficient working capital;
- 2) The contractor meets the standards of this section governing advances to contractor;
- 3) Advance payment is in the best interest of the grantee or subrecipient; and
- 4) The reason for needing an advance is not the unwillingness or inability of the grantee or subrecipient to provide timely reimbursements to meet the contractor's actual cash disbursements.

If the conditions above are met, working capital advance payments may be made to contractors by use of one of the two procedures outlined below:

- 1) Cash is only advanced (through check or warrant) to the contractor to cover its estimated disbursement needs for an initial period, generally geared to the contractor's disbursement cycle, but in no event may the advance exceed 20 percent of the contract amount and after the initial advance, the contractor is only reimbursed for its actual cash disbursements; or
- 2) Cash is advanced electronically on a weekly basis similar to the system maintained between IWD and its contractors. Drawdowns and expenditures must be timed in a way that minimizes the delay between the receipt and actual disbursement of those funds.

Cost Allocation

The methods of cost allocation identified in this subsection are not all inclusive. Any method chosen must be consistent with cost allocation principles as defined in the OMB Circular

applicable to the contractor. Examples of possible methods of allocation are included in this subsection.

Any single cost which is properly chargeable to more than one program or cost category is allocated among the appropriate programs and cost categories based on the benefits derived. Contractors that receive WIA funds are required to maintain a written cost allocation for WIA expenditures. A cost allocation plan is the means by which costs related to more than one program or cost category are distributed appropriately. All costs included in a cost allocation plan must be supported by formal accounting records which substantiate the propriety of eventual charges.

Cost allocation plans are based on a documented basis. The basis upon which a given cost is allocated is relevant to the nature of the cost being allocated, and whether the cost is a legitimate charge to the program(s) and cost category to which it is being allocated. The basis upon which costs are allocated is consistent throughout the fiscal year.

Several examples of acceptable actual bases for allocating costs are listed below:

Staff Timesheet Allocation Basis (Fixed or Variable)

Joint costs may be allocated according to percentages of staff time spent on each program or cost category. In order to use staff timesheets as a basis for allocating costs, staff must record time spent working on a specific program or cost category. The following subplans may be created from the timesheets:

- 1) Group Allocations -- Combine all timesheets for the month to arrive at group percentages by program and cost category (when applicable). The group rates should be used for all joint costs allocable to all programs or cost categories. An example would be supplies purchased for use by all staff. The allocation would be based on all staff time sheets combined.
- 2) Category Allocations -- Calculate separate rates for time spent working on each cost category within a program. An example would be common intake forms used by a local office. The allocation could be based on the ratio of only program services staff and exclude all administrative personnel in the calculation.
- 3) Individual Allocations -- Certain costs should be allocated based on an individual's timesheet. This would include salaries, fringe benefits, travel, staff training, etc..
- 4) Location Allocation -- Certain costs may be allocated based on where staff are located, or based on the level of access or availability that staff may have to the goods or services. An example would be satellite office rent where only certain employees are stationed. Another example might be supplies that are purchased for use by only a particular segment of staff at a given location. The allocations would be based on only those individuals that directly benefit from the cost incurred.

The entity may use the previous month's time to allocate the current month's joint costs or the current month's time to allocate the current month's joint costs. The methodology used must remain consistent (from month to month) throughout the fiscal year.

Service Level Allocation Basis (Fixed or Variable)

Joint costs may be allocated according to actual monthly service levels, otherwise referred to as client enrollment levels. The service level allocation rate is calculated by dividing the number of participants in each program during the month by the total number of participants served during the month. The service level basis may only be used to allocate joint costs to programs. Costs must be properly allocated to the cost category level by using a method other than service levels.

An example of the use of this method might be for participant liability insurance. The cost could be split between programs based on the ratio of clients served. The cost would then be allocated to program services or administration depending on program specific regulations. The entity may use the previous month's service level ratios or the current month's service ratios to allocate joint costs for the current month. The methodology used must remain consistent throughout the fiscal year.

Usage Rate Allocation Basis (Fixed or Variable)

Some line item expenses may be allocated to programs and cost categories based upon the usage rate basis. Two examples of usage rate allocations are listed below:

- Office space costs may be allocated to a cost category or program based on the ratio of the square footage used by staff for each cost category or program.
- Copier expenses may be allocated based upon usage logs maintained each month. The log should identify each usage on a daily basis, the staff member preparing copies, and the program and cost category to be charged.

FTE Basis (Fixed only)

Many costs incurred are of a fixed nature and do not fluctuate with changing staffing or enrollment levels. In addition, these costs were incurred in anticipation of their necessity to support a variety of programs. To allocate to only those programs that have current staff time distributions or enrollments, would disregard the fact that those costs are still necessary to provide timely and responsive services for all programs. Expenditures that qualify as fixed fees may be allocated based on the ratio of Full Time Employees (FTE) approved by each entity for each program and cost category. Fixed expenditures may include:

- Building rental;
- Janitorial services;
- Snow removal;
- Grounds maintenance;
- Telephone monthly service fees (excluding long distance service);
- Utilities; and
- Parking fees.

Other costs may be considered fixed, on a case by case basis. When this method is used, the FTE ratios must be reviewed and adjusted, at a minimum, on a quarterly basis. Adjustments to the number of FTEs used in calculating the ratio should be made if open positions will remain so during the next quarter. Adjust the ratios for any other additions or deletions to the total FTEs that will occur in the subsequent quarter.

Cost Pooling

Funds received under various programs may be allocated using the cost pooling method. Under a cost pooling method, expenditures that cannot be identified to a particular cost category or program may be pooled and allocated in total on a monthly basis. If this method is established, the expenditures must be allocated to each program based upon the benefit derived by each program.

Cost pools may be established for a cost category, a line item in an agency's budget or to include multiple programs. Examples would include:

- 1) Administrative, Program Services or Combined Cost Category Pool;
- 2) Facility or Supplies Line Item Cost Pool; or
- 3) Workforce (multiple) programs.

An administrative pool may be used if an entity also has administrative costs associated with programs other than WIA Title I Programs.

The process used to allocate pool costs must ensure that no program or cost category is charged an amount in excess of what is allowed by law or regulation.

A cost pool may be allocated by using any of the following as a basis:

- 1) For Administrative or Program Services Pools: A ratio of either administrative (for administrative pools) or program services (for program services pools) staff time (per time sheet) that identifies programs to be charged;
- 2) For Administrative or Program Services Pools: A ratio of direct program services costs per program;
- 3) For Administrative Pools: Timesheets of Program Services staff that itemize time allocations by program;
- 4) Combined Cost Category and Workforce Program Pools: A ratio of all staff time (per time sheet) that identifies programs and cost categories to be charged;
- 5) For all pools: A ratio of enrollment levels in each program can be used to allocate the costs to the program level. You would still be required to have staff time sheets that identify the cost categories to be charged if using a Combined Cost Category or Line Item Pool;
- 6) For Line Item Pools: A ratio of all staff time (per time sheet) that identifies programs and cost categories to be charged;

For pooling, staff time studies may be used in place of the standard, daily, weekly, by-weekly or semi-monthly time allocation reports. Time studies identify the estimated percentage of time each staff member has spent working on various programs and cost categories. The period studied and certification from the staff member must be included on the time study report.

NOTE: Use of any cost allocation method not identified in this section, must be done in accordance with the applicable OMB Circular.

Developing a WIA Cost Allocation Plan

Each subrecipient must develop a written plan that addresses how joint costs will be allocated during the fiscal year. The plan must include:

- 1) The time period involved;
- 2) Programs that must be allocated;
- 3) Basis to be used for allocation; and
- 4) Exceptions to the general rules.

Any cost that can not be identified as a direct cost of a particular program or cost category is allocated based on one of the acceptable methods discussed above, must be included in the cost allocation plan.

When determining which method to use in allocating costs, consideration should be given to the following:

- 1) **Minimal Distortion:** The base should distribute costs in a fair and equitable manner without distorting the results. This requires that the base be as causally related as possible to the types of costs being allocated so that benefit can be measured as accurately as possible.
- 2) **General Acceptability:** The base should be generally accepted and in conformance with GAAP. It should be consistently applied and drawn from the same period in which the costs to be allocated have been incurred. An exception to this rule could be the allocation of audit costs. Since the audit was conducted on records from a previous fiscal year, it would be acceptable to allocate the cost of that audit based on the previous year's expenditure levels. Justify and document all such variations from the acceptable standard.
- 3) **Represent Actual Cost or Effort Expended:** The base should be a measure of actual cost or actual effort expended. It should not be based on a plan, budget, job description (solely), or other estimates of planned activity.
- 4) **Timely Management Control:** The base should be within management's ability to control on a timely basis. The base should produce reliable and fairly predictable results. If the base is erratic and unpredictable, beyond management's ability to control, or not timely, it is likely to produce unacceptable results.
- 5) **Consistency with Variations in Funding:** The base must be able to accommodate and withstand changes in funding during the year and from year to year. If the base excludes factors that are affected by variations in funding, it will produce distorted results.

Cost allocation plans must be submitted by August 31 of each year to:

Bureau of Administrative Support, Budgeting and Reporting
Iowa Workforce Development
1000 E. Grand Ave.
Des Moines, IA 50309

Indirect Cost Rates

Indirect costs may be charged to programs, if the contractor has an approved indirect cost agreement with a federal cognizant agency or another state agency and the agreement covers the term of the grant. The plan must be in compliance with the applicable OMB Circular for the entity charging indirect costs.

Time and Attendance Records

Time and attendance documentation must be maintained for any individual who receives any part of his/her wage from programs funded by WIA and for all participants receiving payments based in whole or in part on attendance in programs funded by WIA

1) Participants

At a minimum, time and attendance records for participants must contain:

- a) The participant's name;
- b) The attendance or work period;
- c) Attended hours;
- d) Certification by participant;
- e) Approval by supervisor when payment is based on an hourly rate;
- f) The scheduled hours not attended; and
- g) The reason for non-attendance.

An exception method of time and attendance records is allowable for participants and must contain:

- a) The participant's name;
- b) The attendance or work period;
- c) Hours not attended;
- d) Certification by participant;
- e) Approval by supervisor when payment is based on an hourly rate; and
- f) The reason for non-attendance.

2) All Other Personnel

At a minimum, time and attendance records must contain the following for all time for which such personnel provided services to programs funded by WIA:

- a) The individual's name;
- b) Supervisor's name;
- c) The attendance or work period;
- d) The hours attended;
- e) The scheduled hours not attended;

- f) Reason for non-attendance;
- g) Approval by individual and supervisor; and
- h) Basis for allocation.

An exception method of time and attendance records is allowable and must contain:

- a) The individual's name;
- b) The attendance or work period;
- c) Hours absent and type of leave used;
- d) Approval by individual and supervisor; and
- e) Basis for allocation.

Cost Categories and Limitations

The purpose of this section is to identify and define cost categories applicable to each WIA program. Expenditures must be tracked and reported to Iowa Workforce Development by these categories with certain limitations on acceptable levels of cost.

Cost Categories

In order to comply with the WIA regulations, expenditures must be tracked and reported by:

- Administration;
- Technology;
- Program Services; and
- Rapid Response, where applicable.

Revised
Mar 2008

Administration costs must be reported only in total, not broken down by program. Program Services expenditures must be tracked and reported separately for the Adult, In-School Youth, Out-of-School Youth and Dislocated Worker components. If a contractor receives Rapid Response or Early Intervention funds from IWD, those funds must be reported consistent with the terms of the contract.

Administration

Costs of administration include the allocable portion of necessary, reasonable and allowable costs associated with the management of the programs. These costs are not related to the direct provision of WIA activities. Administration includes personnel and non-personnel direct and indirect costs, including:

- 1) Performing the responsibilities of the State Workforce Development Board and the Regional Workforce Investment Boards;
- 2) Performing the responsibilities of the Chief Elected Official Boards required for the local public/private partnership;
- 3) Performing general overall administrative functions/coordination of the WIA programs;
- 4) Preparing WIA plans, budgets and related modifications;

- 5) Negotiating Memorandums of Understanding (MOU's), awarding grants, contracts and other related procurement activities;
- 6) Engaging in public relations activities unrelated to program outreach;
- 7) Developing systems and procedures, including information systems for assuring compliance with program requirements;
- 8) Coordinating the resolution of findings resulting from audit, monitoring or other reviews;
- 9) Performing general legal services related to WIA;
- 10) Performing financial management and accounting, including audit, purchasing, property, payroll and personnel services;
- 11) Overseeing and monitoring functions of projects, sub-recipients and related systems or processes to ensure compliance with the regulations;
- 12) Procuring goods or services necessary to support the administrative functions, such as equipment, supplies, rental fees, postage and other office costs;
- 13) Paying travel costs incurred by individuals while performing functions related to an administrative activity; and
- 14) Any other cost associated with or related to performing the functions identified in numbers 1 through 13 above.

Technology

Excluded from the administrative cost limit calculation are costs of information technology (computer hardware and software) needed for:

- Tracking and monitoring of WIA program, participant, or performance; or
- Collecting, storing and disseminating core service information related to labor market, training program consumer reports, regional performance, support services availability or unemployment insurance (UI) claims.

Revised
Mar 2008

RESERVED: Specific requirements regarding reporting and tracking of technology related costs are reserved, pending the release of additional information from Department of Labor.

Program Services

Program services include those costs directly related to the provision of services to participants in the WIA programs, such as:

- 1) That portion of personnel and related non-personnel costs, including project managers, related to direct participant services. Such costs must be allocated to program services and administration by means of a cost allocation plan that distributes costs equitably to each cost category;
- 2) Costs of staff providing program services to participants, as well as costs of first-line supervisors, lead workers or team leaders;

- 3) That share of cost pool or indirect costs that can be identified as directly associated with a program cost and that may be charged directly to program costs and not included in the cost pool or as an indirect cost;
- 4) Costs of contracts for goods or services when the purpose of such contracts is to obtain program services;
- 5) Tracking or monitoring of participants and performance information for collecting, storing and disseminating information under core services;
- 6) Employment statistics information;
- 7) Performance and program cost information on eligible providers of training, youth activities and appropriate educational activities;
- 8) Costs incurred in developing regional performance information;
- 9) Costs incurred obtaining information related to support services and unemployment insurance claims;
- 10) Support services necessary to enable an individual to participate in an activity authorized by WIA, provided such services are not available to that individual through any other sources. Support services include, but are not limited to:
 - a) Transportation;
 - b) Child care;
 - c) Dependent care;
 - d) Housing assistance; and
 - e) Needs-Related Payments.
- 11) Core services including:
 - a) Outreach;
 - b) Intake (which may include worker profiling);
 - c) Initial assessment;
 - d) Job search and placement assistance; and
 - e) Career counseling.
- 12) Intensive services including:
 - a) Development of an individual employment plan;
 - b) Individual counseling;
 - c) Comprehensive assessment;
 - d) Out-of-area job search assistance;
 - e) Literacy activities related to basic workforce readiness;
 - f) Relocation assistance;

- g) Internships;
- h) Work experience;
- i) Comprehensive skill level assessment;
- j) Diagnostic testing and other assessment tools;
- k) In-depth interviewing and evaluation to identify barriers and appropriate employment goals;
- l) Individual counseling and career planning;
- m) Case management for those seeking training services; and
- n) Short-term pre-vocational training including development of learning skills, communication skills, interviewing skills, punctuality and personal maintenance skills, and professional conduct to prepare individuals for unsubsidized employment.

13) Training Services including:

- a) Occupational skill training including training for non-traditional employment;
- b) Public, private non-profit or private sector On-the-Job Training payments, up to 50 percent of the participant's wage rate;
- c) Training programs offered by the private sector;
- d) Skill upgrading and retraining;
- e) Entrepreneurial training;
- f) Job readiness training;
- g) Adult education and literacy activities;
- h) Programs that combine workplace training with related instruction;
- i) Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training; and
- j) Individual Training Account (ITA).

Rapid Response

Rapid Response activities include those necessary to plan and deliver services to enable dislocated workers to transition to new employment as quickly as possible. If the contractor receives Rapid Response or Early Intervention funds from IWD, the Rapid Response must include:

- 1) On-site contact with the employer and representatives of the affected workers;
- 2) The provision of information and access to unemployment compensation benefits;
- 3) Comprehensive regional Workforce Development Center system services;
- 4) Employment and training activities (i.e., WIA and Trade Adjustment Act services);
- 5) Guidance and possible financial assistance in establishing a labor management committee voluntarily agreed to by labor and management or a workforce transition

committee comprised of representatives of the employer, affected workers and the local community.

6) Provision of emergency assistance adapted to the particular closing, layoff or disaster.

Other allowable activities in Rapid Response include:

- Identifying and developing strategies for addressing dislocation events;
- Collection and analysis of information related to dislocation, layoffs and disasters;
- Capacity-building; and
- Devising and overseeing strategies for layoff aversion, incumbent worker training and linkages with economic development departments.

Cost Limitations

The WIA regulations impose several limitations on the amount of funds that can be used in a program or cost category.

Administration

The Contractor may reserve a maximum of 10 percent of the funds allocated by IWD from the WIA Adult, Youth and Dislocated Worker programs to support administrative responsibilities. WIA administrative expenditures are not reported by funding source. They may be pooled and reported in total as WIA Administration.

Program Services

The balance of funds allocated by IWD to the region is used for program services expenditures defined in the program services sub-section. They must be tracked and reported according to the Adult, in-school youth, out-of-school youth or Dislocated Worker programs.

Other Limitations

Youth Program Service expenditures must be tracked based on whether the costs are associated with assistance to out-of-school or in-school youth, unless a waiver is granted by the Department of Labor to the State. A minimum of 30 percent of the Youth funds allocated by IWD to the regions must be spent on out-of-school youth. This requirement will be considered to be met if at least 30 percent of the youth program services expenditures are for out-of-school youth.

The regions are required to have a summer youth program. However, the amount of funds that must be spent on a summer project versus the year-round youth program is a decision for the RWIB and CEO boards.

Field Position Definitions and Allocations

Revised
Mar 2008

Executive Officers - The Executive Director, Deputy Director, Program Coordinator, etc. These positions are responsible for the supervision of Project Manager and carrying out the overall administrative responsibilities of the agency or major programs. All of this individual's

time is to be charged to administration. This may include the individuals designated as the WIA Directors or IWD Regional Managers.

Revised
Mar 2008

Project Manager - An Individual responsible for the direct supervision of Line Supervisors, Lead Workers, Team Leaders, etc. Job duties include both program and administrative functions. The positions of WIA Director and IWD Regional Managers are included in either this position or Executive Officer. Time is to be allocated between administration and program services.

Line Supervisor - An individual responsible for direct supervision of the staff who are providing direct services to clients. In no case may the WIA Director and IWD Regional Manager fit into this classification alone. Where IWD has an individual Office Manager, they would be considered a Line Supervisor. All functions must be allowable program costs.

Project Manager/Line Supervisor

In some regions, due to funding limitations, the Project Manager may serve as the individual who directly supervises line staff. However, if that is the case, there can be no other Line Supervisors, Lead Workers or Team Leaders between this individual and the actual staff providing direct services to clients. This position will allocate their time to both administration and program costs. In small regions, it may include the WIA Director or IWD Regional Manager positions.

Allowable Allocation by Category

Revised
Mar 2008

- Executive Officers = Must be 100% Administration
- Project Managers = May allocate 50% maximum to program services
- Project Manager/Line Supervisor = May allocate 75% maximum to program services
- Line Supervisors = 100% program services
- Line staff, providing direct services = 100% program services

Allowable Allocations by Program

Revised
Mar 2008

- 1) Allocations based on expenditure level comparisons in each program;
- 2) Allocations based on Line Supervisor and Line staff direct allocations;
- 3) Allocations based on client enrollment levels;
- 4) Based on actual program staff time ratios; and
- 5) Other methods if approved in writing by the IWD Budget Analyst.

Deviations from Allowable Allocations

Revised
Mar 2008

Any deviations from the minimum or maximum allocations must be approved through the appeal process identified in Section 28, Monitoring.

Negotiated Agreement

Revised
Mar 2008

Prior written approval must be received for any allocations that are not in compliance with this section of the handbook. Requests must be in writing and submitted to the IWD Budget Analyst responsible for that region and copied to the appropriate IWD program staff assigned to that region. The request must include the name of the staff member, position title and a detailed description of the basis for your request. Requests will be reviewed and a final determination sent by your IWD Budget Analyst within 15 days of receipt of your request. In the event that you dispute the final determination, follow the appeal process procedures outlined in the Monitoring section of this handbook.

Unallowable Costs

For each contractor, there is a set of federal principles for determining allowable costs. (All references to “contractor” within this section are applicable to grantees, subrecipients, Coordinating Service Providers, and WIA Service Providers.) Allowable costs will be determined in accordance with the cost principles applicable to that contractor. OMB Circular A-87 shall apply to State and Local Governments. OMB Circular A-21 shall apply to Institutions of Higher Education, and OMB Circular A-122 shall apply to Private Non-Profit organizations. In general, to be allowable, a cost must be:

- 1) Necessary and reasonable for proper and efficient administration of the contract;
- 2) Allocable to programs charged; and
- 3) Not a general expense required to carry out the overall responsibilities of the entity receiving the funds.

If IWD determines at any time -- whether through monitoring, audit, closeout procedures -- that the contractor has received funds or requested reimbursement for costs which are unallowable under the terms of the agreement, the contractor will be notified of the questioned costs and given an opportunity to justify questioned costs prior to IWD's final determination of the disallowance of costs. If it is IWD's final determination that funds previously expended by the contractor are unallowable under the terms of an agreement, the expenditures will be disallowed and the contractor shall immediately repay to IWD any and all disallowed costs.

It is the responsibility of the contractor to recover funds for disallowed costs from any WIA funds dispersed by that contractor. In the event the contractor cannot determine the allowability of a cost, the contractor should contact the IWD Budgeting and Reporting Bureau for a determination.

Unallowable Costs

In addition to the costs mentioned in OMB Circulars A-21, A87, A-122 and 29 CFR Part 95 and 97 (whichever regulations are applicable to the entity), the WIA regulations have specified certain costs which are not allowable under the Act:

- 1) Construction or purchase of facilities or buildings except:
 - a) To meet an obligation to provide physical and programmatic accessibility and reasonable accommodation, as required by regulation;
 - b) To fund repairs, alterations and capital improvements of WIA qualified facilities (section 667.260, (b) (1)-(2));
 - c) Authorized Job Corp facilities; or

- d) To fund disaster relief employment on projects for demolition, cleaning, repair, renovation, and reconstruction of damaged and destroyed structures, facilities and lands located within a disaster area.
- 2) Employment-generating activities, economic development and other similar activities, unless they are directly related to training for eligible individuals.
- 3) Wages of incumbent employees during their participation in economic development activities provided through the regional Workforce Development Center system;
- 4) Public service employment, except to provide disaster relief employment, as authorized in the 20 CFR 181(b)(1);
- 5) Expenses prohibited under any other federal, state or local law;
- 6) Employment or training of participants in sectarian activities;
- 7) Encouragement or inducement of a business, or part of a business to relocate from any location in the United States; and

Customized training, skill training, OJT or specific assessment of job applicants or business that has relocated from any location in the United States until that company has operated at that location for 120 days (if relocation resulted in the loss of any employee's jobs at the original location).

Auditing

All references to “Contractor” within this section are applicable to grantees, subrecipients, Coordinating Service Providers, and WIA Service Providers.

