

Workforce Investment Act of 1998
as Amended (PL 105-220), Title 1

EMPLOYMENT AND TRAINING

ADULT AND DISLOCATED WORKER
SCOPE OF WORK

PURPOSE:

The purpose of the Scope of Work is to define the parameters of work, and to clarify the Northwest Region Workforce Investment Board's expectations of contractors / program providers. The Workforce Investment Act of 1998 and State of Missouri have specified certain actions that must be taken by the Local Workforce Investment Board, and that must be taken by program providers under contract to the Workforce Investment Board (WIB). When actions are defined in Department of Labor (DOL) Training and Employment Guidelines (TEGLs) and in Division of Workforce Development (DWD) Issuances, those documents will be passed directly to program providers for implementation when they affect the parameters of work.

Additional parameters or requirements will be identified and communicated by the WIB on a continuous basis. These changes or additions may be the result of changes in policies and regulations, or changes needed in order to address issues uncovered in state and sub-state monitoring of provider activities. These requirements provide guidance as **subcontractors** verify the eligibility of and provide services to customers for the Adult, Dislocated Worker and Youth programs; assure qualified employees when hiring Workforce Investment Act (WIA) Case Managers and other counselors; assure equal access to services by those with disabilities; and assure equal employment opportunities in both hiring practices and in serving customers, as defined by federal law.

The Scope of Work is not meant to rewrite the Federal and State laws, regulations, or policies, but is designed to inform contractors of actions the WIB expects in order to be in compliance with those laws.

Requirements:

The Workforce Investment Act of 1998, as amended (PL 105-220), Missouri State, and Local Northwest Region Workforce Investment Board policy clarifications to that act require the following actions and services of Employment and Training Adult and Dislocated Worker and Youth Program providers.

Coordination and Integration of Services:

Program subcontractors are encouraged to assure seamless integration and coordination of services for individual employment, education and training customers, and business customers utilizing services provided by local, regional, state, and federal sources.

Customers receiving workforce investment services authorized under this subtitle, including the provision of employment, education and training, transportation, supportive, and business services should be able to access services through a fully-integrated, single-point-of-contact system.

The key to having a fully-integrated system is making customer service the centerpiece of the provider's organization goals for the WIA programs. This requires transparent boundaries and provision of services through team work and development of effective relationships across agencies. Services to be provided and their definitions follow.

Business Services:

Program subcontractors will meet the needs of businesses in the Northwest Region, as described in the Northwest Region Workforce Investment Board Business Services Outreach Plan (*Attachment A*), working in cooperation with a multi-agency business services team single-point-of-contact approach.

Core Services (WIA Section 134(d) (2)):

A. Core Services fall into two (2) primary categories:

1. Customer Self-Service: Self-service implies that the customer can access these services with little or no Staff Assistance. i.e., use of the Resource Room and Great Hires for job search. For this level of service the customer does not have to be registered in Toolbox or WIA. All customers regardless of eligibility are entitled to this level of service.
2. Staff Assisted Core Services are defined in the Northwest Region, for WIA Title I Adult and Dislocated Workers as those Core Services requiring significant Staff involvement, either on a one-to-one or a group basis, in terms of resources and/or time. Any time staff spends with customers in Staff-Assisted Core Service activities requires customer registration in Great Hires and Toolbox. All customers regardless of eligibility are entitled to this level of service.

B. The amount of staff time and/or resources necessary to assist the customer in completing these services will be customized according to individual needs.

INITIAL ASSESSMENT – Preliminary evaluation of the applicants' skill levels, aptitudes, abilities and supportive service needs. If the applicant stays at Core Service, the initial assessment may be informal. As the applicant moves to more staff-assisted Core Services, the assessments move to the objective assessment level.

JOB SEARCH AND PLACEMENT – The identification of job openings, completion of job applications, scheduling of job interviews and hiring of a customer into an identified job.

JOB REFERRALS – Arranging interviews that may lead to employment for customers.

JOB DEVELOPMENT – The location and recruitment of job openings, either for specific customers or to be added to a list of available job openings.

WORKSHOPS AND JOB CLUBS – Training customers in job seeking and job holding techniques through interactive presentations, which may be combined with support group (job club) interaction and activities designed to reinforce the customer's resolve in their job search efforts.