State, Local Governments, Non-Profits, Institutes for Higher Education and Hospitals

Contractors that expend \$300,000 or more in a fiscal year in federal funds shall have a single or program-specific audit conducted for that year. Contractors that expend \$300,000 or more in federal funds in a fiscal year shall have a single audit conducted except when they elect to have a program-specific audit conducted. Program-specific audits are allowed under the following circumstances:

- 1) A contractor expends federal funds under only one federal program; and
- 2) Federal program laws, regulations, or grant agreements do not require a financial statement audit of the contractor.

Contractors that expend less than \$300,000 in federal funds in a fiscal year are exempt from federal audit requirements for that year. However, records must be made available for review or audit by the State, federal agencies, and General Accounting Office (GAO).

The following guidelines are characteristics indicative of an entity subject to the provisions of this section:

- 1) Determines eligibility for participants to receive federal financial assistance;
- 2) Has its performance measured against whether the objectives of the federal program are met;
- 3) Has responsibility for programmatic decision making;
- 4) Has responsibility for adherence to applicable federal program compliance requirements; and
- 5) Uses the federal funds to carry out a program as compared to providing goods or services for a program of the pass-through entity.

Commercial Organizations

If such entities expend more than \$300,000 in federal funds in their fiscal year, then either an OMB Circular A-133 audit or a program specific audit must be conducted.

Vendors

In most cases, contractors need only ensure that procurement, receipt, and payment for goods or services comply with the laws, regulations, and the provisions of contracts or agreements. However, the contractor and is responsible for ensuring compliance for vendor transactions which are structured such that the vendor is responsible for program compliance or the vendor's records must be reviewed to determine compliance. If these transactions relate to a major program, the scope of the audit shall include determining whether these transactions are in compliance with laws, regulations, and the provisions of the contract or agreement.

Relation to Other Audits

Audits performed in accordance with A-133 are in lieu of any financial audit required under individual federal awards. To the extent that this audit meets a federal agency's needs, it shall rely upon and use such audits. However, this does not limit the authority of the federal agency, including GAO, to conduct or arrange for additional audits. Federal agencies that conduct additional audits shall ensure that they build upon audit work previously conducted and be responsible for costs incurred for the additional audit work.

Frequency of Audits

With the following exceptions, the audit is normally conducted on an annual basis. Entities which are required by constitution or statute, in effect on January 1, 1987, to have audits performed less frequently are permitted to undergo audits pursuant to this section biennially. Also, non-profit entities that had biennial audits for all biennial periods ending between July 1, 1992 and January 1, 1995, are permitted to undergo audits pursuant to this section biennially.

Completion and Submittal

The audit must be completed and Data Collection/Reporting Package forms are to be submitted the earlier of 30 days after the completion of the audit or within nine months after the period covered by the audit.

The Data Collection form and Reporting Package must also be submitted to the federal clearinghouse designated by OMB. In addition, one copy of the Reporting Package and any management letters issued by the auditors are to be submitted to:

Budgeting and Reporting Bureau
Iowa Workforce Development
1000 E. Grand Ave.
Des Moines, IA 50309

Each contractor shall provide one copy of the Reporting Package to the contracting entity that provided the contractor with WIA funds.

Data Collection Form

Each contractor shall submit a Data Collection form to the contracting entity that provided the contractor with WIA funds. This form should state whether the audit was completed in accordance with A-133 guidelines and provide information concerning the federal funds, and the results of the audit. The form used shall be approved by the Office of Management and Budget (OMB), available from the clearinghouse designated by OMB, and include a signature of a senior level representative of the contractor. Also, a certification must be submitted which states that the entity audited complied with the requirements of A-133, that the form was prepared in accordance with A-133, and that the form, in its entirety, is accurate and complete. Elements that must be included in the data collection form are found in OMB Circular A-133, section 320(b)(2).

The auditors must sign a statement to be included with the Data Collection form which indicates, at a minimum:

- 1) The source of the information included in the form;
- 2) The auditor's responsibility for the information;
- 3) That the form is not a substitute for the reporting package; and
- 4) That the content of the form is limited to the data elements prescribed by OMB.

Reporting Package

Auditors are required to complete a Reporting Package that includes:

- 1) Financial Statements and schedule of expenditures of federal awards discussed in sections 310(a) and 310(b) of A-133;
- 2) Summary schedule of prior audit findings discussed in section 315 of A-133;
- 3) Auditor's report(s) discussed in section 505 of A-133; and
- 4) Corrective action plan discussed in section 315 of A-133.

Records Retention

One copy of the Data Collection form and one copy of the Reporting Package must remain on file for three years from the date of submission to the federal clearinghouse.

Audit Resolution

This section contains the procedure used by IWD to resolve audit findings. The process described below will be used in the event of audit findings. If an audit is completed with no findings, IWD will receive a Notification of Audit letter from the appropriate audit firm. The auditee will be notified of the acceptance of that letter. In no case shall the date from receipt of an acceptable audit report or notification letter to the date of the Final Determination exceed 180 days.

Initial Determination of Negative Audit Findings

IWD will issue an Initial Determination within 30 days of receipt of each audit report with negative findings from each auditee. Such Initial Determination will identify costs questioned under the audit and either proposed corrective actions to be taken or request additional documentation from the auditee.

Each Initial Determination will include:

- 1) Relevant statutory, regulatory or grant agreement citations supporting the findings and determinations;
- 2) Necessary corrective actions required by the auditee to achieve compliance;
- 3) A request for additional documentation, as necessary, to adequately respond to the findings; and
- 4) Notice of the opportunity for an audit resolution conference with IWD.

Each auditee will be allowed a 30 day period in which to respond. An additional 30 days in which to respond may be requested in writing prior to the end of the initial 30 days allotted. Such request must include the reason the extension is needed and the date by which the response will be completed. Such a request must be received by IWD no later than 30 days after the issuance of the Initial Determination. The auditee will be notified in writing of the approval or disapproval of the request.

Final Determination and Debt Establishment

Within 30 days after the due date of the response to the Initial Determination, a Final Determination will be issued and sent to the auditee. A Final Determination will be issued whether or not a response to the Initial Determination has been made. The Final Determination will include:

- 1) Identification of those costs questioned in the audit report which will be allowed and an explanation of why those costs are allowed;

- 2) Identification of disallowed costs, a listing of each disallowed cost and a description of the reasons for each disallowance;
- 3) Notification to the Chief Elected Official (CEO) board and auditee of final determination and debt establishment, if relevant; and
- 4) Information on the auditee's and CEO board's right to appeal through the IWD appeals process is identified in Section 28, Monitoring.

When a debt has been established, the Final Determination will be used to set up a debt account in the amount of the debt.

Criteria to be Used to Determine Disallowance of Costs

The decision to impose the disallowed cost sanction will take into consideration whether or not the funds were expended in accordance with the program's rules and regulations, the contract agreement, the Iowa Administrative Code and generally accepted accounting practices. Ignorance of the requirements is insufficient justification to allow a previously questioned cost nor will the auditee's inability to pay the debt be a consideration in the decision to impose the disallowed cost sanction.

Audit File

An audit file will be maintained for each audit or notification letter received from each auditee. They will be included in the scope of IWD's audit and may not be considered closed until such time as the federal clearinghouse designated by the Office of Management and Budget accepts the State's resolution report.

Debt Collection

All references to “contractor” within this section are applicable to grantees, subrecipients, Coordinating Service Providers, and service providers.

Establishing a Debt

Debt collection begins once the debt has been established by either an audit Final Determination or financial/program monitoring Final Decision letter. Debts arising from other forms of oversight will be identified through written communication to the Chief Elected Official (CEO) board.

If the debt is appealed, debt collection is suspended until that appeal is resolved. If the appeal is granted, debt collection will not be established.

Debt Collection Process

No earlier than 15 days, but not later than 20 days, after the debt has been established, an Initial Demand for repayment letter shall be sent to the CEO board by certified mail with return receipt requested.

The Initial Demand letter informs the CEO board that a debt has been established and references the previous letter that established the debt. When applicable, instructions for requesting a waiver from debt will be provided in the letter. The CEO board will be granted 15 days from the date of the Initial Demand letter to either submit payment in full or forward the applicable request for waiver. If the CEO board refuses those options, does not accept the letter, or if no response is received within the required time frame, a Final Demand for payment will be issued.

The Final Demand letter, also sent by certified mail with return receipt requested, will ask for payment within 10 days from the date of that letter. If the CEO board refuses the options identified in the Final Demand, does not accept the letter or does not respond, legal action will be taken. Such action will seek payment of the debt as well as applicable court costs and accrued interest.

The debt collection process is suspended if a request for waiver is received by IWD in accordance with waiver policies applicable to that program. If the request for waiver is denied, the debt collection process will continue.

Payment Methods

- 1) Payment in Full - Payment of debts is generally a one-time cash payment due at the time of final determination by IWD. In cases of documented financial hardship or for other reasons as allowed by law, IWD may grant repayment as outlined in (2) and (3) below. However, IWD, may charge interest on debts from the date they are established.
- 2) Repayment Agreement – A repayment agreement may be negotiated for a time period not to exceed one year in length. The agreement must be written and signed by both parties. The agreement must include a schedule of payments which includes exact payment dates, amount of debt and each payment, interest, dates of agreement and a requirement for payment in full for breach of the agreement by the CEO board.
- 3) Allocation Reduction – Where allowable, a reduction may be made in a CEO board's budget to offset a debt. This may be done in cases where the misexpenditure of funds was not due to willful disregard of the Act or regulations, gross negligence, failure to observe accepted standards of administration or a pattern of misexpenditure. Such allocation reductions will come from administrative funds only.

Reports

This section outlines the financial and program reporting requirements for funds within the WIA contracts. Copies of the report forms and due dates will be released as they become available.

Financial Reports

Financial Status reports, Fund Source pages and Funds Verification forms, are tools used by IWD for oversight of financial activity, as well as providing the documentation necessary to complete state and federal reports. Reports are due by the due dates found in the WIA Financial Reporting Dates subsection below. Failure to report in a timely manner may result in advance payment delays, negative performance evaluations or possible termination of the contract.

WIA Financial Status Reports/Fund Source Pages

Expenditures must be reported according to the Programs and Cost Categories identified in the Budget Summary section of each contract. Revenue is reported according to the amount drawn from IWD, via wire transfer, at the end of the reporting period. At least quarterly (September, December, March and June reports) expenditures must be reported on an accrued cost basis.

Expenditures should further be reported on a modified FIFO (First In First Out) basis, which means the oldest year's funds, by cost category, are to be expended first. Financial Status Reports (FSRs) and Fund Source pages are to be submitted to:

Iowa Workforce Development
Bureau of Financial Management
1000 E. Grand Avenue
Des Moines, Iowa 50319

WIA Funds Verification Forms

Funds drawn by the contractor from IWD are done so by electronic funds transfer. The funds are generally requested on Monday of each week and distributed on Friday of the same week. Exceptions are made for weeks that include holidays and those are addressed on a case-by-case basis. The Financial Management Bureau of IWD will notify contractors in advance of call-in date changes.

Funds are requested by preparation of an electronic Funds Verification form that is attached to an e-mail request. This is sent to the Financial Management Bureau and is the basis for the Friday wire transfer. In order to establish a wire transfer system for a contractor, bank account information must be received by IWD two weeks prior to the first wire transfer of funds. The timing of the contractor's receipt of funds and the disbursement of those funds must be done in a manner that minimizes the time that elapses between those two transactions.

Program Reports

The information entered into the IWD Management Information System is the official database to be used for reporting. Reports are to be submitted to the IWD Program Coordinator responsible for each individual program.

WIA Financial Reporting Dates

Monthly expenditure reports	20 th of the following month
June Final Federal program reports for Adult and Dislocated Worker programs	August 15 th
March Final Federal program reports For Youth programs	May 15

Financial reporting dates will be established within the contract for WIA discretionary projects.

Record Keeping and Maintenance

The purpose of this section is to provide information regarding the minimum requirements for the compilation and maintenance of an accurate and complete record for WIA programs.

The WIA record includes information collected and maintained on applicants, participants and service providers. This information will be used for management, planning, reporting and evaluation. This includes WIA eligibility determination requirements, length of participation restrictions for certain program activities, applicant identification information and federal reporting requirements.

To provide services and activities under WIA, a number of forms and procedures will be used for application, planning, contracting and documentation purposes. Locally developed forms may or may not coincide with the categorization in this section however the information required must be obtained and maintained for the record.

The minimum requirements listed in this section apply to all WIA programs whenever a particular type of information must be collected for a particular program. (For example, whenever an Individual Service Strategy (ISS) is required for youth participation, that document must meet the minimum requirements listed here.)

This section divides the information that must be collected and maintained into categories according to the purpose of that information. WIA information must be collected and maintained in the following categories:

- 1)** Registration;
- 2)** Individual Services Strategy (ISS) for Youth;
- 3)** Individual Employment Plan (IEP) for Adults and Dislocated Workers;
- 4)** Participant Orientation;
- 5)** Contracts;
- 6)** Training Outline;
- 7)** Claim Documentation;
- 8)** Progress or Evaluation;
- 9)** Time and Attendance;

- 10) Activities and Services;**
- 11) Nontraditional Employment for Women;**
- 12) Exit; and**
- 13) Post-Program Services.**

In addition, for wage-paying activities, there are non-WIA forms, which are required by law such as the Internal Revenue Service W-4 and Child Labor forms. Those form requirements are not included in this section.

Record Keeping Requirements

Not all of the following requirements apply to all Title I programs. Refer to the Applicant and Participant Process, Section 14 of this Handbook, for specific categories of information that must be collected for each program. Other types of activities, such as Procurement, also have documentation requirements and those are found in appropriate sections.

The minimum requirements for information that must be collected and maintained for the participant and service provider record are listed here by category of information to be collected.

1) Registration

Registration is part of the Common Intake Case Management System. The required information must be collected on all individuals registering for WIA services and entered into the appropriate section of the Common Intake Case Management System.

2) Individual Services Strategy (ISS)

The Individual Services Strategy (ISS) must be developed and maintained for all youth receiving WIA services. The ISS is part of the Common Intake Case Management System. The ISS required elements, as described in the Applicant and Participant Process – Youth section of this Handbook, must be entered into the Common Intake Case Management System.

3) Individual Employment Plan (IEP)

The Individual Employment Plan (IEP) must be developed and maintained for all Adults and Dislocated Workers receiving WIA services at the intensive level. The IEP is part of the Common Intake Case Management System. The IEP required elements, as described in the Applicant and Participant Process – Adults and Dislocated Worker section of this Handbook, must be entered into the Common Intake Case Management System.

4) Participant Orientation

Orientation for Youth must be provided prior to a youth entering Objective Assessment activities. Orientation for Adults and Dislocated Workers must be provided prior to entry of an adult or dislocated worker into Intensive Services or Training activities. The following orientation information must be provided to each participant as described in the Applicant and Participant Process sections of this Handbook.

**Effective
March 1 2009**

- a)** Attendance policies for WIA activity(s) and training site(s);
- b)** Wages, Support Services and Needs-Related Payment policies;
- c)** A description of the Complaint Procedures, including notification of the right to file a complaint and instructions on how to do so which includes time frames for filing;
- d)** Exit policies;
- e)** Notification of monitoring and eligibility verification requirements;
- f)** Information release statement;
- g)** Name of WIA contact person; and
- h)** Participant acknowledgement signature.

Contracts

All financial or non-financial sub-recipient and service provider contracts must contain the following required elements:

- 1)** Name of contracting parties;
- 2)** Purpose statement or description of activity or service;
- 3)** Title or program;
- 4)** Signatures of persons having legal authority to bind the entity they represent;
- 5)** Dates of the contract representing actual dates of service/activity provided;
- 6)** Maximum amount of reimbursement (if any);
- 7)** Audit and monitoring authority including access to records;
- 8)** Reporting requirements;
- 9)** Record maintenance and retention requirements;
- 10)** Payment and delivery terms, including financial reporting requirements and description of all items or services for which payment will be made;
- 11)** Contract termination provisions;
- 12)** Modification and amendment provisions;
- 13)** Statement of work and, if applicable, a training outline that includes:
 - a)** Job title;
 - b)** Job description;
 - c)** Major job skills;

- d)** Training time required for each skill; and
 - e)** Tools and equipment the participant will use;
- 14)** Liability, sanctions, and debt repayment;
- 15)** Dispute settlement procedures; and
- 16)** Assurance that all contracts are in compliance with the WIA Act and Regulations.

Training Contracts

In addition to the above, training contracts must include:

- 1)** Time and attendance reporting, if required by local policy;
- 2)** Grades or supervisor/employer progress reports;
- 3)** Designated trainer (N/A for IST); and
- 4)** Refund policies, if appropriate.

OJT Contracts

In addition to the required elements for all contracts, On-the-Job Training contracts must include:

- 1)** Extraordinary costs;
- 2)** Notification requirements regarding work stoppages or layoffs; and
- 3)** For employee leasing agencies:
 - a)** The source of training;
 - b)** Specification that payments under the contract are for the extraordinary training costs of the entity providing the training; and
 - c)** Signatures of all three parties.

Contracts with OJT Brokers

In addition to the required elements for all contracts, contracts with On-the-Job Training brokers must include:

- 1)** Services to be provided by the brokering agency;
- 2)** Services to be provided by the OJT employers and other entities; and
- 3)** Monitoring requirements.

IST Contracts

In addition to the required elements for all contracts, IST Training contracts must include:

- 1) Information-sharing requirements placed upon the financial aid office of any institutions eligible for Title IV Higher Education Act funding; and
- 2) Assurance of coordination with HEA funding;

Contracts for \$25,000 or more

In addition to the required elements for all contracts, contracts for \$25,000 or more must include:

- 1) Debarment and suspension certification;
- 2) Audit requirement; and
- 3) Breach of contract conditions.

Indefinite Quantity Contracts

In addition to the required elements for all contracts, indefinite quantity contracts must include an ordering system that includes:

- 1) Declaration that the quantities specified in the contract are estimates and delivery shall only be made as authorized by orders;
- 2) Payment terms based upon ordering system; and
- 3) An ordering clause.

Training Outline

A training outline must contain the following items:

- 1) Job title;
- 2) Job description;
- 3) Major job skills; and
- 4) Tools and equipment the participant will use.

Claim Documentation

The following documentation is required on all claims:

- 1) Identification of claimant;
- 2) Claim period;

- 3) Total amount to be reimbursed;
- 4) Certification statement;
- 5) Identification of title or programs;
- 6) Cost description; and
- 7) Claimant signature.

In addition, the following documentation is recommended:

- 8) Participant signature signifying concurrence with claim.

Progress or Evaluation

The following information on participant progress, as described in the Applicant and Participant Process section of this Handbook, must be documented as follows:

- 1) Participant's name;
- 2) Report period;
- 3) Achievement objectives to be measured;
- 4) Planned outcomes to be evaluated;
- 5) Evaluation or rating;
- 6) Name of person who completed the report; and
- 7) Method of contact.

Time and Attendance

The following time and attendance information, as described in the Financial Management subsection of this Handbook, must be documented as follows:

- 1) Participant's name;
- 2) Attendance or work period;
- 3) Hours attended;
- 4) Participant signature or for IST, a statement of certification from the participant;
- 5) Supervisor or instructor signature (not required for IST);
- 6) Scheduled hours not attended; and
- 7) Reason for non-attendance.

An exception method of time and attendance is allowable for participants. If the exception method is used, the documentation must include:

- 1) Participant's name;
- 2) Attendance or work period;
- 3) Participant's signature for absent hours;
- 4) Supervisor's or trainer's signature at the end of each pay period that all hours, excluding absent hours, are work or training hours;
- 5) If no absent hours are used, the supervisor's or trainer's signature attesting that all hours are work or training hours;
- 6) Scheduled hours not attended; and
- 7) Reason for non-attendance.

Activities and Services

Participant Activities and Services, as described in the Activities and Services section of this Handbook, must be entered into the Common Intake Case Management System, as appropriate.

Nontraditional Employment for Men and Women

As required for the Annual report, statistical information must be collected and maintained in the Common Intake Case Management System for each participant trained and placed in a Nontraditional Occupation.

Exit Documentation

Information on exiting WIA is described in the Applicant and Participant Process section of this Handbook. Exit information shall be documented in the Common Intake Case Management System.

Outcome Documentation

Participant outcomes for all participants must be documented in the participant record in the Common Intake Case Management System.

Wage records are the primary source of data for documenting outcomes for Adults, Dislocated Workers and Older Youth. Individuals not found in the wage record data may be documented through the use of supplemental data sources. When supplemental sources are used, individuals should be counted as employed if, in the calendar quarter after exit, they did any work at all as paid employees, worked in their own business, profession or worked on their own farm.

The following supplemental data sources may be used to document employment in the first, third and fifth quarters after exit quarter:

- 1) Case management, Post-Program Services, surveys of participants to determine that the participant is employed and written documentation of that employment from the employer; or
- 2) Record sharing and/or automated record matching with other employment and administrative databases to determine and document employment. These databases include but are not limited to:
 - Office of Personnel management (Federal Career Service);
 - United States Postal Service;
 - Railroad Retirement System;
 - U.S. Department of Defense; and
 - Government Employment Records (State and local government, judicial employment, public school employment, etc.)

NOTE: All data and methods of supplemental wage record data must be documented. A telephone response from the participant must be accompanied by a written document such as a W-2 form, pay stub, 1099 form or other written documentation. Telephone verification of employment from employers is acceptable, but must also be documented. For self-employed individuals, telephone verification with major clients/contracting entities is also acceptable, but must be documented.

Record Maintenance Requirements

Record maintenance requirements pertain to all WIA Service Providers and their sub-recipients. Records must be maintained pertinent to all grants, including financial, statistical, property, applicant and participant records and supporting documentation.

For all Title I programs, records for a given program year must be maintained for **five** years from the closeout of that program year's funds. All records must be maintained for longer than **five** years if any litigation, audit or claim is started and not resolved involving the records. In these instances, the records must be maintained until the litigation, audit or claim is resolved.

Records for property must be maintained for a period of **five** years after the final disposition of the property.

In the event of the termination of a contract with a sub-recipient, the WIA Service Provider is responsible for the maintenance of those records for the balance of the retention requirement period, if the sub-recipient is unable to maintain the records.

Disaster Recovery System

The WIA Service Provider must ensure that a satisfactory plan is in place for record recovery in the event that critical records are lost due to fire, vandalism, natural disaster, etc. All computerized or microfilmed MIS and accounting records must be safeguarded by off-site or multiple site storage of such records.

Length of
time revised
2010-added
10/17/2011.

Access to Records

Iowa Workforce Development, U.S. Department of Labor, Director-Office of Civil Rights, the Comptroller General of the United States, and any of their authorized representatives, must have timely and reasonable right of access to any pertinent books, documents, papers or other records of the Regional Customer Service Plan, sub-recipients, vendors and others to make audits, examinations, excerpts or transcripts. These rights are not limited to the record retention policies but may last as long as the records are actually retained by the Regional Customer Service Plan. If the Regional Customer Service Plan has established a retention period longer than what is required by the regulations, access to those records by any of the above organizations does not cease until the records are actually destroyed or discarded.

Records Substitution

Substitution of original records can be made by microfilming, photocopying or other similar methods. However, record substitution must not be performed until after the audit resolution process has been completed.

Grants

Early Intervention Grants (EIG) –

Early Intervention Grant funds come from Rapid Response Funds and are used to assist Regions impacted by singular business closings and mass layoffs, resulting in 30 or more dislocations, to immediately respond to the needs of the dislocated workers. The use of Early Intervention Grant funds should only provide for these immediate needs and prepare for additional participant services that will be funded by formula funds, a National Emergency Grant (NEG) for dislocations resulting in enrollment of 50 or more, or State Emergency Grants (SEG) that result in 10 or more enrollments to a maximum of 49 enrollments or Trade-related dislocations of 30 or more.

Early Intervention Funds for Regional Dislocated Worker Program

A. Purpose

The purpose of the Early Intervention funds is to assist Regions impacted by business closings and mass layoffs to immediately respond to the needs of the dislocated workers. Generally, the use of Early Intervention funds should only provide for these immediate needs and prepare for additional participant services that will be funded by formula funds or a National Emergency Grant (NEG). However, it is important to remember that Early Intervention funds are primarily for participant's needs, rather than for the agency/organization's expenses. These funds cannot be used for outreach as a stand alone activity. Any outreach activities must be in conjunction with other WIA activities. They must be used for participant services provided by the WIA organization and their partner(s) that result in the participant being involved in core, staff assisted core, intensive or training services.

B. Activities and Services

Funds available through an Early Intervention contract may be used for any dislocated worker formula activities per Regional guidelines. However, it is expected most services will be directed at immediate response to meeting the needs of the group rather than individual services. Intensive and training services may also be supported, but only for short-term programs or with the expectation funding will continue through other funding sources. All participants receiving staff assisted core, intensive or training services under Early Intervention must be registered in the Workforce Investment Act (WIA) program(s). This rule applies for staff assisted core, intensive or training services provided by either an agency, a partner or provided by a contractor. Any workshops, sessions and services that enhance an individual's employability, including information on writing resumes and cover letters, interviewing skills, completing applications, etc., with one-on-one staff guidance and counseling are staff assisted core services and require enrollment. Skills assessments and testing are normally a part of the Objective Assessment, which is an intensive service and requires enrollment. Non-credited skills upgrading classes, such as introduction to computers or specific computer programs, are also considered to be an intensive service and require enrollment.

Use of the funds must include two or more of the following:

- Development of community-based task forces designed to support workers and their families through the transition process;
- Reference materials on available State and local services and resources;
- Information and materials concerning local labor market conditions and employment opportunities;
- Creating and conducting surveys to determine the reemployment and retraining needs of dislocated workers in the affected target group;
- Hiring additional temporary staff to assist in providing early intervention services or to “back-fill” in the local office while experienced specialists provide Early Intervention services;
- Early Intervention funds cannot be used to supplement current staff salaries or defray expenses that have already been budgeted;
- Costs associated with workshops (such as dealing with a layoff, financial management, job seeking strategies, etc.) for the affected workers; and
- Other approved activities as described in the Request Form and attached to the contract.

C. Levels of Funding

The amount of funds available per business closing or mass layoff is proportionate to the number of workers dislocated in each instance. The State Dislocated Worker Unit has established the amount of \$100 per dislocated worker as verified by the WARN notice or written verification from the affected company. All funding levels refer to dislocated workers from a single target group. These funds are intended to serve individuals from a particular closing or mass layoff and cannot be combined with other dislocations. Request for under \$3,000 (less than 30 workers) or over the \$30,000 maximum will not be considered.

D. Application for Funds

The Region of the target group may apply for funds upon the receipt of a WARN notice and/or written verification from the affected company. Funds will be awarded and a contract initiated when a written request from the Region of the target group, received within 30 days following the receipt of a WARN notice or written verification from the affected company, or within 30 days of the occurrence (i.e., first layoff) after the announcement of the business closure or permanent layoff, has been received, reviewed, and approved by the State Dislocated Worker Unit of the Service Delivery Bureau, IWD.

Requests must be made using the attached format. Once the request is made and approved by the State Dislocated Worker Unit, the Region must follow all aspects of what it has indicated in the request. Failure to provide all services indicated, or failure to register participants receiving staff-assisted core or intensive services or training services through the agency, partner, or contractor, or failure to notify and gain the approval of the State Dislocated Worker Unit of any deviations from the original request may result in forfeiture and return of funds awarded in the Early Intervention Grant.

The State, in awarding the Grant, reserves the right to monitor the project at any time during the 120-day length of the grant, or within 120 days following the end of the Grant, to review all files, to review all timesheets, to interview workers, specialists, supervisors, and participants, to review surveys, to review all expenditures and to request intermediate reports in addition to the Final Report.

Although it is not a requirement, Regions are encouraged to seek matching funds from organizations affiliated with or affected by the dislocation, e.g., the company, labor organizations, community groups and associations, etc.

Requests for Early Intervention funds will be reviewed within (10) working days from the receipt of the request and the applicant will be notified of the decision to approve or deny the application.

E. Life of the Funds

Early Intervention funds must be expended within 120 calendar days of the start date as listed on the Early Intervention Funds Request Form. No extension of the end date will be granted. An Early Intervention Grant Final Report must be completed and forwarded to the State Dislocated Worker Unit within 45 calendar days of the expiration date of the funds. (Final Report Form attached.)

F. Project Evaluation

The State will review the final report submitted within 45 days of the completion of the project.

Early Intervention Funds Request Form

Today's Date _____

Region _____

Name of Company: _____

Address of Company: _____

Date the WARN notice/written verification from the company was received, **OR**, Date of the first layoff from the affected company following WARN notice/written verification: _____

Number of Affected Workers: _____

Amount Requested: _____

Anticipated Start Date: _____ (final determination upon approval of request)

Explain the need for Early Intervention funds:

Describe in detail how the funds will be used, including what contractors/partners will be used and how. (Include budget – see Example below...use as Budget Template for Request...add additional cells as needed): NOTE: Due to recent change by Financial Management, please include any anticipated Indirect Costs associated with the grant request.

Cost Category	Description of Services	Number of Participants	Cost
Conduct Information Session & Job Fair--- Workshop materials and coordinator fees	In partnership with the community and regional customer service employers, plan and conduct a two to three day Job Fair in December at the company site.	Services Materials 12 workshops	\$2,000 \$1,000
Technical training and short-term technology classes	Providing funds for SUG activities in the area of technical and computer training courses and certificates and other short-term essential skills classes	25 individuals @ \$192	\$4,800
TOTAL			\$7,800

Describe collaborative efforts for Iowa Advantage:

Describe any additional assistance from the State Dislocated Worker Unit being requested:

Attach verification of dislocation. Attach additional pages if necessary.

EARLY INTERVENTION GRANT FINAL REPORT

NAME OF GRANTEE:

NAME OF COMPANY:

CONTRACT NUMBER:

TOTAL NUMBER OF PARTICIPANTS SERVED:

TOTAL NUMBER OF PARTICIPANTS ENROLLED IN WIA:

LIST THE DIFFERENT SERVICES PROVIDED, THE PROVIDER OF THE SERVICE, AND THE NUMBER OF PARTICIPANTS SERVED IN EACH. PLEASE INDICATE THE NUMBER OF PARTICIPANTS REGISTERED AFTER PARTICIPATION IN THE SERVICE:

1.

Of Participants Served:

Of Participants Registered:

2.

Of Participants Served:

Of Participants Registered:

3.

Of Participants Served:

Of Participants Registered:

4:

Of Participants Served:

Of Participants Registered:

(Continue with additional services and number of participants served...)

WHAT WAS THE BREAK-OUT OF THE BUDGET (COST) FOR EACH SERVICE PROVIDED AND WHO PROVIDED THE SERVICE:

1.

2.

3.

4.

(Continue with additional costs per service performed...)

Please provide actual services, descriptions, number of participants, and costs utilized from the Early Intervention Grant: (see Example below...use as Budget Template for report...add additional cells as needed)

Cost Category	Description of Services	Number of Participants	Cost
Conduct Information Session & Job Fair--- Workshop materials and coordinator fees	In partnership with the community and regional customer service employers, plan and conduct a two to three day Job Fair in December at the company site.	Services Materials 12 workshops	\$2,000 \$1,000
Technical training and short-term technology classes	Providing funds for SUG activities in the area of technical and computer training courses and certificates and other short-term essential skills classes	25 individuals @ \$192	\$4,800
TOTAL			\$7,800

WHAT IS THE REMAINING AMOUNT, IF ANY, OF THE EARLY INTERVENTION GRANT THAT WAS NOT SPENT?

AMOUNT: \$

PLEASE GIVE A NARRATIVE DESCRIPTION OF THE INDIVIDUAL/GROUP SERVICES PROVIDED TO THE PARTICIPANTS:

1.

2.

3.

4.

(Continue with additional narratives of service provided...)

HOW MANY SESSIONS OF IOWA ADVANTAGE WERE OFFERED OR CONTRACTED TO BE OFFERED? WHAT WAS THE NUMBER OF ATTENDEES THAT ATTENDED ALL OR PART OF THESE CLASSES?

NUMBER OF SESSIONS: _____ NUMBER OF ATTENDEES: _____

PLEASE GIVE A NARRATIVE DESCRIPTION OF HOW YOU MIGHT HAVE DONE THINGS DIFFERENTLY IN RELATION TO THE EARLY INTERVENTION GRANT:

PLEASE GIVE A NARRATIVE DESCRIPTION OF WHAT YOU FEEL WERE EXCEPTIONAL OR OUTSTANDING RESULTS FROM THE EARLY INTERVENTION GRANT:

Special Intervention Funds (SIF) –

Special Intervention Funds (SIF) – Note: Only Applicable to Trade-Related Dislocations. Special Intervention Funds (SIF) come from Rapid Response Funds and are to assist the Regions impacted by closings and mass layoffs where a National Emergency Grant (NEG) would not be appropriate due to pending certification of Trade Adjustment Assistance (TAA). If a Region has expended or obligated its Dislocated Worker funds and a NEG would not be appropriate, SIF may be requested to provide immediate assistance to eligible workers to initiate case management, provide assessment and career counseling, and develop an Individual Employment Plan (IEP). All dislocated workers receiving assistance with these funds must be co-enrolled in the Workforce Investment Act. In addition, the funds may be used to fund staff, staff related expenses, and assessment costs. The funds may also be used in conjunction with Early Intervention Grant (EIG) funds which may be used to defray the costs of workshops.

A. Purpose

The purpose of the Special Intervention Funds (SIF) is to assist the Regions impacted by closings and mass layoffs where a National Emergency Grant (NEG) would not be appropriate due to pending certification of Trade Adjustment Assistance (TAA) or North American Free Trade Agreement (NAFTA). SIF may also include short-term training options not covered by TAA/NAFTA. If a Region has expended, but not to include obligations, its Dislocated Worker funds and a NEG would not be appropriate, SIF may be requested to provide immediate assistance to eligible workers to initiate case management provide assessment and career counseling, and develop an Individual Employment Plan (IEP). All dislocated workers receiving assistance with these funds must be co-enrolled in the Workforce Investment Act. These funds are intended to fund staff, staff related expenses and assessment costs. The funds may also be used in conjunction with Early Intervention (EI) funds which may be used to defray the costs of workshops, short-term training not covered under TAA/NAFTA, and other EI related expenditures.

B. Background

To provide the assessment and counseling services to assist Trade impacted workers with their training decision, a State funding source has been established. The purpose of this funding is to allow the dislocated workers to maximize the use of their TAA funds and successfully transition to employment. State WIA funds will be made available for application under a Special Intervention Fund (SIF).

C. Activities and Services

Funds available through the SIF contract may be used for any TAA/NAFTA eligible Dislocated Worker activities to insure compliance with assessment, labor market information, and career counseling as required by TAA/NAFTA projects. Participants receiving any service under SIF projects must be registered in the local WIA Dislocated Worker program. Use of these funds may include the following:

- 1) Purchase of information and materials concerning local labor market conditions and employment opportunities;
- 2) Purchase of assessment materials;
- 3) Leasing (no purchase) of equipment for 6 months;
- 4) Contracting for assessments (enrollment required);
- 5) Hiring additional temporary staff or re assigning non-WIA staff. Assignment of existing experienced WIA staff to SIF projects is encouraged, although expenditures for current staff is not allowed. Temporary staff funded with SIF may be assigned to replace/assist with the

vacancy created by the reassignment of permanent WIA staff to SIF projects. All staffing reassignments must be described in detail;

- 6) Establishment of an outreach office;
- 7) Skills upgrading; and
- 8) IST's short-term not TAA approved.

D. Levels of Funding

Funding will be based upon \$200 per affected worker to a maximum of \$40,000.

All funding levels refer to Dislocated Workers from a single TAA petition or target group. These funds are intended to serve individuals from a particular closing or mass layoff and cannot be combined with other dislocation projects, other than EI funds.

E. Application for Funds

The Regional WIA service provider will be eligible to apply for SIF. The location of the business must be within the Region of application unless it can be demonstrated agreements with adjacent Regions have been established. All applications will be reviewed by the State TAA Coordinator and other members of the State Dislocated Worker Unit for appropriateness. Funds will be awarded and a contract initiated when a written request has been received, reviewed and approved by the Iowa Workforce Development Division of Workforce Center Administration. Approval of the request will be based upon review of the submitted materials, past performance of SIF projects and reports generated at the State level regarding Regional Dislocated Worker formula performance. Requests must be made using the attached format (see Attachment A). Requests will also include a WIA compliant budget (see sample budget, Attachment B).

F. Request for SIF Funds

1. Will be reviewed and approved/not approved within (10) working days from the receipt of the request, and
2. Contracts will be instigated within (15) days of the approval of a request.

G. Life of the Funds

A start date must be determined by the Region and justified in the application. The end date cannot exceed six (6) calendar months from the start date. Extensions will be granted only under extenuating circumstances. Extenuating circumstances will include, but are not limited to, a delay in the schedule of layoffs or closures. Extensions of the end date will not include any additional funds.

Request for an extension of the end date:

1. Will be reviewed and approved/not approved within (10) working days from the receipt of the request, and
2. Contract modifications will be instigated within (15) days of the approval of a request.

H. Project Evaluation

State Dislocated Worker Unit staff will conduct an evaluation and appropriate technical assistance will be provided. This evaluation will include a review of registrations, services, activities, expenditures, and obligations. The State assumes technical assistance will be available for the duration of the project. A final report is due to the State Dislocated Worker Unit/Bureau of Programs no later than 45 days upon project completion (see Attachment C).

Special Intervention Funds Request Form

Region _____

Company Name: _____

Company Address: _____

Amount of this Request: _____

Start Date: _____

- I. Narrative - Describe in detail the situation. Include the TAA/NAFTA petition or TAA/NAFTA approval. If the petition is not approved at the time of application, justify the reasoning for anticipated approval.
- II. Services and Activities -
 - A. Describe in detail the staffing assignments.
 - B. Describe in detail all associated staff expenses anticipated including all projected office expenses. Office expenses are allowable only if new expenses are incurred. Expenses currently covered under existing budgets will not be allowed.
 - C. Attach local policy regarding core, staff assisted core, intensive, and training services. No variations from local policy will be allowed.
 - D. Describe the assessment tools and process to be used.
- III. Budget - Attach a WIA compliant budget (see sample budget, Attachment B). No Administrative expenses are allowed.

SAMPLE "SIF" BUDGET

101 WORKERS @ \$200 EACH = \$20,200

Budget Document 1

Project Line-Item Budget

Notes	Expense Item	Cost Category		Total
		Administratio n	Program	
1	Staff Salaries	N/A	\$9,800	\$9,800
2	Fringe Benefits	N/A	\$740	\$740
	Travel – Within Project Area	N/A	\$600	\$600
3	Travel – Outside Project Area	N/A	\$0	\$0
	Communications	N/A	\$100	\$100
	Facilities – Rent	N/A	\$1,500	\$1,500
	Facilities – Utilities	N/A	\$120	\$120
	Facilities – Maintenance	N/A	\$0	\$0
	Office Supplies	N/A	\$50	\$50
	Testing & Instructional Materials	N/A	\$485	\$485
	Equipment – Use & Depreciation	N/A	\$0	\$0
4,5	Equipment – Purchase	N/A	\$0	\$0
6,5	Equipment – Lease (telephone)	N/A	\$0	\$0
	Tuition Payments/ITAs	N/A	\$3,615	\$3,615
	OJT Reimbursements	N/A	\$0	\$0
	Participant Wages (Disaster projects only)	N/A	\$0	\$0
	Relocation Assistance	N/A	\$0	\$0
	Out-of-Area Job Search Assistance	N/A	\$0	\$0
	Other Support Services	N/A	\$3,190	\$3,190
7	Indirect Costs	N/A	\$0	\$0
8	Other Costs (professional serv, ins & dues/subscrip)	N/A	\$0	\$0

8	Other Costs (postage & printing)	N/A	\$0	\$0
	Other Costs (common intake/case management)	N/A	\$0	\$0
	Sub-total	N/A	\$20,200	\$20,200
9	State Administration	N/A	\$0	\$0
	Needs-Related Payments (NRPs)	N/A	\$0	\$0
	Administration of NRPs	N/A	\$0	\$0
	TOTAL	N/A	\$20,200	\$20,200
	Cost Category Percentages	N/A	100.00%	100.00%

- 1 Total staff cost should be taken from the Project Staffing Plan.
- 2 Total fringes cost should be taken from the Project Staffing Plan.
- 3 Travel outside the project area should be justified in the Budget Narrative.
- 4 List any equipment with a unit cost of \$5,000 or more in the Budget Narrative and explain purchase v. lease decision.
- 5 List and explain all equipment costs in the Budget Narrative when the total cost to the grant is greater than \$20,000.
- 6 List any equipment with a unit lease cost of \$5,000 or more in the Budget Narrative.
- 7 If Indirect Costs are requested, attach documentation of approved rate by the cognizant agency.
- 8 Please specify the Other Cost on this line item. If appropriate, explain in Budget Narrative.
- 9 For State applications, if proposed admin. charge is higher than normal cap levels, please justify in Transmittal Letter.

SPECIAL INTERVENTION FUNDS
FINAL REPORT
FOR TRADE ELIGIBLE COMPANY

NAME OF GRANTEE:

REGION NUMBER:

NAME OF TAA/NAFTA ELIGIBLE COMPANY:

CONTRACT NUMBER:

LIST THE DIFFERENT SERVICES PROVIDED AND THE NUMBER OF PARTICIPANTS SERVED IN EACH:

1. Career Guidance & Counseling:

Of Participants Served:

2. Objective Assessment:

Of Participants Served:

3. Skills Upgrading:

Of Participants Served:

4. Institutional Skills Training (Short Term, Not TAA/NAFTA approved):

Of Participants Served:

WHAT WAS THE BREAK-OUT FOR STAFF COSTS:

1. NAME OF EMPLOYEE:
2. TOTAL SALARY PAID:
3. TOTAL BENEFITS PAID:

1. NAME OF EMPLOYEE:
2. TOTAL SALARY PAID:
3. TOTAL BENEFITS PAID:

1. NAME OF EMPLOYEE:
2. TOTAL SALARY PAID:
3. TOTAL BENEFITS PAID:

WHAT WAS THE BREAK-OUT OF THE BUDGET (COST) FOR EACH SERVICE PROVIDED:

1. Career Guidance & Counseling:
2. Objective Assessment:
3. Skills Upgrading:
4. Institutional Skills Training:
5. Facilities:

WHAT IS THE REMAINING AMOUNT, IF ANY, OF THE SPECIAL INTERVENTION FUNDS THAT WERE NOT SPENT?

AMOUNT: \$

PLEASE GIVE A NARRATIVE DESCRIPTION OF HOW YOU MIGHT HAVE DONE THINGS DIFFERENTLY IN RELATION TO THE SPECIAL INTERVENTION FUNDS:

PLEASE GIVE A NARRATIVE DESCRIPTION OF WHAT YOU FEEL WERE EXCEPTIONAL OR OUTSTANDING RESULTS FROM THE SPECIAL INTERVENTION FUNDS:

State Emergency Grants (SEG)

State Emergency Grants (SEG) – State Emergency Grants are Rapid Response Funds available for regions to enroll and serve at least 10 or more enrollments to a maximum of 49 enrollments of dislocated workers that occur within a 45 calendar day period. In order for a project to be considered for SEG funding, there must be at least 10 or more workers from a single or multiple company layoffs that will be served.

A. Purpose:

To provide funding for the regions when a dislocation event does not meet National Emergency Grant (NEG) application requirements.

B. Background:

Significant events are those that create a sudden need for assistance that cannot reasonably be expected to be accommodated within the ongoing operations of the formula-funded Dislocated Worker program. Generally, in order for a project to be considered for SEG funding, there must be at least 10 or more workers from a single company layoff that will be served or multiple company layoffs where the dislocations from each company result in a total of 10 or more workers that will be served.

Many dislocation events in Iowa result in services for less than 50 dislocated workers, but these events can severely deplete Dislocated Worker formula funding, especially when there are several major layoffs, none of which are at the 50 or more enrollment level required for a National Emergency Grant (NEG). Therefore, the State developed State Emergency Grants (SEGs) that are available for regions to enroll and serve at least 10 or more enrollments to a maximum of 49 enrollments of dislocated workers that occur within a 45 calendar day period.

C. Activities and Services

The following policy guidelines have been developed for the use of SEG funds:

Eligible Dislocation Events: SEG applications covering the following dislocation events are accepted for consideration of SEG funding.

- SEG funds are available for significant dislocation events, such as business closures and permanent mass layoffs that result in enrollment and services to a minimum of 10 or more enrollments to a maximum of 49 enrollments of dislocated workers from a single layoff event or multiple layoff events.
- The event is not eligible for a NEG grant.
- Companies and events may be “bundled” to reach 10 or more enrollments of dislocated workers that are within the same geographical location.
- If the company of dislocation is approved for Trade at the time of the SEG request, then the policies governing Trade Dual-Enrollment NEG’s will be the same for the SEG. Specifically, SEG funds can only be used for Guidance and Counseling, Objective Assessment, Remedial & Basic Skills training, Skills Upgrading training, Transportation of less than 50 miles, Dependent Care, and other factors that are not covered by Trade. Use of SEG funds for post-secondary training will not be allowed. If the dislocation meets eligibility for a Special Intervention Funds grant (See definition and guidelines above) then those funds must be applied for and approved.

If the company(s) of the original dislocation is subsequently approved for Trade, the funds expended up to the date of Trade certification from the SEG will not be recouped. However, it will require that a Revised Line Item Budget, a Revised Implementation Schedule, and a Revised Cumulative Quarterly Expenditure Report be submitted within 15 calendar days starting with the effective date of the Trade certification. Funds obligated from the SEG prior to the effective date of the Trade certification will have to be changed and a new ISS/ITA will need to be obtained and signed for each affected participant to reflect the changes due to eligibility for Trade. It is also possible that Objective Assessment may have to be reopened in order to meet Trade guidelines for eligibility. Further, effective with the date of the Trade certification, the restrictions on the use of SEG funds will be immediately implemented as denoted above.

The Common Intake/Case Management (CI/CM) system must be used for the project.

D. Levels of Funding

Funding will be based on the number to be enrolled and served.

The first SEG contract written for the region during the Program Year will continue to be used through modifications to add additional dislocations of 10 or more either through single dislocations or multiple dislocations. If it is found that additional funds will be needed during a specific Program Year due to increased enrollments or if the state lacks sufficient funds to award additional funds, then this will be dealt with on a case-by-case basis.