CORE FOLLOW-UP SERVICES – Regularly scheduled informational and workplace counseling contact with customers and/or their employers for customers who are placed into unsubsidized employment through staff-supported Core Services. Follow-up should be for not less than 12 months after the first day of employment.

- C. Core Services shall be available to all adults and dislocated workers, through the Missouri Career Center (MCC), and shall, at a minimum, include:
1. Outreach, intake (may include worker profiling), and orientation to inform customers about services available through the MCC system. This service is available to all customers, regardless of eligibility determination.
 2. Initial assessment of aptitudes and abilities and supportive services available. The initial assessment, a Staff-Assisted Core Service, is a data gathering process, which will provide information about an individual's basic literacy and occupational skill levels, to enable appropriate referrals to services.
 - a. The purpose of assessment is to help customers and staff make decisions about appropriate employment goals and develops effective service strategies for reaching those goals.
 - b. Meaningful service planning cannot occur in the absence of effective assessment practices.
 - c. There is no single correct approach to conducting assessment, which may be:
 - Informal, structured interviews at intake
 - Use of objective evaluation/assessment instruments
 - Combination of processes
 - d. Assessments can be conducted by:
 - WIA Title 1 Program Subcontractors
 - Partner agencies
 - Outside organizations on a contract basis
 3. Job search and placement assistance, and when appropriate, career counseling;

4. Labor market information including local, regional, and national labor market areas, including:
 - a. Job vacancy listings in the local area;
 - b. Information on job skills necessary to obtain employment; and
 - c. Information relating to local occupations in demand, and the earnings and skill requirements for such occupations.
5. Performance information and program costs information on eligible training service providers, adult education providers, post-secondary vocational education activities and vocational education activities available to dropouts, and providers of vocational rehabilitation services;
6. Information on present local performance standards and any additional performance information with respect to the local MCC;
7. Accurate information relating to local availability of Supportive Services, including child care and transportation, and referral to services;
8. Financial aid assistance for training and education services not funded under this Act, but available in the local area.
9. Eligibility determination to receive services under this sub-title;

Intensive Services (WIA Section 134(d) (3)):

A. Eligibility. Intensive Services shall be provided to adults and dislocated workers who are:

1. 18 years of age or older; and
2. Unemployed and unable to obtain employment through core services; and
3. Determined by the MCC staff to be in need of more intensive services in order to obtain employment; or
4. Employed, but who are determined by the MCC staff to be in need of intensive services in order to obtain/retain employment that allows for self-sufficiency.

B. Delivery of Services. Intensive services shall be provided through the local MCC:

1. Directly through MCC staff; or
2. Through contracts with such entities as approved by the local board:
 - a. Public;

- b. Private-for-profit; and
- c. Private non-profit service providers.

C. Types of Services. Intensive Services may include:

1. Comprehensive assessment, specialized skills level review, and service needs of adults and dislocated workers. Tools used may include:
 - a. Diagnostic testing and other skills review instruments/processes; and
 - b. In-depth interviewing and evaluation to identify employment barriers and appropriate employment goals.
2. Full development of an Individual Employment Plan (IEP) – Creation in Toolbox, of a documented strategy, using information gathered through self-assessment, initial assessment, and comprehensive assessment, to identify:
 - a. Employment goals,
 - b. Appropriate achievement objectives, and
 - c. The appropriate combination of services for the customer to achieve the employment goals. These might include some combination or all of the following:
 - Educational attainment;
 - Employment history;
 - More in-depth information about basic literacy and occupational skill levels;
 - Interests and aptitudes;
 - Family and financial situation;
 - Emotional and physical health, including disabilities;
 - Attitudes towards work;
 - Motivation; and
 - Supportive service needs.
3. Group counseling to advise several customers at one time. Such counseling may be financial, vocational or personal;
4. Individual counseling and career planning to advise one customer at a time. The counseling may be financial, vocational or personal in nature.
5. Case Management is a customer-centered approach to the delivery of services designed to prepare and coordinate comprehensive employment plans such as service strategies for customers to ensure access to necessary workforce investment activities and supportive services using, where feasible, computer-based technologies; and to provide job and career counseling during program participation and after job placement.

6. Short-term pre-vocational services such as workshops, remedial and in-house training activities, and such employer-based activities as short term work experiences and internships are provided to develop:
 - a. Learning skills,
 - b. Communication skills,
 - c. Interviewing skills,
 - d. Punctuality,
 - e. Personal maintenance skills and professional conduct
 - f. Workshops to prepare individuals for unsubsidized employment or training. A tuition or fee is paid with WIA funds cannot exceed 40 hours in duration.

7. Intensive Follow-up Services. Regularly scheduled information and workplace counseling contacts for customers who are placed in unsubsidized employment through Intensive Services, or contact with their employers. Follow-up should be for not less than 12 months after exit.

Training Services (WIA Section 134 (d)(4)):

- A. **Eligibility.** In general, funds allocated to a local area for adult and dislocated workers must be used to provide Training Services, to Adults and dislocated workers, respectively, who:
1. Have met eligibility requirements for Intensive Services and who are unable to obtain or retain employment through such services;
 2. Who after an interview, evaluation, or skills review and case management are in need of training services and need additional skills to successfully participate in the selected program of training services;
 3. Select training programs that are WIA approved through the Department of Elementary and Secondary Education (DESE) and directly linked to in-demand employment opportunities in the local area, or in another area to which the adults or dislocated workers are willing to relocate.
Acceptable documentation for in-demand occupations include: Missouri Economic Research and Information Center (MERIC) data, intent or letter of hire, posted job openings
 4. Adults are determined to be eligible in accordance with the priority system found in the Northwest Region Five-Year Plan if they
 - a. Receive Federal, State, or local government cash payments for which eligibility is determined by a needs or income test;
 - b. Have a total family* income for the six-month period prior to application, which in relation to family size, does not exceed the higher of:

- poverty guidelines established by the Office of Management and Budget, OR
- 70% of the lower living standard income level;

**Note: "Family" mean two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:*

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

And must be supported by an Applicant Statement and documentation; DWD Issuance 13-99

- c. Receive Food Stamps;
- d. Qualify as a homeless individual (Stewart B. McKinney Act-Section 103(a)(c));
- e. Are a foster child on behalf of whom state or local government payments are made; or
- f. Are a disabled individual whose income would meet one of the first two conditions in this list, but is a member of a family which income does not meet such requirements.
- g. Are a male who is at least 18 years old and born January 1, 1960 or after, not in the armed services on active duty, and is registered. (DWD Issuance 13-99, page 13) Refer to Selective Service System Website for more details, www.sss.gov .

B. Financial Qualifications. Provision of such training services shall be limited to customers who:

1. Are unable to obtain other grant assistance for such services, including Federal Pell Grants established under the Higher Education Act; or
2. Require assistance beyond what is made available under other grant assistance programs including Federal Pell Grants; or
3. Otherwise meet the requirements described above while an application for a Federal Pell Grant is pending. If the customer is subsequently awarded a Pell Grant, reimbursement may be made to the local area.

C. Specific Eligibility Criteria for Dislocated Workers. A dislocated worker is an individual who:

1. Has been terminated or laid off, or has received a notice of termination or layoff, from employment within the last three years;
2. Is eligible for or has exhausted entitlement to unemployment compensation within the last three years, **CLARIFICATION:** UI designation from Toolbox may be used if it has "weeks claimed" in parenthesis next to it or the determination letter from UI; or

3. Has been employed for a duration sufficient to demonstrate attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that was not covered under a State Unemployment Compensation Law; and
4. Is unlikely to return to a previous industry or occupation;

CLARIFICATION:

 - a. An individual who has been “terminated” regardless of cause, and who meets the additional criteria above is eligible to receive DW benefits.
 - b. Documentation needed to establish eligibility in this case includes:
 - Letter from employer if one exists. Does not need to state that employee was “laid-off”, but can state that the employee was “terminated” and the termination date, or
 - Case notes documenting the case manager/coordinator’s phone contact with the former employer to establish the dates that the employee worked for the employer, including last day worked, and
 - Unemployment benefits print out or check stubs,
 - Unemployment Insurance letter, and
 - MERIC data indicating declining occupation; closures in similar industry; decreased job openings for an occupation or industry; no recent job orders with DWD; or case manager/coordinator’s case notes statement of decreased jobs in the occupation or industry.
5. Has been terminated or laid off, or has received a notice of termination or layoff from employment, as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise;
6. Is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
7. For eligibility to receive other than Training Services, Intensive Services, or Supportive Services, is or was:
 - a. Employed at a facility at which the employer has made a general announcement that such facility will close;
 - b. Self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or
 - c. Displaced homemaker, who has been providing services in the home and who:
 - Has been dependent on the income of another family member, but is no longer supported by that income; and
 - Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