The project must be fully loaded by the end of the second full quarter.

E. Application for Funds

Application and Service Design Requirements and Procedures:

- 1) If the event(s) is eligible, an Early Intervention Grant (E.I. Grant – See definition and guidelines above) must be applied for and approved. Further, it must be documented to include core services, staff assisted core, intensive, and training as well as survey results for the specific target group. An E.I. Grant can run concurrently with the SEG.
- 2) The pre-electronic NEG application format that is included in this Section must be completed. In addition, a 1-3 page description of how the funds will be used will need to be provided.
- 3) The application must be submitted within 45 calendar days of the target group(s) eligibility or dislocation.
- 4) The Line Item Budget must reflect that 100 percent of the funds awarded will be used for Program expenses.
- 5) Support services and needs related payment policies must be consistent with the local formula Dislocated Worker program. Or, any proposed variations must be explained and approved by the RWIB/CEO Boards.
- 6) Uniform project policies are required when multiple operators are involved in one or more service areas.

To apply for additional funds beyond what was initially approved for the SEG generally requires a new application and must be based upon an additional minimum of 10 dislocated workers. Adding to the target group additional eligible workers or workers from an additional employer may only be done if the

grant request has not yet been approved within the 10 calendar days established for approval by the State. Situations other than this will require a new application with a minimum of 10 dislocated workers.

Any variation of these rules for a n SEG may be made at the discretion of the State coordinator when such variation is justified, documented and approved in writing.

Approval Process: The State will respond to SEG requests **within ten working days from the date the application is received**. Approval will be based on the following criteria:

- Merits of the proposal.
- Past SEG performance. If SEG performance is not available, NEG performance or Special Intervention Funds (SIF) performance or Early Intervention (EI) performance, if available.
- Availability of State funds.

F. Life of the Funds

There is a 24-month program limit from the start date of each segment (modification request for additional groups).

G. Project Reporting and Evaluation

Quarterly reports will be required for all SEGs and will be due by the 45th calendar day following the end of the quarter.

Quarterly reports will follow the same format as pre-electronic NEGs (see format included in this Section).

The State will review the project at 90 days, and at mid-project.

State Emergency Grant (SEG) Forms

Region (?)
 (Company
 Name.....)
 (Date From - To)
 Budget Document
 1
 Project Line-Item
 Budget

Notes	Expense Item	Cost Category		Total
		Administration	Program	
1	Staff Salaries	-	-	-
2	Fringe Benefits	-	-	-
	Travel - Within Project Area	-	-	-
3	Travel - Outside Project Area	-	-	-
	Communications	-	-	-
	Facilities (rent, util, maint)	-	-	-
	Office Supplies	-	-	-
	Printing and Reproductions	-	-	-
	Equipment - Use & Depreciation:	-	-	-
4.5	Equipment - Purchase: _____	-	-	-
6.5	Equipment - Lease: _____	-	-	-
	Tuition Payments/ITAs	-	-	-
	OJT Reimbursements	-	-	-
	Skill Upgrading	-	-	-
	Relocation Assistance	-	-	-
	Out of Area Job Search Assistance	-	-	-
	Other Support Services	-	-	-
7	Indirect Cost	-	-	-
8	Other Costs (Common Intake/Case Mgt)	-	-	-
8	Other Costs (Audit)	-	-	-
8	Other Costs (Participant Training Insurance)	-	-	-
8	Other Costs (Postage)	-	-	-
8	Other Costs (Misc.)	-	-	-
	Sub Total	-	-	-
	Cost Category Percentages	10.0%	90.0%	100.0%
9	State Admin*	-	-	-
	Needs Related Payments (NRPS)	-	-	-
	Administration of Needs Related Payments	-	-	-
	TOTAL	-	-	-
	Cost Category Percentages	0.0%	0.0%	100.0%

- 1 Total staff cost should be taken from the Project Staffing Plan
- 2 Total fringe cost should be taken from the Project Staffing Plan
- 3 Travel outside the project area should be justified in the Budget Narrative
- 4 List any equipment with a unit cost of \$5,000 or more in the Budget Narrative and explain purchase v lease decisions
- 5 List and explain all equipment costs in the Budget Narrative when the total cost is greater than \$20,000
- 6 List any equipment with a unit lease cost of \$5,000 or more in the Budget Narrative
- 7 If Indirect Costs are requested, attach documentation of approved rate by the cognizant agency.
- 8 Please specify the Other Cost on this line item. If appropriate, explain in Budget Narrative.
- 9 For State applicants, if proposed admin. charge is higher than normal cap levels, please justify in Transmittal Letter

Region (?)
 (Company Name.....)
 (Date From - To)
 Budget Document 1
 Project Line-Item
 Budget
 Incremental (0%)
 Request

Notes	Expense Item	Cost Category		Total
		Administration	Program	
1	Staff Salaries	-	-	-
2	Fringe Benefits	-	-	-
	Travel - Within Project Area	-	-	-
3	Travel - Outside Project Area	-	-	-
	Communications	-	-	-
	Facilities (rent, util, maint)	-	-	-
	Office Supplies	-	-	-
	Printing and Reproductions	-	-	-
	Equipment - Use & Depreciation:	-	-	-
4.5	Equipment - Purchase: _____	-	-	-
6.5	Equipment - Lease: _____	-	-	-
	Tuition Payments/ITAs	-	-	-
	OJT Reimbursements	-	-	-
	Skill Upgrading	-	-	-
	Relocation Assistance	-	-	-
	Out of Area Job Search Assistance	-	-	-
	Other Support Services	-	-	-
7	Indirect Cost	-	-	-
8	Other Costs (Common Intake/Case Mgt)	-	-	-
8	Other Costs (Audit)	-	-	-
8	Other Costs (Participant Training	-	-	-

	Insurance)			-
8	Other Costs (Postage)	-	-	-
8	Other Costs (Misc.)	-	-	-
	Sub Total	-	-	-
	Cost Category Percentages	10.0%	90.0%	100.0%
9	State Admin*	-	-	-
	Needs Related Payments (NRPS)	-	-	-
	Administration of Needs Related Payments	-	-	-
	TOTAL	-	-	-
	Cost Category Percentages	0.0%	0.0%	100.0%

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- 9 For State applicants, if proposed admin. charge is higher than normal cap levels, please justify in Transmittal Letter

IMPLEMENTATION SCHEDULE

(Company Name.....

Increment 1

Region (?)

Performance Factor	Program Year Quarter (through mo/yr)							
	7/1/03- 9/30/03	10/1/03- 12/31/03	1/11/04- 3/31/04	4/1/04- 6/31/04				
QUARTERLY PERFORMANCE GOALS								
Total Participants Enrolled								
--Total Enrollments in Class Trng								
--Enrollments in OJT								
Total Receiving NRP								
Total Terminations								
END OF PROJECT								
PERFORMANCE GOALS								
Participants Receiving BRS								
Enrollments in Basic Remedial								
Receiving Relocation Assist								
Receiving Out of Area Job Search								
Total Entered Employments								

IMPLEMENTATION SCHEDULE

(Company Name....)

Region (?)

Performance Factor	Program Year Quarter (through mo/yr)							
	7/1/03- 9/30/03	10/1/03- 12/31/03	1/11/04- 3/31/04	4/1/04- 6/30/04	7/1/04- 9/30/04	10/1/04- 12/31/04	1/1/05- 3/31/05	4/1/05- 6/30/05
QUARTERLY PERFORMANCE GOALS								
Total Participants Enrolled								
--Total Enrollments in Class Trng								
--Enrollments in OJT								
Total Receiving NRP								
Total Terminations								
END OF PROJECT PERFORMANCE GOALS								
Participants Receiving BRS								
Enrollments in Basic Remedial								
Receiving Relocation Assist								
Receiving Out of Area Job Search								
Total Entered Employments								

PLANNED CUMULATIVE QUARTERLY EXPENDITURES
(Company Name.....)

Increment 1

Region (?)

Cost Category	Quarter (Beginning and ending dates)				TOTALS
	7/1/03- 9/30/03	10/1/03- 12/31/03	1/1/04- 3/31/04	4/1/04- 3/30/04	
Total Expenditures					
Administration					
Program					
Rapid Response (DDP)					
High Performance Workplace					
Cumulative Expendis					

			PLANNED CUMULATIVE QUARTERLY EXPENDITURES					
				(Company Name)				
Region (?)								
Cost Category			Quarter (Beginning and ending dates)					TOTALS
	7/1/03-	10/1/03-	1/1/04-	4/1/04-	7/1/04-	10/1/04-	1/1/05-	4/1/05-
	9/30/03	12/31/03	3/31/04	6/30/04	9/30/04	12/31/04	3/31/05	6/30/05
Total Expenditures								
Administration	-							
Program	-							
Rapid Response (DDP)	-							
High Performance Workplace								
Cumulative Expenditures								

National Emergency Grants (NEG)

National Emergency Grants (NEG) – National Emergency Grants (NEGs) are discretionary grants awarded by the Secretary of Labor pursuant to Section 173 of WIA, as amended. Funds are awarded to provide employment-related services for dislocated workers as authorized under WIA Section 173 and 20 CFR, part 671. Funds are reserved and made available for obligation by the Secretary of Labor under Sections 132 and 173 of WIA, as amended. There are six (6) dislocation events accepted by the Employment and Training Administration (ETA) for consideration of NEG funding:

A single company layoff of 50 or more workers and results in 50 or more enrollments into WIA of those workers displaced.

Multiple company layoffs, where the dislocations from each company impact 50 or more workers and results in 50 or more enrollments into WIA from each of those companies of those workers displaced.

Industry-wide layoffs from companies in the same industry as determined by the three-digit code level in the North American Industrial Classification System (NAICS). Each layoff in an industry-wide application must have 50 or more workers displaced and results in 50 or more enrollments into WIA from each of those companies of those workers displaced with the exception where the dislocation events are in the same local workforce investment areas or geographically contiguous areas where one company must have a layoff of more than 50 workers and other identified companies may have layoffs of less than 50 workers as part of the same application and results in 50 or more enrollments into WIA from the total company displacements.

Community impact projects to assist workers in a local workforce investment area (primarily rural) where the employer base is primarily small employers and multiple small dislocations over a six-month period have a significant impact on the unemployment rate of the local workforce area to raise it 1% or higher as determined by the state. This is also the section of NEG funding that is allowing for Regional Innovation Grants (see Training and Employment Guidance Letter [TEGL] 16-03 – Change 5 for further clarification & limitations on these specific grants). Regional Innovation Grants (RIG) are being made available through the use of NEG funds to assist state workforce agencies and workforce investment boards in the development of a comprehensive, integrated, strategic regional plan, based on the WIRED strategic conceptual framework, with a focus on addressing present and future significant economic dislocation events.

Trade dual-enrollment projects with identified single or multi-company layoffs of more than 50 workers each, which result in 50 or more enrollments into WIA from each of those companies, and where DOL has determined that workers were trade-impacted.

Disaster applications. These applications require verification that the Federal Emergency Management Agency (FEMA) has declared a disaster area eligible for public assistance. The primary purpose of a disaster project is to create temporary employment to assist with clean-up activities. The initial award will restrict the clean-up period to six months from the date of the grant award until there is a subsequent modification (e.g., fully documented plan or other request) that justifies a longer clean-up period. A state may include in its fully documented plan, or modification request, a component for employment-related services. This component of a disaster project is for workers involved in the clean-up work who will not return to their prior employment.

For further information on completing a Request for NEG funds, contact the WIA grants coordinator.

Regional Innovation Grant (RIG)

Revised
Mar 2008

Regional Innovation Grant (RIG) - NEG funds are being made available for Regional Innovation Grants (RIG) to assist state workforce agencies and RWIB's in the development of a comprehensive, integrated strategic regional plan, based on the WIRED strategic conceptual framework with a focus on addressing present and future significant economic dislocation events. In order to qualify for these funds, state workforce agencies and RWIBs must develop the application and operate any grant approved in concert with other key regional stakeholders. By the termination of the grant, states and RWIBs will have a complete, transformative strategy that will enable them to identify and secure appropriate resources and help them implement a strategy that will shorten or eliminate the time from worker dislocation to reemployment and, ultimately, support regional economic growth and competitiveness and workers' employment and advancement. (*For additional information see Section 40 – Grants*)

Regional Innovation Grants (RIG) – On April 27, 2007 Training and Employment Guidance Letter (TEGL) 16-03, Change 5, announced that the availability of Regional Innovation Grants, utilizing limited National Emergency Grant (NEG) funds, to state workforce agencies and local workforce investment boards (RWIBs) to initiate comprehensive, sustainable, and integrated regional planning using the Workforce Innovation in Regional Economic Development (WIRED) conceptual framework and principles. The activities from this grant will result in a strategic and transformative regional plan that, when implemented, will counteract the effects of events resulting from an economic shock in a region and will prepare workers and businesses to compete and succeed in a global economy. This TEGL modifies the description of community impact projects to incorporate Regional Innovation Grants (RIGs) pursuant to the Secretary's authority to use NEG resources to approve other types of projects "where it can be clearly demonstrated that such adjustments will achieve a greater positive benefit for the workers and/or communities being assisted." The U.S. Department of Labor (DOL), Employment and Training Administration (ETA) has undertaken an initiative called Workforce Innovation in Regional

Economic Development (WIRED) to create the conditions in regions, integrating economic and workforce development activities and demonstrating that talent development can drive economic transformation in regional economies across the United States. **For further information on completing a Request for NEG funds, contact your the WIA grants coordinator.**

Appendix

Section Added
Mar 2008

Section Acronyms

ACL – Academic Learning Component
AA – Associate of Arts
AAS – Associate of Arts in Applied Science
ADC/FIP – Aid for Dependent Children/Family Investment Program
AEA – Area Education Agency
AFDC – Aid to Families with Dependent Children (now FIP)
AS – Associate of Science
ASU – Area of substantial unemployment
ATAA – Alternative Trade Adjustment Assistance
BA – Bachelor of Arts
BS – Bachelor of Science
CAP – (as in CAP agency) Community Action Program
CEO – Chief Elected Official
COG – Council of Governments
CHG – Clothing (Support Services)
CLG – Counseling (Support Services)
CSP – Coordinating Service Provider
CSP – Customer Service Plan
CUS – Customized Training
DED – Department of Economic Development
DOE – Department of Education (State)
DOL – Department of Labor
DPC – Dependent Care (Support Services)
DVA – Department of Veterans' Affairs
DVR – Division of Vocational Rehabilitation
DVOP – Disabled Veteran' Outreach Program
DW – Dislocated Worker
DWU – Dislocated Worker Unit
ED – Department of Education (Federal)
EDA – Economic Development Agencies
EIG – Early Intervention Grant
ENT – Entrepreneurial Training
ESL – English as a Second Language
ETA – Employment and Training Administration
FAS – Financial Assistance/Housing Assistance
FEDES – Federal Employment Data Exchange System
FIP – Family Investment Program
FND – Financial Needs Determination

G&C – Guidance and Counseling
GA – General Assistance
GED – General Educational Development (formerly General Equivalency Diploma)
HEA – Higher Education Act
HLC – Health Care
IEP – Individual Employment Plan
IEP (Dept of Education) – Individualized Educational Plan
INB – Incentive and Bonus Payments
ISS – Individual Service Strategy
IST – Institutional Skill Training
ITA – Individual Training Accounts
ITG – Iowa Technical Grants
IVRS – Iowa Vocational Rehabilitation Services
IWD – Iowa Workforce Development
JBC – Job Club
JSD – Job Shadowing
JSP – Job Search and Placement
JTPA – Job Training Partnership Act
LAUS – Local Area Unemployment Statistics
LDS – Leadership
LEO – Local Elected Official
LIN – Limited Internship
LLSIL – Lower Living Standard Income Level
LMI – Labor Market Information
LVER – Local Veterans Employment Representative
MEN – Adult Mentoring
MOU – Memorandum of Understanding
MSFW – Migrant Seasonal Farm Worker
MSS – Miscellaneous Services
NEG – National Emergency Grant
NRP – Needs-related payments
OBA – Objective assessment
OJT – On-the-Job training
OMB – Office of Management and Budget
PET – Pre-employment training
PPS – Post-program services
RBS – Remedial and Basic Skill Training
RCA – Refugee Cash Assistance
RCSP – Regional Customer Service Plan
RES – Reemployment Services (WPRS) (See also Worker Profiling and Reemployment Services)
RFP – Request for Proposal
RIG – Regional Innovation Grant
RMS – Residential/Meals Support
ROTC – Reserve Officer Training Corps

RWIB – Regional Workforce Investment Board
SDWU – State Dislocated Worker Unit
SEC – Secondary Education Certification
SEG – State Emergency Grant
SEOG – Supplemental Education Opportunity Grant
SET – Supported employment and training
SID – Services to Individuals with disabilities
SIF – Special Intervention Funds
SJD – Staff-assisted job development (working with an employer and job-seeker)
SJR – Screened job referrals (such as testing and background checks)
SSS – Selective Service System
SSA – Social Security Administration
SSDI – Social Security Disability Insurance
SSI – Supplemental Security Income
STI – Stipends (youth only)
SUG – Skill Upgrade
SUM – Summer Employment Opportunities
SVP – Scaled Value of Proficiency (*O-NET)
TAA – Trade Adjustment Assistance
TANF – Temporary Assistance to Needy Families
TRN – Transportation
UI – Unemployment Insurance
VA – U.S. Department of Veterans Affairs
VEP – Vocational Exploration
VETS – Veterans’ Program
WARN – Worker Adjustment and Retraining Notification
WEP – Work Experience Program
WIA – Workforce Investment Act
WIB – Workforce Investment Board
WIRED – Workforce Innovative Regional Economic Development
WOTC – Work Opportunity Tax Credit
WPRS – Worker Profiling and Reemployment Services system (See also RES)
YAC – Youth Advisory Council

**Iowa
Regional Workforce Investment Board**

Board of Director Training



Striving for Excellence

Doing Well.....Doing What is Right

July 2007- June 2008

**Presented by:
Elizabeth Weinstein, Ph.D.
Elizabeth Weinstein and Associates
7901 Maple Drive
Urbandale, IA 50322
lizzer@msn.com
www.elizabethweinstein.com**

ELIZABETH WEINSTEIN, PH. D.

BIOGRAPHICAL INFORMATION

Dr. Elizabeth Weinstein is the owner of Elizabeth Weinstein and Associates, a training and consulting company based in Des Moines, Iowa. Since 1990, she has successfully met her company's mission to provide innovative programs and services that challenge people to excel.

Dr. Weinstein has used her skills to help a variety of government agencies, educational institutions and nonprofit organizations in a broad range of areas that include board of director training, strategic planning, leadership development, continuous quality improvement, mentoring and team building. She has gained the reputation for being a skilled facilitator and trainer, a proficient project manager and a creative writer.

In August, 1998, Dr. Weinstein published "*Mentoring for Success*," which describes the step-by-step process needed to plan, implement and evaluate a mentor program. In 2000, *Moving Into a Brighter Future* was published through the state of Iowa. This user friendly book describes the procedures for creating mentor programs in business settings and has been used in multiple states.

Dr. Weinstein has had extensive experience consulting with the Iowa Department of Workforce Development. She worked for more than two years as a consultant to the Iowa Volunteer Mentor Program, which provided mentoring support for individuals moving off public assistance. In addition, she spent several years coordinating multiple School-to-Work activities for the Des Moines Area Community College, the Iowa Association of Business and Industry, Iowa's school districts, and the Iowa Department of Workforce Development.

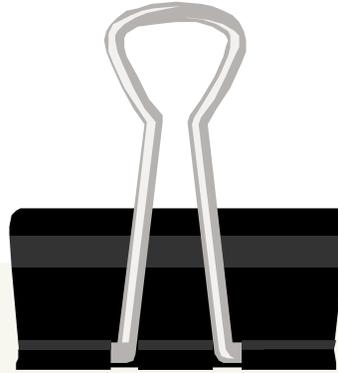
Liz's clients have included:

- Iowa Department of Workforce Development
- Iowa Department of Elder Affairs
- The Larned A. Waterman Iowa Nonprofit Resource Center
- The Corporation for National and Community Service
- Illinois Department of Aging
- RSVP of North Central Iowa
- Michigan Office of Child Support
- Association of Image Consultants International
- Iowa Department of Natural Resources
- City of Urbandale, Iowa
- Iowa Association of Business and Industry
- Iowa Department of Education
- Heartland Area Education Agency, Iowa
- Main Street Iowa

Liz, a native of the United Kingdom, earned a Doctor of Philosophy in Community and Human Resources, from the University of Nebraska-Lincoln.

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Purpose

To assist Regional Workforce Investment Boards of Directors achieve excellence in their board roles.

Targeted Outcomes

Board Members will better understand:

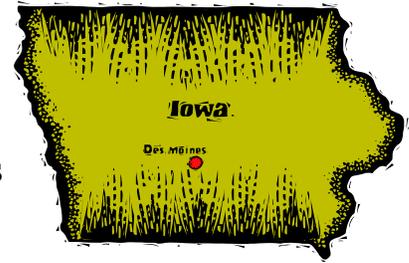
- Their roles and responsibilities, particularly the oversight function
- The value of strategic planning and using a planning model
- Strategies for improving effective board operations
- What it means to be an ethical board of directors

Agenda

The agenda will vary according to the requests from boards of director on areas of emphasis for their one to two-hour training session.

Continuing the Iowa Tradition

What is one of the greatest factors that contributes to the quality of life for citizens in Iowa? It is the strong network of people helping people through community involvement. This is no more apparent than in the Regional Workforce Investment Boards (RWIB) across Iowa where members are volunteers helping to ensure the Workforce Investment Act (WIA) system is efficiently and effectively expedited to meet the needs of workers, potential workers, and employers in Iowa. This system not only benefits individuals but also strengthens economic development and ultimately the quality of life for all Iowans.



Workforce Investment Act of 1998

As part of Iowa's Workforce Development Center system created under the Workforce Investment Act, the fifteen **Regional Workforce Investment Boards** have a crucial part to play. They are responsible for:

- Selecting service providers for WIA adult and dislocated worker intensive services, and youth programs.
- Establishing policy for the region's Workforce Development Center system.
- Developing a budget to carry out the duties of the local board, subject to the approval of the CEO board.
- Coordinating WIA youth, adult, and dislocated worker employment and training activities with economic development strategies, and developing other employer linkages with these activities.
- Promoting the participation of private sector employers in the workforce development system, and ensuring the availability of services to assist such employers in meeting workforce development needs.
- Certifying eligible training providers.
- Selecting service providers.
- Selecting the Welfare-to-Work Service Provider.

- Submitting an Annual Report to the State Workforce Development Board.
- Establishing cooperative relationships with other local boards.
- Directing the activities of the Youth Advisory Council.

In partnership with the **Chief Elected Official Board**, the **Regional Workforce Investment Board** is responsible for:

- Negotiating and reaching agreement with IWD on local performance standards.
- Appointing a Youth Advisory Council.
- Determining the role of the Coordinating Service Provider.
- Designating and certifying the Coordinating Service Provider.
- Developing an agreement between the Chief Elected Official and the Regional Workforce Investment Board Agreement, outlining how the two boards will cooperate and collaborate in establishing and overseeing the region's Workforce Development Center system.
- Developing and entering into a Memorandum of Understanding with the Workforce Development Center System Partners.
- Conducting oversight of the local WIA adult, dislocated worker services, and youth programs and the Workforce Development Center system; evaluating service delivery to determine if local needs and priorities are being met; determining whether regional needs have changed and if so, whether a plan modification is necessary; ensuring quality improvement is on-going, and ensuring that performance standards are met.
- Developing and submitting the Regional Workforce Development Customer Service Plan based on the Regional Assessment and Analysis.

The **Chief Elected Official Board's** responsibilities are:

- Providing input to the Governor, through IWD, on designation of local workforce investment regions.
- Securing nominations for RWIB vacancies in accordance with Iowa Administrative Rules 877 – Chapter 6, and making final selection for appointment.
- Accepting liability for any misuse of WIA funds expended under the contract.
- Serving as Local Grant Recipient under WIA, including designating an entity to serve as local sub recipient.

“A nation, as a society, forms a moral person, and every member of it is personally responsible for his society.”
- Thomas Jefferson (3rd U.S. President)

Board of Director Roles and Responsibilities – The Big Picture

Take a step back and look at the overall responsibilities of a member of the RWIB. There are seven broad functional areas. At the center of these responsibilities is the reason for the boards' existence – the people who are being served. Every action that is taken focuses on providing the very best of services to meet the needs of Iowa's workers, potential workers and employers. Fundamental to the work of the RWIB are the mission and values and doing what is right.



Board Member Responsibilities

A Board of Directors' responsibilities are for governance of the organization and staying focused on leading rather than managing or following staff. Excellence in governance begins with recognizing the organization's values and fundamental beliefs. **The Board of Directors' authority as leader of the organization is matched by its accountability.**

Strategic Planning

Determine the mission; describe the vision and develop the regional plan in partnership with the Chief Elected Official Board and initiate annual updates. Approve the workforce development system's overall program for the year.



Provide Financial Oversight

Establish fiscal policies and ensure these policies are followed; provide adequate resources for the activities of the organization and approve and monitor the budget. Ensure an annual audit is conducted.

Set Policy

Develop governing principles for the system that have significant impact on any decisions made. Policies are broad in scope, few in number and must be stated precisely. Board members are also responsible for ensuring organizational policies are followed and reviewed.

Monitor Activities

Determine whether the system is complying with its legal requirements and the policies it has set. In addition, evaluate programs and activities against the mission, vision, values, and goals of the system to assess whether progress is being made.

Ensure Board Development

Take responsibility for recruiting qualified individuals to serve on the board and for ensuring that the board has the necessary skills and know-how to do the job effectively and efficiently. For example, if board members have scanty understanding of how the budgeting process works or how to analyze a financial statement then members must be educated in these areas. Only a well educated board can make sensible, information-based decisions.

**Develop and Maintain Community Relationships**

Provide communication links to its constituencies and to the communities it serves. Responsible for sharing what the work development system is doing; making strategic connections with community leaders and securing needed resources to help the work of the system.

(P. 11-16 Iowa Principles and Practices for Charitable Nonprofit Excellence)

?? Questions to ask Ourselves as Board Members

1. Do I understand how to read a financial statement?
2. Do I know where the workforce development system's income is spent?
3. Do I watch for expenses that seem out of line?
4. Would I recognize the clues if our organization was in trouble?
5. Do we have an annual planning session?
6. Do we have a mission statement?
7. Do I know what the mission is?
8. Do I know the difference between making policy and managing operations?
9. Does the board lead the system or does the WIA director?

Yes	Somewhat	No

- 10. Do I have a good understanding of the programs offered by the system, how each functions, and the results that are achieved?

- 11. Are the services aligned with the system's mission, values, vision, and goals?

- 12. Are there parts of my board job that I don't understand?

- 13. Are there regular board development activities?

- 14. Do I talk in the communities we serve about the great work that is being accomplished by the workforce development system?

- 15. Am I proactive in seeking community support and initiating partnerships when they are needed?

- 16. **DO I ASK QUESTIONS???**

Yes	Somewhat	No

Board Oversight

The RWIB directors provide oversight in four major areas: 1) **Planning**; 2) **The law, rules, regulations, and policies**; 3) **Financial** and 4) **Self development**. The board of directors must ensure that the organization meets the duties for which it has been entrusted efficiently, effectively, and in an ethical manner.



1. Planning

The RWIB works with the CEO Board to ensure that:

- All parts of the WIA system within the region align with the mission, values, and vision. The mission, or reason for the system's existence, is the guide that unites everyone with a common purpose.
- A strategic planning process occurs on a regular basis and that board members are involved in setting the direction for the next three to five years (Regional Customer Service Plan).
- Workforce development needs for the region are identified prior to planning, so that WIA adult, dislocated worker services, youth programs, and the Workforce Development Center system are relevant and responsive.
- A broad range of strategic partners are engaged, including economic development, to identify emerging industries that the boards can help to grow.
- Performance standards are in place so that it can be determined whether progress is being made and local needs and priorities are being met.

- It reviews regularly (ideally at each board meeting) progress that has been made in each of the strategic areas identified in the plan.
- The Regional Customer Service Plan is made available to the public in public hearings, public notices, Internet postings, and other methods. In addition, the RWIB and CEO confirm that business and labor organizations are offered an opportunity to respond to the plan allowing a minimum of 30 days.
- The strategic plan is modified as needs of constituents or circumstances change.
- The service delivery process and service providers' performance are evaluated.

What is Strategic Planning?

Strategic planning is the process by which the guiding members of an organization envision its future and develop the procedures and operations to achieve that future.

What Questions Will Strategic Planning Answer?

What business are we really in?

Who are our customers and stakeholders (i.e. all individuals affected by the organization)?

What factors are critical to our success?

What are our strengths and weaknesses?

What trends affect our environment?

What values and principles must guide our decisions?

What are our priorities?

What fundamental policy decisions must we make?

What actions are required to implement them?

What resources will be needed?

(P. 9-10 Iowa Principles and Practices for Charitable Nonprofit Excellence)

“Our plans miscarry because they have no aim. When a man does not know what harbor he is making for, no wind is the right wind.” -Seneca



Why is Strategic Planning Important?

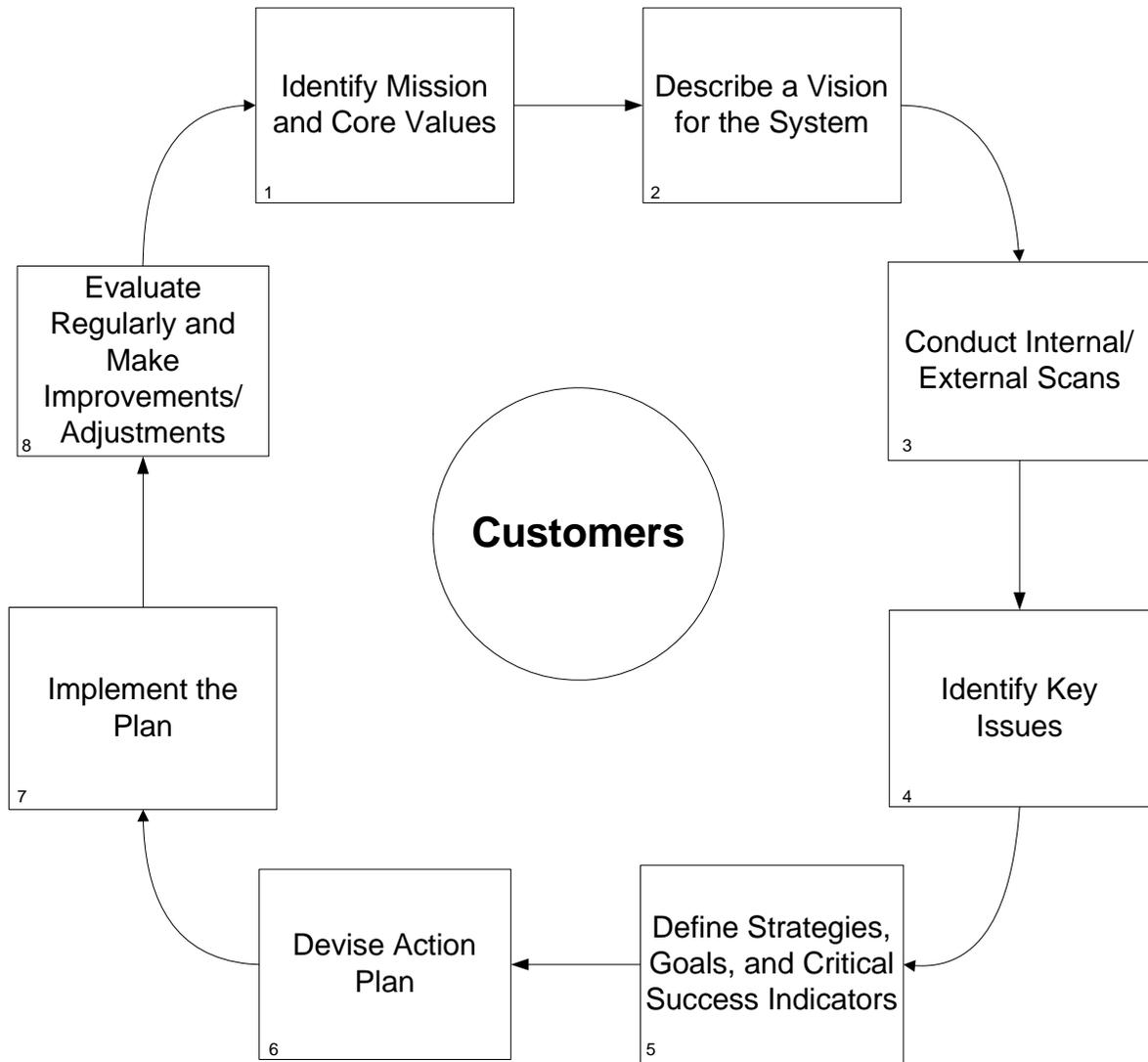
Strategic planning is vital for the wellbeing of an organization. It is a process by which members of the organization in a logical fashion, seek to anticipate what the future will hold and to shape that future. Strategic planning:

- Enhances systematic decision making
- Contributes to successful implementation of strategies
- Encourages participation and ownership
- Allows for diverse interests and ideas
- Clarifies future direction
- Establishes priorities
- Allows all levels of the organization to be involved in decision making
- Addresses critical problems of organizations and seeks solutions
- Adapts to changing circumstances



“Nothing is more terrible than activity without insight.” - Thomas Carlyle

Strategic Planning Model



Ideally, there should be a person designated to oversee the strategic planning process. The person with this responsibility would make sure that members are engaged in the process, the process remains on track, and the plan is implemented and evaluated. The responsible person would ensure that the plan is a “living” document, that adjustments to the plan are made as needed and the plan remains visible to board members and not tucked away in a drawer, unused until the next strategic planning session.

What are the Consequences of Not Implementing a Strategic Planning Process?

The system will:

- Operate in a consistent mode of crisis management
- Be so occupied in “putting out fires” that there is a lack of time to be innovative and creative
- Fail to meet the changing needs and expectations of customers
- Lose ground against competing organizations
- Fail to anticipate shifts in the internal and external environment that impact it
- Be challenged anytime a decision must be made



2. Laws, Rules, Policies, and Regulations

The RWIB is required to follow the functions and responsibilities as mandated by the Workforce Investment Act of 1998.

In addition, the RWIB has three legal fiduciary responsibilities that impact its work. They are the Duty of Care, the Duty of Loyalty, and the Duty of Obedience. These three duties fall under Common Law.

Common Law

Common law is based on tradition, on custom. It is not recorded in any statutes but is an accepted set of behaviors that are expected of members of boards of directors. (P.15 Iowa Principles and Practices for Charitable Nonprofit Excellence)



Duty of Care – exercise responsibilities in good faith and with diligence, attention, care, and skill.

- Be knowledgeable when making decisions of the board
- Read the meeting minutes
- Attend board meetings
- Participate in discussions
- Provide oversight

Duty of Loyalty – place the interests of the organization before personal interests

- Avoid conflict of interest situations
- Provide full disclosure of potential conflict of interest to the board
- Excuse from voting, if board member has possible conflict

Duty of Obedience – carry out the mission of the nonprofit and comply with the laws and governing documents.

- Adhere to organization's mission
- Comply with Federal and state laws
- File required documents
- Comply with articles of incorporation and bylaws

Recent Legislation

Under the Federal Sarbanes-Oxley Act, it is a crime for boards of directors, members, staff, and volunteers to:

- Knowingly destroy a document with intent to obstruct or influence the investigation or proper administration of any matter within the jurisdiction of any department agency of the United States.
- Take action that is harmful to any person, including interference with lawful employment or livelihood for providing to a law enforcement officer any truthful information relating to the commission of any Federal offense.



3. Financial

The third oversight area is financial and includes:

- Ensuring the region the RWIB serves has sufficient funds to provide the necessary services as outlined in the Regional Customer Service Plan
- Developing and approving the budget
- Reviewing financial statements
- Ensuring funds are expended as allocated.
- Being cognizant of and monitoring funding allocation requirements. “To be eligible to receive youth, adult or dislocated worker funds under the reallocation procedures, a local area must have obligated at least 80 percent of the prior program year’s allocation, less any amount reserved (up to 10 percent) for the cost of administration, for youth, adult, or dislocated worker activities, as separately determined. A local area’s eligibility to receive a reallocation must be separately determined for each funding stream.” (Rules and Regulations # 667.160).
- Approving large expenditures that are not in the budget

- Seeing that an audit is conducted and reviewing the results of that audit
- Ensuring checks and balances are in place to protect the finances of the system from abuse. No single person should be responsible for receiving, depositing, or expending funds
- Making sure the funds are directed to the purpose for which they were intended
- Protecting property including a risk management policy

(P. 19-21 Iowa Principles and Practices for Charitable Nonprofit Excellence)

4. Self Development

The Ideal Board Member is:

- Committed to the mission and values of the organization
- Practices integrity in all actions
- Has a good understanding of programs and services
- Believes in the democratic process
- Understands the finances of the organization
- Understands and practices good boardsmanship i.e. is well-informed, asks questions, speaks out when not in agreement, adheres to the ground rules, reviews the minutes, etc.
- Understands the board function (policy making) versus staff function (operations) and remains in appropriate role
- Attends all board meetings
- Fulfills committee assignments
- Prepares for board meetings by contributing to the agenda, reading all materials, and formulating questions and ideas to share
- Puts the wellbeing of the RWIB clients' served ahead of any potential for personal gain
- "Markets" the RWIB and the work it does to others in the region
- Shares ideas and offers options to address issues



Board Self-Evaluation

In addition to an individual board member reflecting on his/her own role as an active, well-informed participant on the board, the board as a unit must review its behavior from time to time to determine areas for its growth and development. The following Board Self-evaluation is a valuable tool, which can be used annually or more realistically, every other year. Each board member should complete the instrument individually and the results should then be compiled. Members can then see, at a glance, areas that they believe need more attention. Using a tool such as this is very useful when trying to identify board development activities. In some instances, formal board development activities occur at each board meeting for fifteen or thirty minutes. On other occasions, a significant amount of time can be set aside for training on a specific topic.

Board Self Evaluation					
Please read each item and circle the appropriate number.					
Item	Excellent	Good	OK	Fair	Poor
Board Selection and Composition					
1. There is a board member job description	5	4	3	2	1
2. There is a nominating committee	5	4	3	2	1
3. The nominating committee works continuously to identify suitable candidates for the board	5	4	3	2	1
4. Board members have the skills and experience necessary to do the work	5	4	3	2	1
5. There is a mechanism in place for limiting tenure on the board	5	4	3	2	1
6. The board has full representation as specified in the bylaws	5	4	3	2	1
7. There is a good balance between experienced and new members	5	4	3	2	1

Item	Excellent	Good	OK	Fair	Poor
8. Members are committed to the mission, values, and goals of the board.	5	4	3	2	1
Board Development					
1. Each new board member receives an orientation to the board	5	4	3	2	1
2. Each member has a board manual which contains all relevant information such as bylaws, articles of incorporation, policies, meeting schedule, etc.	5	4	3	2	1
3. Board development is integrated into board meetings	5	4	3	2	1
4. Board training sessions are held periodically to enhance member skills	5	4	3	2	1
5. Members take advantage of training opportunities offered beyond those of the RWIB	5	4	3	2	1
6. The Board's legal responsibilities are clearly stated	5	4	3	2	1
How the Board is Organized					
1. The bylaws clearly define the duties and procedures for the board	5	4	3	2	1
2. Members are clear about their roles and responsibilities	5	4	3	2	1
3. The RWIB has an executive committee to address important issues between meetings	5	4	3	2	1
4. There are descriptions for each of the board committees	5	4	3	2	1

Item	Excellent	Good	OK	Fair	Poor
5. Member assignments to committees are renewed and evaluated periodically	5	4	3	2	1
6. Members are clear about their roles and responsibilities	5	4	3	2	1
The Working Board					
1. Members know board meeting dates for the year	5	4	3	2	1
2. Meetings begin and end on time	5	4	3	2	1
3. Members receive an agenda and any materials to prepare for the board meeting at least a week ahead of the meeting	5	4	3	2	1
4. Members participate in open, honest discussions	5	4	3	2	1
5. Members address policy rather than management issues	5	4	3	2	1
6. A consent agenda is used for efficient use of time	5	4	3	2	1
7. The RWIB follows Robert's Rules of Order or similar guidelines for procedure in the meetings	5	4	3	2	1
8. Minutes of the meeting including motions made and decisions reached are recorded and disseminated to members	5	4	3	2	1
9. Board members complete any assignments in a timely manner	5	4	3	2	1
The Board/Staff Relationship					
1. One staff person is responsible for working with the RWIB	5	4	3	2	1

Item	Excellent	Good	OK	Fair	Poor
2. The staff and board work as a team, sharing their insights and collaborating to ensure the RWIB meets its mission	5	4	3	2	1
3. The board and staff understand their different roles and do not “stray” into the other’s area of responsibility	5	4	3	2	1
4. Any problems between the board and staff are handled in a respectful, cooperative manner	5	4	3	2	1
5. Staff implement the policies and decisions the RWIB puts in place and provides feedback to the board on how well their policies and decisions operate within the system	5	4	3	2	1
Evaluation					
1. Members are continually seeking ways to improve their skills as board members	5	4	3	2	1
2. The board conducts periodic evaluations of its meetings to ensure it operates effectively and efficiently	5	4	3	2	1
3. The board, as a unit, conducts a self evaluation every one to two years	5	4	3	2	1

Board Self Evaluation Analysis

Once board members have individually completed this self evaluation instrument and the results have been compiled, the board must analyze the data. The following questions should be asked: What appear to be our areas of strength and areas of greatest need for development? What is the

impact on our system if these developmental areas are not addressed? What strategies can we put in place to improve our performance? Do we have the resources to support these strategies? Are there any obstacles that could impede implementation of these strategies? How will these strategies be monitored?

With Responsibility Comes Accountability

Because the RWIB is funded through tax dollars, each board of directors has a responsibility to the people of Iowa for providing quality services that address community needs, are “on-target,” efficient, effective, and are legally and ethically sound. It is the board of directors and, to a certain extent the executive director, who is accountable to the citizens of Iowa, because it provides the leadership for the workforce development system.

Accountability is defined as “**an obligation or willingness to account for one’s actions.**” This obligation for the workforce development system is vested in the governing board of directors.

“The buck stops here” with the Regional Workforce Investment Board. The governing board might delegate duties to committees but ultimate responsibility lies with the governing board.

(P. 28-30 Iowa Principles and Practices for Charitable Nonprofit Excellence)

Effective Board Operations

Although the RWIBs within the Workforce Development system are not exactly a nonprofit board, they do have similar roles and responsibilities. As with incorporated nonprofit boards of directors, the RWIB has a governance function and operates within the guidelines provided in its bylaws and the stipulations laid out by the Federal and state governments. The bylaws help the RWIBs to function smoothly and efficiently.

Bylaws

At a minimum, the bylaws should include the following elements:

- The name of the organization and the area served
- The purpose of the RWIBs
- The membership make up, nomination, election process and terms
- The regular meeting times and notice requirements for membership meetings
- Special meetings, their purpose, and who can call them
- A description of the board officers and their responsibilities
- A description of board member responsibilities
- Board committee names, membership, and function
- Decision-making processes including making sure there is a quorum, knowing to whom the board is accountable, and being familiar with procedures used, e.g. following Robert's Rules of Order
- Attendance requirements
- Bylaw amendment process

(P. 7 Iowa Principles and Practices for Charitable Nonprofit Excellence)

Bylaws Mini Checklist

1. I am familiar with our bylaws
2. We refer to our bylaws when a procedural issue surfaces.
3. Our bylaws were revised in the last 2-3 years

Yes !Yes !Yes !Yes !Yes !

RWIB Policy Making

The RWIB, in consultation with the Chief Elected Official Board, is responsible for setting policy for the region on workforce development issues.

What is a policy?

An established course of action to guide present and future decisions. A policy states what must be done throughout the RWIB's scope of services and programs.

A policy:

- Provides a framework for getting work accomplished
- Provides consistency across all services and programs
- Sets direction for resolving issues and reaching objectives
- Results in quick decisions, rather than incurring repetitive discussions on recurring issues

To be effective a policy must:

- Respond to a recurring issue
- Be consistent with RWIB values
- Be the best approach for dealing with the issue
- Be concisely, clearly stated
- Align with the RWIB's mission
- Be consistent with Federal and state policies
- Be enforceable i.e. can the activities suggested by the policy be implemented?
- Have sufficient staff to implement
- Be supported by sufficient funds

- Be necessary – the RWIB does not need to be burdened by establishing a large number of policies that must be monitored and enforced
- Not be implemented without careful consideration of the consequences of the policy on consumers, staff, community support, funding etc.

Board members (probably in a committee) in formulating a policy must:

- Gather the facts and thoroughly review and analyze them
- Determine if an existing policy should be amended or a new policy established
- Develop a draft policy and present it to the full board
- Have the board take action for it to become an official policy
- Take formal action to also eliminate a policy



Board Meetings

What are the problems with board meetings?

Do board meetings drive you crazy? Do the discussions jump from topic to topic? Does it seem as though the discussions go round and around and no decisions are made? Are you often detached from board discussions? Do you frequently leave the meetings feeling frustrated that more was not accomplished during the time you gave to RWIB?



The following list identifies possible reasons for unsuccessful board meetings

- A poorly planned agenda – too many items with not enough time for discussion or items that are not relevant to the Board’s policy-making function
- A lack of focus
- A chair who doesn’t control discussion
- Members have not done their homework and are unprepared to discuss the agenda items
- Members believe they have no input to discussions; decisions have already been made
- A board member dominates each discussion
- A board member doesn’t participate in any discussion
- Members don’t follow procedural rules such as Robert’s Rules of Order
- Lack of ground rules

Preparing for the Board Meeting

Setting the Agenda

A well designed agenda is a necessity for a well-run meeting. The board chair needs to be intimately involved in deciding, with the executive director, what should be included on the agenda. It is the chair's meeting and this is his/her agenda. The agenda items should be carefully sequenced so that priority topics are at the beginning of the meeting. The agenda format suggested (over the page) produces an excellent framework for developing an agenda. The agenda includes specifics about the date, location, and time of the meeting. In the agenda itself, each agenda item, the time allocated for that item, and the presenter are listed. Also, the Action Items sections is useful for keeping track of which members have agreed to take action following the board meeting, what they are planning to do, and when the action should be completed.