- D. Stop-Gap.** (temporary employment) (DWD ISSUANCE 04-00, September 15, 2000)
A Dislocated Worker who has been determined eligible as a result of a closure or mass layoff shall remain eligible if such individual:
1. Remains unemployed, or
 2. Accepts temporary (STOP-GAP) employment for the purpose of income maintenance prior to, and/or during participation in Intensive or Training Services with the intention of ending such temporary employment at the completion of the Intensive or Training Services with entry into permanent unsubsidized employment as a result of the services. Such temporary employment must be with an Employer other than that from which the individual was laid off.
 3. Once eligibility has been determined and current employment is not with the Employer of layoff, the Stop-Gap employment must meet all three (3) of the following:
 - a. Less than two years in duration;
 - b. An entry level, unskilled, or semi-skilled position and
 - c. Must meet one of the following conditions:
 - Part-time (less than thirty-five (35) hours a week),
 - Temporary (ninety (90) days or less), or
 - Earnings may not exceed the higher of:
 - Minimum wage; or
 - Seventy percent (70%) of the individual's wage received from the occupation from which they were laid off.
 4. Written documentation of "Stop-Gap" Dislocated Worker's employment situation must be kept in the customer file.

E. Training Services may include:

1. Occupational skills training, including training for non-traditional employment;
 - a. Occupation specific training provided by a public or private vendor on the eligible provider list, with demonstrated training capability and paid for through Individual Training Accounts (ITA) when funded through WIA.
 - b. Training funded through partner agencies does not have to be paid through an ITA.
 - c. Customers receiving partner-funded training and subsequent credentials will be eligible for inclusion in the WIA performance measures.
 - d. To qualify as occupational skills training (OST), a course must be at least 40 hours in duration and be approved by DESE.
2. On-the-Job Training (OJT) (DWD Issuance 04-04) (See Attachment 18 for OJT Operating Guidelines)

- a. Provides paid training by an employer in productive work in a job that provides knowledge or skills essential to the full and adequate performance of the job;
- b. Provides reimbursement to the employer of up to 50% of the wage rate of the customer for the extraordinary costs of providing the training and additional supervision related to the training; and
- c. Is limited in duration as appropriate to the occupation for which the customer is being trained, taking into account the content of the training, prior work experience of the customer, and the Individual Employment Plan (IEP) of the customer, as appropriate. The IEP must be jointly developed between the participant and case manager to:
 - Document information about any barriers to training and employment (such as disabling conditions, child care difficulties, work limitations, education;
 - Develop action plans to deal with such barriers;
 - Develop information about education and career goals, and
 - Identify the need for training.
 - Include all information referenced in DWD Issuance 04-04, to include a disclaimer that the IEP is not a guarantee or contract to provide services.
- d. The employer must not have exhibited a pattern of failing to provide trainees with continued long-term employment with wages, benefits, and working conditions that are equal to those provided to regular employees who have worked a similar length of time and are doing the same type of work.
- e. Employer Referrals: Because of service marketing, employers may refer job applicants to the Career Centers for potential OJT enrollment, in which case the following apply:
 - Participant's eligibility must be determined prior to employment; no pre-hires or period of employment prior to development of an OJT contract and participant training plan are acceptable; and
 - When an employer refers a potential participant to the provider prior to hiring, the provider must utilize normal eligibility assessment and enrollment procedures.
- f. The OJT contract is limited to the period of time required for a customer to become proficient in the occupation for which the training is being provided.
- g. In order for an eligible employed worker to enter into an OJT contract, they must not be earning a self-sufficient wage, as determined by the WIB using the Self-Sufficiency Standard (SSS).
 - The SSS specifies the income needed for a family to meet its basic needs, including housing, taxes, child care, transportation, medical, clothing, and related expenses.
 - The SSS considers family size, family composition, and county of residence.
- h. Individuals in OJT shall be compensated at the same rates, including periodic increases, as trainees or employees who are similarly employed in similar occupations by the same employer and who have similar training, experience,