*Outstanding people have one thing in common:
an absolute sense of mission. - Zig Ziglar*

Consent Agenda

A consent agenda can be a valuable tool for conserving board members' valuable time. Usually, consent agendas include items that are routine and require board approval because of tradition or written in the bylaws. Such items might include minor program changes, property or contracts and regular personnel actions. The board chair and executive director devise the consent agenda, which is sent out to board members ahead of the meeting. Board members can request that an item be removed from the consent agenda, placed on the "regular agenda" and be opened to discussion by the board.

Members vote on the consent agenda items in a block and with no discussion. This separates the more repetitive board items from priority issues that must be addressed by the board.

Ready for the Meeting

Being a good board member means in preparation for board meetings, members must: a) review the agenda; b) contact the board chair and/or executive director regarding any items that should be included on the agenda; c) read any documents relevant to agenda items and; d) prepare questions and comments that will contribute to the discussions and decision-making process. Materials that are sent out to board members ahead of the meeting should include a statement about why the agenda items are included and two or three questions to think about in preparation for the meeting.

Managing the Meeting

The board chair, after the welcome and any introductions must state the specific purpose of the meeting and gain approval for the agenda. In addition, particularly if it is the first meeting for a new chair, it would be appropriate to spend a few minutes reaching agreement on ground rules. Ground rules are guidelines that encourage or discourage certain behaviors and interactions throughout the meeting. Ground rules are more specific than bylaws in describing expected member practices during discussions. Ground rules might include the following items:

- **Attendees:** Members are prepared and attend scheduled meetings, arriving and leaving at agreed upon times.
- **Participation:** Everyone participates so that various points of view are voiced and diverse ideas are generated. No one dominates.
- **Respect:** Members listen to and respect everyone's contribution without interruption and without judgment, even though they might not agree with the ideas presented.
- **Confidentiality:** Everyone agrees when ideas need to be kept confidential.
- **Constructive:** Members focus on what can be accomplished or how information can be applied, rather than on what is wrong or won't work.
- **Breaks:** Members determine the frequency and length of the breaks.
- **Interruptions:** Everyone agrees when interruptions (e.g., phone calls) will be tolerated and when they won't.
- **Sidebars:** Members agree to no sidebar conversations; all ideas/issues deserve to be shared with other board members.

The team must have a process for making decisions. It might include a description of a problem solving method the team intends to follow and will include how decisions will be reached.

How will decisions be made?

In the RWIB, a majority vote is used in decision making. The most collaborative approach for making decisions is to use consensus rather than majority voting or decisions made by the leader. Reaching consensus means all board members can “live with” the decision, even if it is not their first choice solution.

The goal of any board, working together as a team, is to reach decisions that best reflect the thinking of its members. The definition of building consensus is: **Coming to an agreement that all members can accept and no one opposes.**

Building consensus is time consuming; requires every member’s participation; and involves open-mindedness and creativity and strong communication skills. Each member must be fully engaged in decision-making. In order to reach agreement, the chair might well have to repeat the process that is being used. The decision that is reached may not be every member’s first choice solution, but every member agrees that (s)he can “live with it.” Achieving consensus is particularly important when the decisions being made greatly impact the project direction or the board in its operation.



A simple, visual way for members to indicate whether or not consensus has been reached, is to use an up (agree), down (disagree) or horizontal (can live with it) gesture with a thumb.

Once the board has voted on an issue, it is important that board members support the decision that has been made. With the board focusing on what is best for the workforce development system, rather than any personal agendas, the best decisions should be made.

Evaluating the Meeting

Approximately five or ten minutes before the conclusion of the meeting the chair must review the progress that has been made in the meeting, the action items that have been listed, the deadlines for accomplishing actions, and the

people responsible. This is also an ideal time to gain feedback from members on whether the meeting met its purpose. If the meeting is an hour or two long, evaluation might be as simple as informally asking the board for its opinion. Another effective way to gather evaluation data, although it takes ten minutes at a minimum, is called the Plus/Delta exercise.

This tool is very simple, but effective. It basically is a means for gathering information about what worked well in the meeting and what could have been improved.

The chair should list on a flip chart sheet the following:

+ What worked well	▲ What could have been improved

The chair then asks members for their input and lists their comments in the appropriate columns. Obviously, at future meetings, the board will strive to maintain and even improve those pieces of the process that worked well. Members can examine the “what could have been improved” items and discuss how they should be addressed in future meetings.

Alternatively, the board could simply use an index card and rate the meeting on the following items:

Board Meeting Evaluation

	Yes					No				
1. Our discussion focused on policy issues, not operations.	1	2	3	4	5					
2. We discussed issues of primary importance to RWIB.	1	2	3	4	5					
3. The board materials helped me understand the issues.	1	2	3	4	5					
4. We stayed on topic in our discussions.	1	2	3	4	5					
5. We followed the ground rules.	1	2	3	4	5					

Ethics for Board of Directors

Reliable

Responsibility

Caring

Love

E-x-c-e-l-l-e-n-c-e

Ethical

What are ethics and what does it mean to behave in an ethical manner? According to Webster’s Dictionary, ethics is “a set of moral principles or values”. What exactly is the set of moral principles or values that members of the RWIB hold personally, and as a board, espouse?

Fairness

Perseverance

It is important for each board to clearly articulate the values it holds dear. These values underpin all the decisions that are made by the board as the governance arm of the system. Each person comes to the board with different perspectives, experiences, and biases. It is important that as a member of the board each person recognizes they must operate with a common mission and a shared set of values. The values, to which the board adheres, will be reflected throughout all the board’s actions.

Compassion

Kindness

CONFIDENCE

Integrity

Loyal ty

Innovation

Honesty

Cooperation

Independence

Hardworking

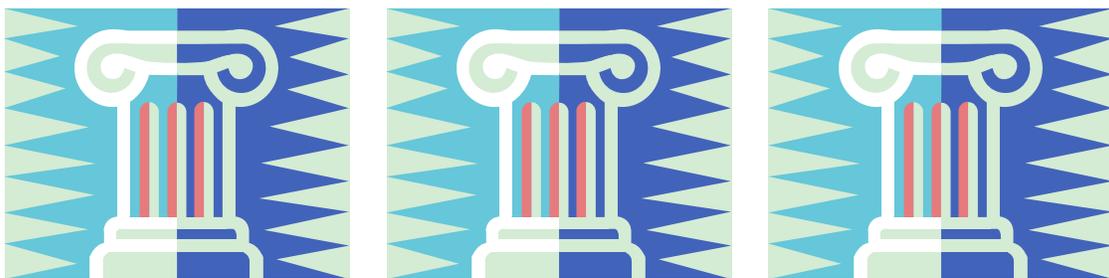
Teamwork

Core values explain the fundamental principles of an organization

Core values:

- **are few** – three or four (five or six might indicate that they are more than core values)
- **are constant** – they remain stable despite changes and
- **stand the test of time** – twenty years from now the values will be the same

“All action can be referred back to values” - Nietzsche



Practicing Integrity and Behaving Ethically –It’s Simple

As William Penn, founder of the State of Pennsylvania said: **“Right is right, even if everyone is against it; and wrong is wrong, even if everyone is for it.”** Having integrity and behaving ethically are all about doing what is right. Our actions should go beyond doing what is required by the law. What we do should align with our personal values and with the values that our organizations espouse.

Perhaps in a college philosophy class or during professional training we studied “Ethical Behavior.” Generally though, we don’t give much thought to what having integrity or exhibiting ethical behavior means. However, following recent shocking events in state government, nonprofits, and the corporate world in Iowa, we are prompted to take stock of the choices that we make every day. Now, we ask ourselves, is the decision I’m making based on the values I or my organization hold dear or are other factors influencing what I do? Do I believe that in some instances questionable actions are acceptable if the outcome is successful? Is it more important to stick to what I believe or concur with my colleagues, even when it is not in keeping with my values? Answering such questions make us, and the organizations we lead, more accountable and better able to regulate behavior.



If your organization is ambiguous about what is right, now is a perfect time to articulate the values that governs how the organization operates and evaluate how closely to those values the leaders adhere in their decision making. Individuals acting with integrity – doing the right thing – result in organizations that practice integrity. So the next time you have a debate with yourself or within your organization about the action to take, ask yourself, “What is the right thing to do?” Don’t do it because it is easy; don’t do it because it takes less investment of time or money, and don’t do it for the personal glory, do it because it is right. It’s that simple!

Elizabeth Weinstein, Ph. D.
(Larned A. Waterman Iowa
Nonprofit Resource Center Newsletter, January 2007)

Ethical Obligations

RWIB members must comply with the Board's legal obligations. However, they must go beyond what is legally required to what is **ethically** appropriate.

It is the Board's obligation through policy development and its oversight function, to ensure that all the programs and services of the workforce development system are conducted the right way – honestly and ethically. Staff, who are assigned to the RWIB, must help to ensure that services are provided effectively and efficiently to consumers.

Do the Right Things  **Ethically and Openly**
(based on values – ends don't justify the means)

**Do the Right Things
the Right Way**  **Effectively and Efficiently**
(legal compliance and good practices)

There is a mutual obligation and accountability between the RWIB and staff. The Board sets policy with staff input and the Board is responsible for monitoring the implementation of policy to ensure its effectiveness, and efficiency in meeting the needs of consumers.

What is an Ethics Code?

According to Webster's Collegiate Dictionary ...

Ethics Code: ethics require subordinating self interest in favor of the public interest. Ethics codes set a higher standard of conduct than the law. Ethics go to the essence of our beliefs and how we feel and care for others. A code of ethics demands a sense of responsibility and courtesy to others. In a nonprofit a code might include: obeying the law, respect for individuals, diversity, fairness, openness, honesty, prudent application of organizational resources and professional conduct.



Developing and using an Ethics Code can be a valuable board tool. It lays out clearly the basic beliefs of the Board, which are a helpful guide as the board conducts its business. It also indicates to the public the Board's commitment to continuous ethical practice.

(Adapted from Iowa Principles and Practices for Charitable Nonprofit Excellence, 2006)

It is funny about life: if you refuse to accept anything but the very best you will very often get it. - W. Somerset Maugham

What are Some Clues that All is Not Right?

Beware!

- Inconsistencies in financial reports
- Unexplained expenditures
- A check or balance in the financial system is eliminated
- Board rubber stamps decisions
- Decisions are made outside board meetings
- Questions are not asked
- Staff makes policy decisions. Board members are complacent/too comfortable – leaving too much of decision-making to staff.
- Lots of behind-the-scene conversations
- Unhappy clients
- Frequent turnover in staff
- Lack of action
- Not following through on decisions
- A guarded, closed environment
- Group think, where a group's desire for agreement overrides individual member motivation to consider alternative courses of action
- Board members don't attend meetings and no one cares
- Board slots are not filled



Appendix

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Appendix I

[committee name] – Agenda Items

Date:
Location:
Time:

AGENDA		
Time	Item	Presenter(s)

ACTION ITEMS						
	Item	Assigned To:	Date Assigned	Date Due	Date Completed	Comments

Appendix II

BYLAWS OF [Name of Organization]

ARTICLE I

NAME AND PURPOSES

Section 1.01. Name. The name of the organization is _____ (hereinafter referred to as "Corporation").

Section 1.02. Purpose. [Purpose of Organization]

Notwithstanding the foregoing, however, the Corporation is organized exclusively for charitable, religious, educational and scientific purposes, including, for such purposes, the making of distributions to organizations that qualify as exempt organizations under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended (or the corresponding provision of any future United States Internal Revenue Law).

ARTICLE II OFFICES

Section 2.01. Principal Office. The principal office of the Corporation in the state of Iowa shall be located in the city of _____, in the county of _____. The Corporation may have other offices, either within or outside the state of Iowa, as the Board of Directors may determine or as the affairs of the Corporation may require.

Section 2.02. Registered Office. The Corporation shall have and continuously maintain in the state of Iowa a registered office, and a registered agent whose office is identical with the registered office, as required by the Revised Iowa Nonprofit Corporation Act, Iowa Code section 504.501. The registered office may be, but need not be, the same as the principal office in the state of Iowa, and the address of the registered office or the registered agent at the registered office, or both, may be changed from time to time by the Board of Directors.

ARTICLE III MEMBERS

Section 3.01. Classes of Members. The Corporation shall not have members.

ARTICLE IV

BOARD OF DIRECTORS

Section 4.01. General Powers. The affairs of the Corporation shall be managed by its Board of Directors. Directors need not be residents of the state of Iowa.

Section 4.02. Number, Tenure and Qualifications. The number of directors shall be _____. Each director shall hold office until the next annual meeting of directors and until his or her successor is elected and has qualified. However, the term of the director may not exceed five years.

Section 4.03. Election. The directors are to be elected by an affirmative vote of two-thirds of the board of directors.

Section 4.04. Removal. A director may be removed at any time for cause by a vote of a majority of the entire Board at any special meeting of the Board called for that purpose, provided that at least one week's notice of the proposed action has been given to the entire Board of Directors then in office. Such notice shall state that a purpose of the meeting is to vote upon the removal of one or more directors named in the notice. Only the named director or directors may be removed at the meeting.

Section 4.05. Resignation. Any director, member of a committee or officer may resign at any time by filing a written resignation with the President or the Secretary. Resignation is effective at the time specified in the resignation, or if no time is specified, when it is received by the President or Secretary. Acceptance of a resignation is not necessary to make it effective. A resignation is effective when the notice is effective unless the notice specifies a later date. If a resignation is made effective at a later date, the board may fill the pending vacancy before the effective date if the board provides that the successor does not take office until the effective date.

Section 4.06. Increase in Number. The number of directors may be increased by amendment to these bylaws by the affirmative vote of a majority of the entire Board.

Section 4.07. Regular Meetings. A regular annual meeting of the Board of Directors shall be held without other notice than this bylaw. The Board of Directors may provide by resolution the time and place, either within or without the state of Iowa, for the holding of additional regular meetings of the Board without other notice than the resolution.

Section 4.08. Special Meetings. Special meetings of the Board of Directors may be called by or at the request of the President or any director. The person or persons authorized to call special meetings of the Board may fix any place, either within or without the state of Iowa, as the place for holding any special meeting of the Board called by them.

Section 4.09. Notice. Notice of any special meeting of the Board of Directors shall be given at least two days previously by written notice delivered personally or sent by mail or telegram to each director at his or her address as shown by the records of the Corporation, unless the meeting must be held within two days. If mailed, the notice shall be deemed to be delivered when deposited in the United States mail in a sealed envelope so addressed, with postage prepaid. If notice is given by telegram, it shall be deemed to be delivered when the telegram is delivered to the telegraph company. Any director may waive notice of any meeting. The attendance of a director at any meeting shall constitute a waiver of notice of the meeting, except where a director attends a meeting for the express purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened. Neither the business to be transacted at, nor the purpose of, any regular or special meeting of the Board of Directors need be specified in the notice or waiver of notice of the meeting, unless specifically required by these bylaws.

Section 4.10. Quorum. A majority of the Board of Directors shall constitute a quorum for the transaction of business; but if less than a majority of directors are present at the meeting, a majority of the directors present may adjourn the meeting without any further notice.

Section 4.11. Manner of Acting. The act of the majority of the directors present at a meeting at which a quorum is present shall be the act of the Board of Directors, unless the act of a greater number is required by law or by these bylaws.

Section 4.12. Vacancies. Any vacancy occurring in the Board of Directors and any directorship to be filled by reason of an increase in the number of directors may be filled by the affirmative vote of a majority

of the remaining directors, though less than a quorum. A director so elected shall be elected for the unexpired term of his or her predecessor in office, or for the full term of the new directorship, as the case may be, and until his or her successor is elected and has qualified. If a director ceases to be a director, the vacancy may be filled by the board in absence of a contrary provision in the articles or the bylaws. Where a vacancy occurs in any office held by an appointed director, only the person who appointed the director may fill the vacancy in the absence of an article or bylaw provision to the contrary.

Section 4.13. Compensation. Directors as such shall not receive any stated salaries for their services, but the Board of Directors may by resolution allow a fixed sum and expenses of attendance, if any, for attendance at each regular or special meeting of the board. Nothing in these bylaws shall be construed to preclude any director from serving the Corporation in any other capacity and receiving compensation for that service.

Section 4.14. Informal Action by Directors. Any action required to be taken at a meeting of directors, or any action which may be taken by directors, may be taken without a meeting and without voting if all of the directors sign a consent in writing, setting forth the action taken.

Section 4.15. Meeting by Conference Telephone. Members of the Board of Directors may participate in a meeting of the Board by conference telephone or similar communications equipment. All persons participating in the meeting shall be able to hear each other, and participation in a meeting pursuant to this provision shall constitute presence in person at the meeting.

Section 4.16. Presumption of Assent. A director of the Corporation who is present at a meeting of the Board of Directors at which action on any corporate matter is taken shall be presumed to have assented to the action taken unless his or her dissent is entered in the minutes of the meeting or unless he or she files a written dissent to the action with the person acting as the Secretary of the meeting before the adjournment of the meeting or forwards a dissent by registered mail to the Secretary of the Corporation promptly after the adjournment of the meeting. A director who voted in favor of an action may not dissent from the action.

Section 4.17. General Standards for Directors. A director shall discharge his or her duties as a director (1) in good faith; and (2) in a manner the director reasonably believes to be in the best interests of the corporation. The members of the board of directors, when becoming informed in connection with their decision-making functions, shall discharge their duties with the care that a person in a like position would reasonably believe appropriate under similar circumstances. In discharging such duties, a director may rely on information, opinions, reports, or statements, including financial statements and other financial data, if prepared or presented by the following persons if the director reasonably believes are within the person's professional or expert competence: (1) one or more officers of the corporation; (2) legal counsel, public accountants, or other persons as to matters involving skills or expertise the director reasonably believes are either of the following: (a) matters within the particular person's professional or expert competence; or (b) matters as to which the particular person merits confidence; (3) a committee of the board; or (4) in the case of religious corporations, religious authorities and ministers, priests, rabbis or other persons. A director is not acting in good faith if the director has knowledge concerning the matter in question that makes reliance unwarranted. A director is not deemed a trustee with respect to the corporation or any property held or administered by the corporation, including without limitation, property that may be subject to restrictions imposed by the donor or transferor of such property.

ARTICLE V
OFFICERS, EMPLOYEES, AND AGENTS

Section 5.01. Officers. The officers of the corporation shall be a President, one or more Vice-Presidents (the number to be determined by the Board of Directors), a Secretary, a Treasurer and such other officers as may be elected in accordance with the provisions of this article. The Board of Directors may elect or appoint the other officers, including one or more Assistant Secretaries and one or more Assistant Treasurers, as it may deem desirable, to have the authority and perform the duties prescribed by the Board of Directors. Any two or more offices may be held by the same person. The officers may be, but need not be, members of the Board of Directors.

Section 5.02. Election and Term of Office. The officers of the Corporation shall be elected annually by the Board of Directors at the regular annual meeting of the Board of Directors. If the election of officers is not held at such meeting, it shall be held as soon thereafter as is convenient. New offices may be created and filled at any meeting of the Board of Directors. Each officer shall hold office until his or her successor is elected and has qualified, or until his or her death, resignation or removal.

Section 5.03. Resignation and Removal. Any officer, agent or employee elected or appointed by the Board of Directors may be removed by the Board of Directors whenever in its judgment the best interests of the Corporation would be served by his or her removal, but removal does not prejudice the contract rights, if any, of the person removed. Election or appointment of an officer or agent does not of itself create contract rights. Further, an officer may resign at any time by delivering notice to the corporation.

Section 5.04. Other Agents and Employees. The Board of Directors may appoint such agents and employees as it may deem necessary, each of whom shall hold office during the pleasure of the Board of Directors, and shall have such authority, perform such duties and receive such reasonable compensation, if any, as the Board of Directors may determine. No agent or employee need be a director of the Corporation. The Board of Directors may prescribe the respective title, terms of office, authorities and duties of such agents or employees.

Section 5.05. Delegation of Authority. To the full extent allowed by law, the Board of Directors may delegate to any officer, agent or employee any powers possessed by the Board of Directors.

Section 5.06. Vacancies. A vacancy in any office because of death, resignation, removal, disqualification or otherwise, may be filled by the Board of Directors for the non-expired portion of the term.

Section 5.07. President. The President shall be the principal executive officer of the Corporation and shall in general supervise and control all of the business and affairs of the Corporation. He or she shall preside at all meetings of the Board of Directors if present at the meeting. He or she may sign and execute alone in the name of the Corporation any deeds, mortgages, bonds, contracts, or other instruments which the Board of Directors has authorized to be executed, either generally or specifically, except in cases where the signing and execution has been expressly delegated by the Board of Directors or by these bylaws or by statute to some other officer or agent of the Corporation; and in general he or she shall perform all duties incident to the office of President and any other duties that the Board of Directors prescribes.

Section 5.08. Vice-President. In the absence of the President or in event of his or her inability or refusal to act, the Vice-President (or in the event there be more than one Vice-President, the Vice-Presidents in the order of their election) shall perform the duties of the President, and when so acting, shall have all the powers of and be subject to any restrictions upon the President. Any Vice-President shall perform any other duties that the President or the Board of Directors assign to him or her.

Section 5.09. Treasurer. If required by the Board of Directors, the Treasurer shall give a bond for the faithful discharge of his or her duties in the sum and with the surety that the Board of Directors determines. He or she shall render to the President and the Board of Directors at the regular meetings of the Board of Directors, or whenever they request, an account of all his or her transactions as Treasurer and of the financial condition of the Corporation. He or she shall have charge and custody of and be responsible for

all funds and securities of the Corporation; keep full and accurate account of receipts and disbursements in books belonging to the Corporation; disburse the funds of the Corporation as may be ordered by the Board of Directors or the President, taking proper vouchers for the disbursements; receive and give receipts for moneys due and payable to the Corporation from any source whatsoever, and deposit or cause to be deposited all such moneys in the name of the Corporation in the banks, trust companies or other depositories as are selected in accordance with the provisions of article VIII of these bylaws; and in general perform all the duties incident to the office of Treasurer and any other duties that the President or the Board of Directors assign to him or her.

Section 5.10. Secretary. The Secretary shall keep the minutes of the meetings of the Board of Directors in one or more books provided for that purpose; see that all notices are given in accordance with the provisions of these bylaws or as required by law but if the Secretary is absent, or refuses or neglects to give such notice, any notice may be given by any person who is directed to give notice by the President, or by the directors upon whose requisition the meeting is called as provided in these bylaws; be custodian of the corporate records and of the seal of the Corporation and see that the seal of the Corporation is affixed to all documents, the execution of which on behalf of the Corporation under its seal is authorized in accordance with the provisions of these bylaws and in general perform all duties incident to the office of Secretary and any other duties that the President or the Board of Directors assign to him or her.

Section 5.11. Assistant Treasurers and Assistant Secretaries. If required by the Board of Directors, the Assistant Treasurers shall give bonds for the faithful discharge of their duties in the sums and with the sureties that the Board of Directors determines. In the absence of the Treasurer or Secretary or in event of the inability or refusal to act of the Treasurer or Secretary, the Assistant Treasurer or Assistant Secretary, as the case may be (or in the event there be more than one Assistant Treasurer or Assistant Secretary, the Assistant Treasurers or Assistant Secretaries in the order of their election) may perform the duties of the Treasurer or Secretary, as the case may be. When so acting, the Assistant Treasurers or Assistant Secretaries shall have all the powers of and be subject to any restrictions upon the Treasurer or Secretary, as the case may be. The Assistant Treasurers and Assistant Secretaries shall perform such other duties as the Treasurer, the Secretary, the President or the Board of Directors assign to them.

Section 5.12. Compensation. Any officer, agent or employee of the Corporation is authorized to receive a reasonable salary or other reasonable compensation for services rendered to the Corporation only when authorized by a majority of the Board of Directors.

Section 5.13. Duties and Authority of Officers. Each officer has the authority and shall perform the duties set forth in the bylaws or, to the extent consistent with the bylaws, the duties and authority of other officers.

Section 5.14. Standards of Conduct for Officers. An officer shall discharge his or her duties as a director (1) in good faith; and (2) in a manner the director reasonably believes to be in the best interests of the corporation. In discharging such duties, an officer may rely on information, opinions, reports, or statements, including financial statements and other financial data, if prepared or presented by the following persons if the director reasonably believes are within the person's professional or expert competence: (1) one or more officers of the corporation; (2) legal counsel, public accountants, or other persons retained by the corporation as to matters involving the skills or expertise the officer reasonably believes are within the person's professional or expert competence, or as to which the particular person merits confidence; (3) a committee of the board; or (4) in the case of religious corporations, religious authorities and ministers, priests, rabbis or other persons. An officer is not acting in good faith if the director has knowledge concerning the matter in question that makes reliance unwarranted. An officer is not liable to the corporation or any other person for any action taken or not taken as a director, if the officer acted in compliance with the Section.

Section 5.15. Officers' Authority to Execute Documents. Any contract or other instrument in writing executed or entered into between a corporation and any other person is not invalidated as to the corporation by any lack of authority of the signing officers in the absence of actual knowledge on the part of the other person that the signing officers had no authority if it is signed the types of officers identified in the statute.

Section 5.16. Personal Liability. A director, officer, or other volunteer is not personally liable in that capacity for any action taken or failure to take any action except liability for any of the following: (1) the amount of any financial benefit to which the person is not entitled; (2) an intentional infliction of harm on the corporation or its members; (3) a violation of the unlawful distribution provision; and (4) an intentional violation of criminal law.

ARTICLE VI COMMITTEES

Section 6.01. Committees of Directors. The Board of Directors, by resolution adopted by a majority of the full Board of Directors, may designate from among its officers an Executive Committee and one or more other committees, each of which, to the extent provided in such resolution, shall have and may exercise all the authority of the Board of Directors; provided, however, that no such committee shall have the authority of the Board of Directors in reference to:

- (a) amending the articles of incorporation;
- (b) adopting a plan of merger or consolidation;
- (c) recommending the sale, lease, exchange or other disposition of all or substantially all the property and assets of the Corporation;
- (d) recommending a voluntary dissolution of the Corporation or a revocation thereof;
- (e) amending, altering or repealing the bylaws of the Corporation;
- (f) electing, appointing or removing any director or officer of the Corporation; or
- (g) amending, altering or repealing any resolution of the directors, unless by its terms the resolution may be amended, altered or repealed by the committee.

The designation of any such committee and the delegation of authority to the committee shall not operate to relieve the Board of Directors, or any director, of any responsibility imposed by law.

Section 6.02. Other Committees. Other committees not having and exercising the authority of the Board of Directors may be designated by a resolution adopted by a majority of the directors present at a meeting at which a quorum is present. Except as otherwise provided in the resolution and the President of the Corporation shall appoint the members of the committees. Any member may be removed by the persons authorized to appoint the member whenever in their judgment the best interests of the Corporation would be served by removing the member. The Board of Directors may terminate any committee so designated as the Board of Directors deems appropriate.

Section 6.03. Term of Office. Unless otherwise provided in the resolution of the Board of Directors designating a committee or by the President in appointing a committee member, each member of a committee shall continue as a member until the next annual meeting of the members of the Corporation and until his or her successor is appointed, unless the committee is terminated sooner, or unless the member is removed from the committee, or unless the member ceases to qualify as a member of the committee.

Section 6.04. Chair. One member of each committee may be appointed chair by the person or persons authorized to appoint the members of the committee.

Section 6.05. Vacancies. Vacancies in the membership of any committee may be filled by appointments made in the same manner as in the case of the original appointments.

Section 6.06. Quorum. Unless otherwise provided in the resolution of the Board of Directors designating a committee or by the President in appointing a committee, a majority of the whole committee shall constitute a quorum and the act of a majority of the members present at a meeting at which a quorum is present shall be the act of the committee. A committee may act by unanimous consent in writing without a meeting and, subject to action by the Board of Directors, the committee by majority vote of its members may determine the time and place of meetings and the notice for meetings.

Section 6.07. Rules. Each committee may adopt rules for its own government not inconsistent with these bylaws or with rules adopted by the Board of Directors.

Section 6.08. Meetings by Conference Telephone. Members of a committee may participate in a meeting of the committee by conference telephone or similar communications equipment. All persons participating in the meeting shall be able to hear each other, and participation in a meeting pursuant to this provision shall constitute presence in person at the meeting.

ARTICLE VII

INDEMNIFICATION OF DIRECTORS AND OFFICERS; INSURANCE

Section 7.01. Indemnity. The Corporation shall indemnify and advance expenses to any person who was, is, or is threatened to be made a party to or witness in any threatened, pending or completed claim, action, suit or proceeding, whether civil, criminal, administrative or investigative (including a grand jury proceeding) and whether formal or informal, by reason of the fact that he or she (a) is or was a director or officer of the Corporation, or (b) while a director or officer of the corporation, is or was serving at the Corporation's request as a director, officer, employee, agent, partner or trustee (or in a similar capacity) of another foreign or domestic corporation, partnership, joint venture, limited liability company, trust, employee benefit plan or other enterprise, to the maximum extent it is empowered to indemnify and advance expenses to a director or officer by the Iowa Nonprofit Corporation Act, the Iowa Business Corporation Act, or other applicable law as all of the same now exists or may hereafter be amended or changed (but, in the case of any such amendment or change, only to the extent that such amendment or change empowers the Corporation to provide broader indemnification than said law empowered the Corporation to provide prior to such amendment or change), against expenses (including attorneys' fees), judgments, penalties, fines, including an excise tax assessed with respect to an employee benefit plan, and amounts paid in settlement actually and reasonably incurred by such person in connection with such claim, action, suit or proceeding or any appeal thereof.

Section 7.02. Payment. Any indemnification or advancement of expenses required under this article shall be made promptly upon, and in any event within thirty days after, the written request of the person entitled thereto. If the Corporation denies a written request for indemnity or advancement of expenses, in whole or in part, or if payment in full pursuant to such request is not made within thirty days of the date such request is received by the Corporation, the person seeking indemnification or advancement of expenses as granted by this article may at any time within the applicable statute of limitations bring suit against the Corporation in any court of competent jurisdiction to establish such person's right to indemnity or advancement of expenses. Such person's costs and expenses incurred in connection with successfully establishing his or her right to indemnification in any such action or proceeding shall also be indemnified by the Corporation.

Section 7.03. Contract. The provisions of this article shall be deemed a contract between the Corporation and each director or officer who serves in such capacity at any time while this article and the relevant provisions of the Iowa Nonprofit Corporation Act and Iowa Business Corporation Act are in effect, and any repeal or modification of any such law or of this article shall not adversely affect any rights or obligations then existing with respect to any state of facts then or theretofore existing or any claim, action, suit or proceeding theretofore or thereafter brought or threatened based in whole or in part upon any such state of facts.

Section 7.04. Nonexclusive. The indemnification and advancement of expenses provided by, or granted pursuant to, this article shall not be deemed exclusive of any other rights to which a person seeking indemnification or advancement of expenses may be entitled under any provision in the articles of incorporation or bylaws, agreements, vote of disinterested directors, or otherwise, both as to action in his or her official capacity and as to action in another capacity while holding the office, and shall continue as to a person who has ceased to be a director or officer and shall inure to the benefit of his or her heirs, executors, administrators and legal or personal representatives.

Section 7.05. Indemnification of employees, agents, and volunteers. The Corporation may, by action of the Board of Directors, provide indemnification and advancement of expenses to such of the employees,

agents, or volunteers of the Corporation to such extent and to such effect as the Board of Directors may determine to be appropriate and authorized by applicable law.

Section 7.06. Applicability. This article shall be applicable to all claims, actions, suits or proceedings commenced after the effective date hereof, whether arising from acts or omissions occurring before or after the effective date hereof. Each person who is now serving or who shall hereafter serve as a director or officer of the Corporation shall be deemed to be doing so in reliance upon the rights of indemnification provided for in this article, and such rights of indemnification shall continue as to a person who has ceased to be a director or officer, and shall inure to the benefit of his or her heirs, executors, administrators and legal or personal representatives.

Section 7.07. Validity and Enforceability. If this article or any portion hereof shall be held to be invalid or unenforceable on any ground by any court of competent jurisdiction, such holding shall not affect the validity or enforceability of the remaining provisions of this article, and the Corporation shall nevertheless indemnify each director and officer of the Corporation to the maximum extent permitted by any applicable portion of this article that shall not have been invalidated.

Section 7.08. Initiation of Claims. Notwithstanding anything in this article to the contrary, except with respect to proceedings initiated to enforce rights of indemnification to which such person is entitled under this article or otherwise, the Corporation shall indemnify any such person in connection with a claim, action, suit or proceeding (or part thereof) initiated by such person only if the initiation of such claim, action, suit or proceeding (or part thereof) was authorized by the Board of Directors.

Section 7.09. Insurance. The Corporation may purchase and maintain insurance, at its expense, on its own behalf or on behalf of an individual who is or was a director, officer, employee, agent, or volunteer of the Corporation, or is or was serving at the Corporation's request as a director, officer, employee, agent, partner, trustee (or in a similar capacity) of another foreign or domestic corporation, partnership, joint venture, limited liability company, trust, employee benefit plan or other enterprise, against any liability asserted against or incurred by such person in any such capacity, or arising from his or her status as such, whether or not the Corporation would have the power to indemnify such person against such liability under the provisions of this article, the Iowa Nonprofit Corporation Act, the Iowa Business Corporation Act or otherwise. The Corporation may create a trust fund, grant a security interest and/or use other means (including, without limitation, letters of credit, surety bonds and/or similar arrangements), as well as enter into contracts providing for indemnification to the maximum extent permitted by law and including as part thereof any or all of the foregoing, to ensure the payment of such sums as may become necessary to effect full indemnification. The Corporation's obligation to make indemnification and pay expenses pursuant to this article shall be in excess of any insurance purchased and maintained by the Corporation and such insurance shall be primary. To the extent that indemnity or expenses of a person entitled to indemnification and payment of expenses pursuant to this article are paid on behalf of or to such person by such insurance, such payments shall be deemed to be in satisfaction of the Corporation's obligation to such person to make indemnification and pay expenses pursuant to this article.

Section 7.10. No Self-Dealing. Notwithstanding anything in this article to the contrary, the Corporation shall not indemnify or advance expenses to any person if such indemnification or advancement of expenses would give rise to excise tax liability on the part of any person under section 4941 of the Internal Revenue Code of 1976 (or the corresponding provision of any future United States Internal Revenue Law).

Section 7.11. Definitions. For purposes of this article, references to "serving at the Corporation's request" shall include any service as a director, officer, employee, agent, or volunteer of the Corporation which also imposes duties on, or otherwise involves services by, such director, officer, employee, agent, or volunteer to an employee benefit plan or to participants in or beneficiaries of the plan.

Article VIII
Contracts, Loans, Checks, Deposits and Investments

Section 8.01. Contracts. The Board of Directors may authorize any officer or officers, agent or agents of the Corporation, in addition to the officers authorized by these bylaws, to enter into any contract or execute and deliver any instrument in the name of and on behalf of the Corporation, and such authority may be general or confined to specific instances.

Section 8.02. Loans. No loans shall be contracted on behalf of the Corporation and no evidences of indebtedness shall be issued in its name unless authorized by a resolution of the Board of Directors. Such authority may be general or confined to specific instances.

Section 8.03. Checks, Drafts, etc. All checks, drafts or orders for the payment of money, notes or other evidences of indebtedness issued in the name of the Corporation, shall be signed by such officer or officers, agent or agents of the Corporation and in such manner as may be determined by resolution of the Board of Directors. In the absence of a determination by the Board of Directors, the instruments shall be signed by the Treasurer or an Assistant Treasurer of the Corporation.

Section 8.04. Deposits. All funds of the Corporation shall be deposited to the credit of the Corporation in the banks, trust companies or other depositories as the Board of Directors may select.

Section 8.05. Investments. The funds of the Corporation may be retained in whole or in part in cash or be invested and reinvested from time to time in such property, real, personal or otherwise, including stocks, bonds or other securities, as the Board of Directors may deem desirable.

Section 8.06. Gifts. The Board of Directors or the President may accept on behalf of the Corporation any contribution, gift, bequest or devise for the general purposes or for any special purpose of the Corporation.

Section 8.07. Loans to Directors and Officers Prohibited. No loans shall be made by the Corporation to the directors or officers. Any director or officer who assents to or participates in the making of any such loan shall be liable to the Corporation for the amount of the loan until it is repaid.

ARTICLE IX

BOOKS AND RECORDS

Section 9.01. Books and Records Maintained. The Corporation shall keep correct and complete books and records of account and shall keep minutes of the proceedings of its Board of Directors and committees having any of the authority of the Board of Directors. The following records are to be kept at the principal office: articles, bylaws, resolutions, minutes, list of names and addresses of current directors and officers, the most recent annual report delivered to secretary of state, and appropriate accounting records.

Section 9.06. Inspection of Records by Directors. A director of a corporation is entitled to inspect and copy the books, records, and documents of the corporation to the extent reasonably related to the performance of the duties of a director as a director.

ARTICLE X

FISCAL YEAR

The fiscal year of the Corporation shall begin on the first day of _____ and end on the last day of _____ in each year.

ARTICLE XI

CONFLICT OF INTEREST

Section 11.01. Disclosure of Conflict of Interest. Any Director or committee member having a possible conflict of interest shall disclose that conflict of interest to the Board of Directors and be made a matter of record through an annual procedure and also when the interest becomes a matter of board action.

Section 11.02. Abstain from Voting and Influencing. Any Director having a possible conflict of interest on any matter shall abstain from voting on that matter and shall not use his/her influence on the matter, nor shall that Director be counted towards the required Quorum for voting on the matter. However, any Director with a possible conflict of interest may answer questions about the matter from other Directors after the disclosure of the conflict of interest has been made.

Section 11.03. Notice. Any new Director or committee member will be advised of this conflict of interest policy upon entering on the duties of his/her office.

**ARTICLE XII
SEAL**

The Board of Directors may provide a corporate seal, which shall be in the form of a circle and shall have inscribed the name of the Corporation and the words "Corporate Seal, [NAME OF CORPORATION]." The seal may be used by causing it or a facsimile thereof to be impressed or affixed or otherwise reproduced.

**ARTICLE XIII
WAIVER OF NOTICE**

Whenever any notice is required to be given to any director of the Corporation or to any member of a committee of the Corporation under the provisions of the Iowa Nonprofit Corporation Act or under the provisions of the articles of incorporation or bylaws of the Corporation, a waiver of notice in writing signed by the person or persons entitled to notice, whether before or after the time stated in the notice, shall be equivalent to the giving of notice.

**ARTICLE XIV
AMENDMENTS TO BYLAWS**

These bylaws may be altered, amended or repealed and new bylaws may be adopted by a majority of the directors present at any regular meeting or at any special meeting, if at least two days' written notice is given of intention to alter, amend or repeal or to adopt new bylaws at the meeting.

These Bylaws adopted at a meeting of the full Board on the _____ of _____, 2005 by a majority vote of the Directors in office.

DATED this _____ day of _____, 2005.

[Name of Organization]

By _____

President

By _____
Secretary

Appendix III

NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS

CODE OF ETHICS FOR MEMBERS

Goal

To establish a set of principles and practices for the members of the National Council of Nonprofit Associations that will set parameters and provide guidance for participation in NCNA.

Code

Members of the National Council of Nonprofit Association are committed to observing and promoting the highest ethical conduct in their performance of responsibilities and duties as a member of NCNA. Members pledge to accept this code as a minimum guideline for ethical support and shall:

Professional Excellence

1. Develop and encourage the practice of high standards of personal and professional conduct among themselves and their membership.
2. Exemplify a professional level of courtesy, respect, and objectivity when participating in all NCNA activities.

Accountability

3. Fully disclose, at the earliest opportunity, any information that may result in a perceived or actual conflict of interest while assuming committee or other responsibilities as a NCNA member.
4. Accurately and fully disclose, all information required for membership and participation in NCNA, and provide NCNA with any additional information as it is known that may adversely affect such eligibility or participation.
5. Faithfully abide by the by-laws and policies of NCNA.

6. Strive to uphold these practices and assist other NCNA members in upholding the highest standards of conduct.

Confidential Information

7. Respect the confidentiality of sensitive information known due to service on NCNA committees.

Collaboration and Cooperation

8. Respect the diversity of opinions as expressed or acted upon by any decision-making body of NCNA.

9. Promote collaboration, cooperation and partnership among NCNA members, including good faith efforts to come to mutual understanding between members when there is overlap in membership or service areas.

10. Communicate with other NCNA members about issues affecting respective geographic areas including intentions of doing business in a state and proactively work toward resolution of potential conflict.

Appendix IV

UNITED WAY OF AMERICA CODE OF ETHICS

Good decisions that are ethical and in accordance with applicable legal requirements. All are encouraged to discuss any questions or concerns they have with a supervisor or with the UWA Staff Ethics Officer.

1. PERSONAL AND PROFESSIONAL INTEGRITY

A personal commitment to integrity in all circumstances benefits each individual as well as the organization. We therefore:

- Strive to meet the highest standards of performance, quality, service and achievement in working towards the UWA mission.
- Communicate honestly and openly and avoid misrepresentation.
- Promote a working environment where honesty, open communication and minority opinions are valued.
- Exhibit respect and fairness toward all those with whom we come into contact.



2. ACCOUNTABILITY

UWA is responsible to its stakeholders, which include member UWA organizations, donors and others who have placed faith in UWA.

To uphold this trust we:

- Promote good stewardship of UWA resources, including membership fees, grants and other contributions that are used to pay operating expenses, salaries, and employee benefits.
- Refrain from using organizational resources for non-UWA purposes.
- Observe and comply with all laws and regulations affecting UWA.

3. SOLICITATIONS AND VOLUNTARY GIVING

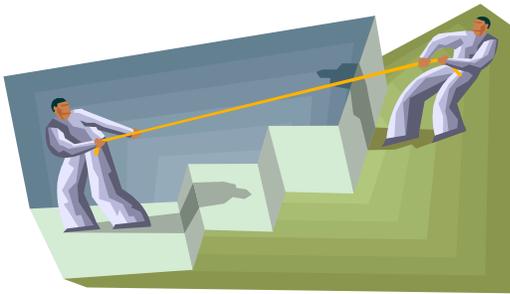
The most responsive contributors are those who have the opportunity to become informed and involved. We therefore:

- Promote voluntary giving in dealing with donors and vendors.
- Refrain from any use of coercion in fundraising activities, including predicated professional advancement on response to solicitations.

4. DIVERSITY AND EQUAL OPPORTUNITY

UWA is an equal opportunity employer and is committed to the principle of diversity. We therefore:

- Value, champion, and embrace diversity in all aspects of UWA activities and respect others without regard to race, color, religion, creed, age, sex, national origin or ancestry, marital status, veteran status, sexual orientation, or status as a qualified disabled or handicapped individual.
- Support affirmative action and equal employment opportunity programs throughout UWA.
- Refuse to engage in or tolerate in any other form of discrimination or harassment.



5. CONFLICTS OF INTEREST

To avoid any conflict of interest or the appearance of a conflict of interest which could tarnish the reputation of UWA as well as undermine the public's trust in all United Way organizations, UWA staff and representatives:

- Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of UWA, including involvement with a current or potential UWA vendor, grantee, or competing organization unless disclosed to and not deemed to be inappropriate by the UWA Staff Ethics Officer and UWA Board Ethics Committee.
- Ensure that outside employment and other activities do not adversely affect the performance of their UWA duties or the achievement of UWA's mission.
- Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of UWA and not for personal gain or interests.
- Decline any gift, gratuity or favor in the performance of UWA duties except for promotional items of nominal value, and any food, transportation, lodging or entertainment unless directly related to UWA business.

- Refrain from influencing the selection of staff, consultants or vendors who are relatives or personal friends or affiliated with, employ, or employed by a person with whom they have a relationship that adversely affects the appearance of impartiality.

UWA VOLUNTEERS:

- Should not knowingly take any action, or make any statement, intended to influence the conduct of UWA in such a way to confer any financial benefit on themselves, their immediate family members or any organization in which they or their immediate family members have a significant interest as stakeholders, directors or officers.
- Disclose all known conflicts or potential conflicts of interest in any matter before the Board of Governors, if they are Board members, or any committee upon which they serve and withdraw from the meeting room during any discussion, review and voting in connection with such matter.
- Members of the Board shall annually file with the Staff Ethics Officer a disclosure of all known potential conflicts of interest.

6. CONFIDENTIALITY AND PRIVACY

Confidentiality is a hallmark of professionalism. We therefore:

- Ensure that all information, which is confidential, privileged or nonpublic, is not disclosed inappropriately.
- Respect the privacy rights of all individuals in the performance of their UWA duties.



7. POLITICAL CONTRIBUTIONS

UWA encourages individual participation in civic affairs.

However as a charitable organization, UWA may not make contributions to any candidate for public office or political committee and may not intervene in any political campaign on behalf of or in opposition to any candidate for public office.

We therefore:

- Refrain from making any contributions to any candidate for public office or political committee on behalf of UWA.

- Refrain from making any contributions to any candidate for public office or political committee in a manner that may create the appearance that the contribution is on behalf of UWA.
- Refrain from using any organizational financial resources, facilities or personnel to endorse or oppose a candidate for public office
- Clearly communicate that we are not acting on behalf of the organization, if identified as an official of UWA, while engaging in political activities in an individual capacity.
- Refrain from engaging in political activities in a manner that that may create the appearance that such activity is by or on behalf of UWA.