- and skills. Such rates will be in accordance with applicable law, but in no event less than the higher of the rate specified in the Fair Labor Standards Act of 1938 (FLSA) or the applicable state or local minimum wage.
- i. Employed Workers. OJT contracts may be written for employed workers when the employee is not earning a self-sufficient wage as determined by Local Board policy; the requirements in 20 CFR 663.700 are met; the OJT relates to the introduction of new technologies, introduction to new production or service procedures, and upgrading to new jobs that require additional skills, workplace literacy, or other appropriate purposes identified by the Local Board. Formula and incentive funds may be used to create career pathways programs for upgrading the skills of currently employed individuals who are less than self-sufficient which could, through agreements with employers, open entry level positions for other participants.
 - j. Specific Vocational Preparation. Specific Vocational Preparation (SVP) is to be retained as a measure of the required level of specific occupational training and experience time. The different levels of SVP have been incorporated with Occupational Information Network (ONET) Career Exploration Tools. The former Dictionary of Occupational titles (DOT) codes have been divided into groups called Occupational Units (OU). Some OU's are one to one translations of DOT occupations while some DOT codes are grouped into OU descriptions. The OU's have been further grouped into stratum of needed preparation called Job Zones. Job Zones define the amount of education and occupational preparation necessary to exhibit an average performance for a job. There are five Job Zones that are coordinated with the OU groupings and then attached to an SVP level. The entire explanation and charts are available at www.onetcenter.org/resToolsGen.html#SVP.
 - k. A CAP participant who is dually enrolled in WIA Adult Services is eligible for OJT.
 - l. Regardless of the funding source, all OJT systems must provide reasonable and documented monitoring and audit trails that substantiate the type of training need associated with the participant. All required documentation must be submitted to the WIB office no later than 45 days after the completion of the OJT. If received after the 45 day limit the OJT may not be reimbursed and will require WIB board review and approval.
 - m. Dislocated workers may have established a different standard of living, and therefore may have higher financial obligations. The criteria for determining self-sufficiency for a dislocated worker is defined as 85% of the wage earned at time of lay-off.
 - n. Consideration of Special Needs – In those cases where individuals with other barriers to employment have wages that exceed the approved definitions of self-sufficiency, (self-sufficiency guidelines at: www.ded.mo.gov/researchandplanning/community/welfare/self-suffc.stm) the

- Title I program provider may request from the WIB, a waiver to these established criteria.
- Requests for waivers should be in writing and should include relevant personal information upon which the request is based.
- o. Monitoring and WIB/DWD Oversight. Monitoring is the responsibility of the program provider. The duty may be assigned to another designated entity or individual. Monitoring will include participant training and corresponding employer payroll records. On site monitoring of OJT employers and other subcontractors to verify compliance with subcontract terms, to ensure validity and propriety of the reimbursement amounts claimed is required. On site monitoring of trainees for program compliance must also be done.
- p. In evaluating employer performance for pre-contracting and re-contracting purposes, the following criteria should be considered when possible:
- Number of positions funded;
 - Number of positions filled;
 - Appropriate retention rate;
 - Participant turnover rate;
 - Percent of money obligated;
 - Identification of poor or incomplete training;
 - Decrease in wages after training;
 - Participant dismissal after training or during follow-up period;
 - Layoffs;
 - Participant grievances;
 - Collective bargaining agreements;
 - Displacement of currently employed workers by WIA participants; and
 - Business relocations to utilize area WIA trainees.
3. Workplace Training and Cooperative Education are defined as those services combining workplace training with related classroom training elements that are operated either concurrently or sequentially. This training may also be an employer-based program combining vocational and educational elements for which academic credit is received.
4. Private sector training includes formal training programs conducted or sponsored by private business or organized labor, and may include apprentice training programs and specialized programs on specific machines, or the application of proprietary computer programs made or used by the manufacturers of such machines or programs.
5. Skills upgrading and retraining includes training designed to enhance the skills of currently employed customers who are working at less than their skill potential and

have minimal or no advancement opportunities. They may also require upgrade training to increase earnings potential and move them to self-sufficiency wage levels.