ATTACHMENT A: REVISED Educational Functioning Level (EFL) Descriptors Levels

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ADULT BASIC EDUCATION LEVELS			
Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
<p>Beginning ABE Literacy</p> <p><i>Test Benchmark:</i> <i>TABE (7–8 and 9–10) scale scores (grade level 0–1.9):</i> Reading: 367 and below Total Math: 313 and below Language: 392 and below</p> <p><i>CASAS scale scores:</i> Reading: 200 and below Math: 200 and below Writing: 200 and below</p> <p><i>ABLE scale scores (grade level 0–1.9):</i> Reading: 523 and below Math: 521 and below</p>	<p>Individual has no or minimal reading and writing skills. May have little or no comprehension of how print corresponds to spoken language and may have difficulty using a writing instrument. At the upper range of this level, individual can recognize, read, and write letters and numbers but has a limited understanding of connected prose and may need frequent re-reading. Can write a limited number of basic sight words and familiar words and phrases; may also be able to write simple sentences or phrases, including very simple messages. Can write basic personal information. Narrative writing is disorganized and unclear, inconsistently uses simple punctuation (e.g., periods, commas, question marks), and contains frequent errors in spelling.</p>	<p>Individual has little or no recognition of numbers or simple counting skills or may have only minimal skills, such as the ability to add or subtract single digit numbers.</p>	<p>Individual has little or no ability to read basic signs or maps and can provide limited personal information on simple forms. The individual can handle routine entry level jobs that require little or no basic written communication or computational skills and no knowledge of computers or other technology.</p>
<p>Beginning Basic Education</p> <p><i>Test Benchmark:</i> <i>TABE (7–8 and 9–10) scale scores (grade level 2–3.9):</i> Reading: 368–460 Total Math: 314–441 Language: 393–490</p> <p><i>CASAS scale scores:</i> Reading: 201–210 Math: 201–210 Writing: 201–225</p> <p><i>ABLE scale scores (grade level 2–3.9):</i> Reading: 525–612 Math: 530–591</p>	<p>Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing a familiar vocabulary; can write simple notes and messages on familiar situations but lacks clarity and focus. Sentence structure lacks variety, but individual shows some control of basic grammar (e.g., present and past tense) and consistent use of punctuation (e.g., periods, capitalization).</p>	<p>Individual can count, add, and subtract three digit numbers, can perform multiplication through 12, can identify simple fractions, and perform other simple arithmetic operations.</p>	<p>Individual is able to read simple directions, signs, and maps, fill out simple forms requiring basic personal information, write phone messages, and make simple changes. There is minimal knowledge of and experience with using computers and related technology. The individual can handle basic entry level jobs that require minimal literacy skills; can recognize very short, explicit, pictorial texts (e.g., understands logos related to worker safety before using a piece of machinery); and can read want ads and complete simple job applications.</p>

Notes: The descriptors are *entry-level* descriptors and are illustrative of what a typical student functioning at that level should be able to do. They are not a full description of skills for the level. ABLE = Adult Basic Learning Examination; CASAS = Comprehensive Adult Student Assessment System; SPL = student performance levels; and TABE = Test of Adult Basic Education.

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ADULT BASIC EDUCATION LEVELS			
Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
<p>Low Intermediate Basic Education</p> <p><i>Test Benchmark:</i> <i>TABE (7–8 and 9–10) scale scores (grade level 4–5.9):</i> Reading: 461–517 Total Math: 442–505 Language: 491–523</p> <p><i>CASAS scale scores:</i> Reading: 211–220 Math: 211–220 Writing: 226–242</p> <p><i>ABLE scale scores (grade level 4–5.9):</i> Reading: 613–644 Math: 593–641</p>	<p>Individual can read text on familiar subjects that have a simple and clear underlying structure (e.g., clear main idea, chronological order); can use context to determine meaning; can interpret actions required in specific written directions; can write simple paragraphs with a main idea and supporting details on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; and can self and peer edit for spelling and punctuation errors.</p>	<p>Individual can perform with high accuracy all four basic math operations using whole numbers up to three digits and can identify and use all basic mathematical symbols.</p>	<p>Individual is able to handle basic reading, writing, and computational tasks related to life roles, such as completing medical forms, order forms, or job applications; and can read simple charts, graphs, labels, and payroll stubs and simple authentic material if familiar with the topic. The individual can use simple computer programs and perform a sequence of routine tasks given direction using technology (e.g., fax machine, computer operation). The individual can qualify for entry level jobs that require following basic written instructions and diagrams with assistance, such as oral clarification; can write a short report or message to fellow workers; and can read simple dials and scales and take routine measurements.</p>
<p>High Intermediate Basic Education</p> <p><i>Test Benchmark:</i> <i>TABE (7–8 and 9–10) scale scores (grade level 6–8.9):</i> Reading: 518–566 Total Math: 506–565 Language: 524–559</p> <p><i>CASAS scale scores:</i> Reading: 221–235 Math: 221–235 Writing: 243–260</p> <p><i>ABLE scale score (grade level 6–8.9):</i> Reading: 646–680 Math: 643–693</p> <p><i>WorkKeys scale scores:</i> Reading for Information: 75–78 Writing: 75–77 Applied Mathematics: 75–77</p>	<p>Individual is able to read simple descriptions and narratives on familiar subjects or from which new vocabulary can be determined by context and can make some minimal inferences about familiar texts and compare and contrast information from such texts but not consistently. The individual can write simple narrative descriptions and short essays on familiar topics and has consistent use of basic punctuation but makes grammatical errors with complex structures.</p>	<p>Individual can perform all four basic math operations with whole numbers and fractions; can determine correct math operations for solving narrative math problems and can convert fractions to decimals and decimals to fractions; and can perform basic operations on fractions.</p>	<p>Individual is able to handle basic life skills tasks such as graphs, charts, and labels and can follow multistep diagrams; can read authentic materials on familiar topics, such as simple employee handbooks and payroll stubs; can complete forms such as a job application and reconcile a bank statement. Can handle jobs that involve following simple written instructions and diagrams; can read procedural texts, where the information is supported by diagrams, to remedy a problem, such as locating a problem with a machine or carrying out repairs using a repair manual. The individual can learn or work with most basic computer software, such as using a word processor to produce own texts, and can follow simple instructions for using technology.</p>

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ADULT SECONDARY EDUCATION LEVELS			
Literacy Level	Basic Reading and Writing	Numeracy Skills	Functional and Workplace Skills
<p>Low Adult Secondary Education</p> <p><i>Test Benchmark:</i> <i>TABE (7–8 and 9–10): scale scores (grade level 9–10.9):</i> Reading: 567–595 Total Math: 566–594 Language: 560–585</p> <p><i>CASAS scale scores:</i> Reading: 236–245 Math: 236–245 Writing: 261–270</p> <p><i>ABLE scale scores (grade level 9–10.9):</i> Reading: 682–697 Math: 694–716</p> <p><i>WorkKeys scale scores:</i> Reading for Information: 79–81 Writing: 78–85 Applied Mathematics: 78–81</p>	<p>Individual can comprehend expository writing and identify spelling, punctuation, and grammatical errors; can comprehend a variety of materials such as periodicals and nontechnical journals on common topics; can comprehend library reference materials and compose multiparagraph essays; can listen to oral instructions and write an accurate synthesis of them; and can identify the main idea in reading selections and use a variety of context issues to determine meaning. Writing is organized and cohesive with few mechanical errors; can write using a complex sentence structure; and can write personal notes and letters that accurately reflect thoughts.</p>	<p>Individual can perform all basic math functions with whole numbers, decimals, and fractions; can interpret and solve simple algebraic equations, tables, and graphs and can develop own tables and graphs; and can use math in business transactions.</p>	<p>Individual is able or can learn to follow simple multistep directions and read common legal forms and manuals; can integrate information from texts, charts, and graphs; can create and use tables and graphs; can complete forms and applications and complete resumes; can perform jobs that require interpreting information from various sources and writing or explaining tasks to other workers; is proficient using computers and can use most common computer applications; can understand the impact of using different technologies; and can interpret the appropriate use of new software and technology.</p>
<p>High Adult Secondary Education</p> <p><i>Test Benchmark:</i> <i>TABE (7–8 and 9–10): scale scores (grade level 11–12):</i> Reading: 596 and above Total Math: 595 and above Language: 586 and above</p> <p><i>CASAS scale scores:</i> Reading: 246 and above Math: 246 and above Writing: 271 and above</p> <p><i>ABLE scale scores (grade level 11–12):</i> Reading: 699 and above Math: 717 and above</p> <p><i>WorkKeys scale scores:</i> Reading for Information: 82–90 Writing: 86–90 Applied Mathematics: 82–90</p>	<p>Individual can comprehend, explain, and analyze information from a variety of literacy works, including primary source materials and professional journals, and can use context cues and higher order processes to interpret meaning of written material. Writing is cohesive with clearly expressed ideas supported by relevant detail, and individual can use varied and complex sentence structures with few mechanical errors.</p>	<p>Individual can make mathematical estimates of time and space and can apply principles of geometry to measure angles, lines, and surfaces and can also apply trigonometric functions.</p>	<p>Individual is able to read technical information and complex manuals; can comprehend some college level books and apprenticeship manuals; can function in most job situations involving higher order thinking; can read text and explain a procedure about a complex and unfamiliar work procedure, such as operating a complex piece of machinery; can evaluate new work situations and processes; and can work productively and collaboratively in groups and serve as facilitator and reporter of group work. The individual is able to use common software and learn new software applications; can define the purpose of new technology and software and select appropriate technology; can adapt use of software or technology to new situations; and can instruct others, in written or oral form, on software and technology use.</p>

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	Listening and Speaking	Basic Reading and Writing	Functional and Workplace Skills
<p>Beginning ESL Literacy</p> <p><i>Test Benchmark:</i> <i>CASAS scale scores:</i> Reading: 180 and below Listening: 180 and below</p> <p>Oral BEST: 0–15 (SPL 0–1) BEST Plus: 400 and below (SPL 0–1) BEST Literacy: 0–7 (SPL 0–1)</p>	<p>Individual cannot speak or understand English, or understands only isolated words or phrases.</p>	<p>Individual has no or minimal reading or writing skills in any language. May have little or no comprehension of how print corresponds to spoken language and may have difficulty using a writing instrument.</p>	<p>Individual functions minimally or not at all in English and can communicate only through gestures or a few isolated words, such as name and other personal information; may recognize only common signs or symbols (e.g., stop sign, product logos); can handle only very routine entry-level jobs that do not require oral or written communication in English. There is no knowledge or use of computers or technology.</p>
<p>Low Beginning ESL</p> <p><i>Test benchmark:</i> <i>CASAS scale scores</i> Reading: 181–190 Listening: 181–190 Writing: 136–145</p> <p>Oral BEST 16–28 (SPL 2) BEST Plus: 401–417 (SPL 2) BEST Literacy: 8–35 (SPL 2)</p>	<p>Individual can understand basic greetings, simple phrases and commands. Can understand simple questions related to personal information, spoken slowly and with repetition. Understands a limited number of words related to immediate needs and can respond with simple learned phrases to some common questions related to routine survival situations. Speaks slowly and with difficulty. Demonstrates little or no control over grammar.</p>	<p>Individual can read numbers and letters and some common sight words. May be able to sound out simple words. Can read and write some familiar words and phrases, but has a limited understanding of connected prose in English. Can write basic personal information (e.g., name, address, telephone number) and can complete simple forms that elicit this information.</p>	<p>Individual functions with difficulty in social situations and in situations related to immediate needs. Can provide limited personal information on simple forms, and can read very simple common forms of print found in the home and environment, such as product names. Can handle routine entry level jobs that require very simple written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge and experience with computers.</p>
<p>High Beginning ESL</p> <p><i>Test benchmark:</i> <i>CASAS scale scores</i> Reading: 191–200 Listening: 191–200 Writing: 146–200</p> <p>Oral BEST 29–41 (SPL 3) BEST Plus: 418–438 (SPL 3) BEST Literacy: 36–46 (SPL 3)</p>	<p>Individual can understand common words, simple phrases, and sentences containing familiar vocabulary, spoken slowly with some repetition. Individual can respond to simple questions about personal everyday activities, and can express immediate needs, using simple learned phrases or short sentences. Shows limited control of grammar.</p>	<p>Individual can read most sight words, and many other common words. Can read familiar phrases and simple sentences but has a limited understanding of connected prose and may need frequent re-reading.</p> <p>Individual can write some simple sentences with limited vocabulary. Meaning may be unclear. Writing shows very little control of basic grammar, capitalization and punctuation and has many spelling errors.</p>	<p>Individual can function in some situations related to immediate needs and in familiar social situations. Can provide basic personal information on simple forms and recognizes simple common forms of print found in the home, workplace and community. Can handle routine entry level jobs requiring basic written or oral English communication and in which job tasks can be demonstrated. May have limited knowledge or experience using computers.</p>

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	Listening and Speaking	Basic Reading and Writing	Functional and Workplace Skills
<p>Low Intermediate ESL</p> <p><i>Test Benchmark:</i> <i>CASAS scale scores:</i> Reading: 201–210 Listening: 201–210 Writing: 201–225</p> <p>Oral BEST: 42–50 (SPL 4) BEST Plus: 439–472 (SPL 4) BEST Literacy: 47–53 (SPL 4)</p>	<p>Individual can understand simple learned phrases and limited new phrases containing familiar vocabulary spoken slowly with frequent repetition; can ask and respond to questions using such phrases; can express basic survival needs and participate in some routine social conversations, although with some difficulty; and has some control of basic grammar.</p>	<p>Individual can read simple material on familiar subjects and comprehend simple and compound sentences in single or linked paragraphs containing a familiar vocabulary; can write simple notes and messages on familiar situations but lacks clarity and focus. Sentence structure lacks variety but shows some control of basic grammar (e.g., present and past tense) and consistent use of punctuation (e.g., periods, capitalization).</p>	<p>Individual can interpret simple directions and schedules, signs, and maps; can fill out simple forms but needs support on some documents that are not simplified; and can handle routine entry level jobs that involve some written or oral English communication but in which job tasks can be demonstrated. Individual can use simple computer programs and can perform a sequence of routine tasks given directions using technology (e.g., fax machine, computer).</p>
<p>High Intermediate ESL</p> <p><i>Test Benchmark:</i> <i>CASAS scale scores:</i> Reading: 211–220 Listening: 211–220 Writing: 226–242</p> <p>Oral BEST: 51–57 (SPL 5) BEST Plus: 473–506 (SPL 5) BEST Literacy: 54–65 (SPL 5-6)</p>	<p>Individual can understand learned phrases and short new phrases containing familiar vocabulary spoken slowly and with some repetition; can communicate basic survival needs with some help; can participate in conversation in limited social situations and use new phrases with hesitation; and relies on description and concrete terms. There is inconsistent control of more complex grammar.</p>	<p>Individual can read text on familiar subjects that have a simple and clear underlying structure (e.g., clear main idea, chronological order); can use context to determine meaning; can interpret actions required in specific written directions; can write simple paragraphs with main idea and supporting details on familiar topics (e.g., daily activities, personal issues) by recombining learned vocabulary and structures; and can self and peer edit for spelling and punctuation errors.</p>	<p>Individual can meet basic survival and social needs, can follow some simple oral and written instruction, and has some ability to communicate on the telephone on familiar subjects; can write messages and notes related to basic needs; can complete basic medical forms and job applications; and can handle jobs that involve basic oral instructions and written communication in tasks that can be clarified orally. Individual can work with or learn basic computer software, such as word processing, and can follow simple instructions for using technology.</p>

Outcome Measures Definitions			
EDUCATIONAL FUNCTIONING LEVEL DESCRIPTORS—ENGLISH AS A SECOND LANGUAGE LEVELS			
Literacy Level	Listening and Speaking	Basic Reading and Writing	Functional and Workplace Skills
<p>Advanced ESL Test Benchmark: <i>CASAS scale scores:</i> Reading: 221–235 Listening: 221–235 Writing: 243–260</p> <p>Oral BEST 58–64 (SPL 6) BEST Plus: 507–540 (SPL 6) BEST Literacy: 66 and above (SPL 7)</p> <p>Exit Criteria: CASAS Reading and Listening: 236 and above</p> <p>CASAS Writing: 261 and above Oral BEST 65 and above (SPL 7) BEST Plus: 541 and above (SPL 7)</p>	<p>Individual can understand and communicate in a variety of contexts related to daily life and work. Can understand and participate in conversation on a variety of everyday subjects, including some unfamiliar vocabulary, but may need repetition or rewording. Can clarify own or others' meaning by rewording. Can understand the main points of simple discussions and informational communication in familiar contexts. Shows some ability to go beyond learned patterns and construct new sentences. Shows control of basic grammar but has difficulty using more complex structures. Has some basic fluency of speech.</p>	<p>Individual can read moderately complex text related to life roles and descriptions and narratives from authentic materials on familiar subjects. Uses context and word analysis skills to understand vocabulary, and uses multiple strategies to understand unfamiliar texts. Can make inferences, predictions, and compare and contrast information in familiar texts. Individual can write multi-paragraph text (e.g., organizes and develops ideas with clear introduction, body, and conclusion), using some complex grammar and a variety of sentence structures. Makes some grammar and spelling errors. Uses a range of vocabulary.</p>	<p>Individual can function independently to meet most survival needs and to use English in routine social and work situations. Can communicate on the telephone on familiar subjects. Understands radio and television on familiar topics. Can interpret routine charts, tables and graphs and can complete forms and handle work demands that require non-technical oral and written instructions and routine interaction with the public. Individual can use common software, learn new basic applications, and select the correct basic technology in familiar situations.</p>

ATTACHMENT E: EFL Crosswalk

New EFL	Old EFL	ABE	ESL	Basic Skills Deficient
1	1		Beginning ESL Literacy	Basic Skills Deficient
2			Low Beginning ESL Literacy	
3		Beginning ABE Literacy	High Beginning ESL Literacy	
4	2	Beginning Basic Education	Low Intermediate ESL	
5	3	Low Intermediate Basic Education	High Intermediate ESL	
6	4	High Intermediate Basic Education	Advanced ESL	
7	5	Low Adult Secondary Education	Exit ESL	Not Basic Skills Deficient
8	6	High Adult Secondary Education		

Forms

Desk Aids

2008 Poverty Guidelines and Lower Living Standard Income Level (LLSIL)

Poverty Guidelines effective January 23, 2008 LLSIL effective April 25, 2008

WIA defines the term “low income individual” as one who qualifies under various criteria, including an individual who received income for a six-month period prior to application that, when multiplied by two, does not exceed the higher of the poverty guideline or 70 percent of the LLSIL. A minimum of 55 percent of Adult program participants must be welfare recipients or low-income individuals. Up to 40 percent of WIA funds may be used for individuals whose family income does not exceed 150 percent of the LLSIL. The remaining 5 percent must meet the criteria established in the Regional Customer Service Plan.

2008 Poverty Guidelines for the 48 Contiguous States

<u>Family Size</u>	<u>Poverty Guideline</u>
1	\$10,400
2	\$14,000
3	\$17,600
4	\$21,200
5	\$24,800
6	\$28,400
7	\$32,000
8	\$35,600

For family units with more than 8 members, add \$3,600 for each additional member.

70% of the 2008 LLSIL

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	\$ 8,040	\$8,392
2	\$13,171	\$13,756
3	\$18,080	\$18,880
4	\$22,317	\$23,309
5	\$26,340	\$27,504
6	\$30,804	\$32,172
7	(1)	(2)

(1) For each additional family member, add \$4,464.

(2) For each additional family member, add \$4,668.

2008 Lower Living Standard Income Level (100%)

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	\$11,486	\$11,988
2	\$18,815	\$19,651
3	\$25,829	\$26,972
4	\$31,881	\$33,298
5	\$37,629	\$39,292
6	\$44,005	\$45,960
7	(1)	(2)

(1) For each additional family member, add \$6,376.

(2) For each additional family member, add \$6,668.

150% of the 2008 LLSIL

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	\$17,229	\$17,982
2	\$28,223	\$29,477
3	\$38,744	\$40,458
4	\$47,822	\$49,947
5	\$56,444	\$58,938
6	\$66,008	\$68,940
7	(1)	(2)

(1) For each additional family member, add \$9,564.

(2) For each additional family member, add \$10,002.

2009 Poverty Guidelines and Lower Living Standard Income Level (LLSIL)

Poverty Guidelines effective January 23, 2009 LLSIL effective March 26, 2009

WIA defines the term “low income individual” as one who qualifies under various criteria, including an individual who received income for a six-month period prior to application that, when multiplied by two, does not exceed the higher of the poverty guideline or 70 percent of the LLSIL. A minimum of 55 percent of Adult program participants must be welfare recipients or low-income individuals. Up to 40 percent of WIA funds may be used for individuals whose family income does not exceed 150 percent of the LLSIL. The remaining 5 percent must meet the criteria established in the Regional Customer Service Plan.

2009 Poverty Guidelines for the 48 Contiguous States

<u>Family Size</u>	<u>Poverty Guideline</u>
1	\$10,830
2	\$14,570
3	\$18,310
4	\$22,050
5	\$25,790
6	\$29,530
7	\$33,270
8	\$37,010

For family units with more than 8 members, add \$3,740 for each additional member.

70% of the 2009 LLSIL

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	\$ 8,024	\$8,366
2	\$13,144	\$13,714
3	\$18,044	\$18,824
4	\$22,272	\$23,239
5	\$26,288	\$27,422
6	\$30,742	\$32,075
7	(1)	(2)

(1) For each additional family member, add \$4,454.

(2) For each additional family member, add \$4,653.

2009 Lower Living Standard Income Level (100%)

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	\$11,463	\$11,952
2	\$18,777	\$19,592
3	\$25,777	\$26,891
4	\$31,817	\$33,198
5	\$37,554	\$39,174
6	\$43,917	\$45,822
7	(1)	(2)

(1) For each additional family member, add \$6,363.

(2) For each additional family member, add \$6,648.

150% of the 2009 LLSIL

<u>Family Size</u>	<u>Non-Metro</u>	<u>Metro</u>
1	\$17,195	\$17,928
2	\$28,166	\$29,388
3	\$38,666	\$40,337
4	\$47,726	\$49,797
5	\$56,331	\$58,761
6	\$65,876	\$68,733
7	(1)	(2)

(1) For each additional family member, add \$9,545.

(2) For each additional family member, add \$9,972.

How do we determine whether a WIA youth is in-school or out-of-school?

Definition from Sec. 101(33)

The term “out-of-school youth” means – (A) an eligible youth who is a school dropout; or (B) an eligible youth who has received a secondary school diploma or its equivalent but is basic skills deficient, unemployed, or underemployed.

Clarification of Definition from TEGL 14-00, Change 1, dated 11/19/01

The definition of out-of-school youth is: “all youth except those who are attending any school and have not received a secondary school diploma or its recognized equivalent and except those who are attending post-secondary school and are not basic skills deficient.”

Hint: The determination of whether a youth is in-school or out-of-school is much easier if we first think of youth as belonging to one of five basic categories at the time of registration, as follows:

1. A youth attending secondary (middle or high) school.

This is always an in-school youth.

2. A youth who is a high school dropout.

This is always an out-of-school youth. You need not ask additional questions. Dropout status says it all.

3. A youth who is attending an alternative school.

This is generally an in-school youth because an “alternative school” falls under the Act’s terminology “attending any school.” However, the State and/or local level has the flexibility to further define the term “alternative school” by defining what programs of study might be excluded from the definition. (Examples of such programs could include GED, skills training, or other remedial education programs offered by a community-based organization.) Further definition at the State and/or local level should not be inconsistent with the Act, the regulations, other federal statutes and regulations governing One-Stop partner programs, or State/local education policies. Once this is defined at the State or local level, it may result in youth attending such community-based programs as being classified as out-of-school because the programs such youth are attending do not fall under the State/local definition of “alternative school.”

4. A youth who is a high school graduate (or has attained a GED) attending post-secondary education.

To determine if this youth should be classified as an in-school youth or an out-of-school youth, we must first ascertain if the youth is basic skills deficient. If the answer is yes, this is an out-of-school youth. If the answer is no, this is an in-school youth.

5. A youth who is a high school graduate (or has attained a GED) not attending post-secondary education.

We must first ask: Is this youth basic skills deficient or unemployed or underemployed? If the answer to any one of the three questions is yes, this is an out-of-school youth. (Note that if the youth are not one of these three things, there would be no reason to enroll them so this is usually an out-of-school youth by default.) However, if by chance the answer is no to all three questions, then this is an in-school youth. (Again, we don’t expect to see many WIA youth participants who, for instance, are fully employed and attending post-secondary education.)