6. Entrepreneurial training is designed to provide customers with the skills to start and manage businesses of their own.
7. Job readiness training includes formal classroom instruction in job seeking and job retention skills. This instruction can be augmented with business math and business communications courses. Local employers may also recommend additional curriculum based on identified skills gaps of job applicants.
8. Adult Education and Literacy instruction is provided in combination with the programs listed in #'s 1-7 above.
 - a. Instruction is normally conducted in an institutional setting and is designed to upgrade basic educational skills in preparation for future training, future employment or retention in present employment, and may include curriculum such as remedial reading, writing, mathematics, literacy training, study skills, English for non-English speakers, bilingual training, GED preparation, etc.
9. Customized training is conducted with a commitment by an employer or group of employers to employ trainees upon successful completion of the training.
 - a. Employed workers in customized training programs, in addition to meeting the self-sufficiency requirement (employment that pays enough salary to meet the self-sufficiency limits for their area), must be in training related to new technologies: new products or service procedures; job upgrading requiring additional skills; workplace literacy; or other WIB identified appropriate services.
 - b. There would not be a negative impact on local area performance. (DWD Issuance 16-01)

F. Consumer Choice Requirements:

Training services shall be provided so as to maximize consumer choice in the selection of the eligible provider of such services. Each local board, through the Missouri Career Center, shall make available:

1. The State list of eligible Training Service Providers, and the information about On-the-Job Training and Customized Training; and
2. The performance information and performance cost information relating to eligible training service providers.

G. Coordination of Training Funds: (re: DWD Issuance 12-99)

1. Program providers need to work with the customer to:

- a. Calculate the total funding resources available, as well as to assess the full education and education related costs (Training and Supportive Services costs) for the customer to complete the chosen program.
 - b. Complete the Pell Grant documents or other forms of financial assistance eligibility.
 - c. Coordinate training costs/funds to avoid duplication of cost payments.
 - d. Clarify procedures for when and in what sequence to use WIA and/or other funds, including Pell Grants, for Training and Supportive Services.
2. The mix of training and supportive service funds from WIA and other funds, including Pell Grants, must be documented and maintained in the customer file and Toolbox.
 3. Pell Grant funds are to be used prior to the use of WIA funds in paying tuition, fees and book costs.
 4. The WIA customer can be enrolled in a WIA funded activity while an application for Pell Grant funds is pending.
 5. The program provider is to be reimbursed for the amount of the Pell Grant used for training if the Pell Grant is approved.
 6. Customers are not required to apply for student loans or incur debt as a condition for WIA participation.

H. Use of Individual Training Accounts (ITA): *Reference ITA Policy approved 6/06*

1. Training services shall be provided through the use of an ITA, and shall be provided to eligible individuals through the local MCC. WIA Section 134 provides certain exceptions to the general use of the ITA. Exceptions ~ Training services authorized under this Paragraph may be provided pursuant to a contract for services in lieu of an ITA if the requirements of (F: Consumer Choice Requirements) are met and if
 - a. such services are on-the-job training provided by an employer or customized training.
 - b. the local board determines there are an insufficient number of eligible providers of training services in the local area involved (such as in a rural area) to accomplish the purposes of a system of ITAs; or
 - c. the local board determines that there is a training services program of demonstrated effectiveness offered in the local area by a community-based organization or another private organization to serve special participant populations that face multiple barriers to employment
2. Title I operators will provide support up to a prescribed amount not to exceed \$5,000 per year per customer. Exceptions to this ceiling require written

approval of the Workforce Investment Board (WIB). When possible the support should be obligated through the use of a DESE 6 and/or should be a direct reimbursement to the WIA approved institution. This support may be used only for the following related education costs:

- a. Tuition
 - b. Books
 - c. Fees
3. The voucher amount will be reduced proportionate to other financial resources available to the customer. The voucher will also have an expiration period, determined by the issuing Title I Operator. (Taken from the Northwest Region 5-Year Plan). The WIB allows for special funding directives which provide unlimited funds or higher caps for classroom and occupational training (from revised Northwest Region Policy on Individual Training Accounts, approved by WIB 6/06).
 4. Training services shall be directly linked to occupations that are in-demand in the local area, or in another area to which an Adult or Dislocated Worker receiving such services is willing to relocate and are WIA approved through the Department of Elementary and Secondary Education (DESE) and is an in-demand occupation. The local WIB may approve Training Services for occupations determined to be in sectors of the economy that have a high potential for sustained demand or growth in the local area.
Acceptable documentation for in-demand occupations include: Missouri Economic Research and Information Center (MERIC) data, intent or letter of hire, posted job openings
 5. Special participant populations that face multiple barriers to employment are defined as a population of low-income individuals included in one or more of the following categories:
 - a. Individuals with substantial language or cultural barriers.
 - b. Offenders.
 - c. Homeless individuals.
 - d. Other hard-to-serve populations as defined by the Governor.
 7. Incumbent workers are employed individuals served with state 15% funds or by local areas on a “fee-for-service” basis (CFR667.220 (a)(8)). Incumbent Worker Program individuals do not have to meet “self-sufficiency” requirements of employed persons served with formula funds.(DWD Issuance 16-01)
 8. Employed Worker Program individuals are determined to be in need of receiving intensive and training services (using WIA formula funds) in order to obtain or retain employment that allows for self-sufficiency. Employed persons provided such

training must earn less than the requirements of the local definition of self-sufficiency. (DWD Issuance 16-01)

Permissible Local Employment and Training Activities

- A. Discretionary Activities:** These are funds allocated to a local area for adults and dislocated workers, and may be used to provide, through the MCC, the following activities:
1. Customized screening and referral of qualified participants in training services; and
 2. Customized employment-related services provided to employers on a fee-for-service basis.
- B. Supportive Services:** Funds allocated to provide supportive services to adults and dislocated workers who are:
1. Participating in program activities authorized in Core, Intensive or Training Services; and
 2. Unable to obtain supportive services through other programs providing these services. Sec.134 (e) (2) (A) (B) of the WIA Law.
 3. If Supportive Services is being provided Progress and Attendance reports must accompany each voucher for travel, childcare and tuition; Progress and Attendance report are not required if you are only providing books and fees.
- C. Needs Related Payments:** Funds allocated to provide Needs-Related Payments to adults and dislocated workers who are unemployed and do not qualify for (or have ceased to qualify for) unemployment compensation for the purpose of enabling such individuals to participate in Training Services programs.
1. A dislocated worker who has ceased to qualify for unemployment compensation may be eligible to receive needs-related payments only if enrolled in training services by the end of the 13th week after the most recent layoff that resulted in a determination of the worker's eligibility for Employment and Training Activities. If later, by the end of the 8th week after the worker is informed that a short-term layoff will exceed 6 months.
 2. The level of a Needs-Related Payment to a Dislocated Worker shall not exceed the greater of:
 - a. The applicable level of unemployment compensation; or
 - b. If such worker did not qualify for unemployment compensation, an amount equal to the poverty line, for an equivalent period, which amount shall be adjusted to reflect changes in total family income.

D. Out-Of-Area Job Search Expenses: In order for National Emergency Grant customers to be reimbursed for expenses incurred seeking suitable employment or reemployment, customers must be seeking employment within the United States, with no reasonable expectation of finding satisfactory employment within the community area.

Reimbursements are for 90% of the customer's reasonable and necessary job search expenses, not to exceed \$800 in any one travel period that is pre-approved by the WIB.

E. Relocation Expenses: The program provider may reimburse National Emergency Grant customers 90% (not to exceed \$800) of their reasonable and necessary expenses incurred in moving to another location to accept employment. It must be certified that the customer was unable to find satisfactory employment within the community area. The relocation expenses must be pre-approved by the WIB.

F. Dual Enrollment:

Adults are defined in the Act as individuals age 18 and older, thus, individuals, ages 18 through 21, may be eligible for either Adult and Youth programs or Adult and Dislocated Worker programs.

1. Eligible individuals who are 18 through 21 years old may participate in either Adult and Youth programs or Adult and Dislocated Worker programs concurrently. Such individuals must be eligible under the Youth or Adult eligibility criteria applicable to the services received. Local providers may determine, for individuals in this age group, the appropriate level and balance of Youth and/or Adult services.
2. In order to provide Classroom Training Services, Youth must be co-enrolled in Adult Services. Individuals age 18 and above are eligible for Training Services under the Adult and Dislocated Worker program will establish Individual Training Accounts.
3. Local providers must identify and track the funding streams, which pay the costs of services provided to individuals who are concurrently participating in Youth and Adult programs.
4. DWD encourages dual enrollment throughout the funding streams, to ensure customers are offered all options in appropriate services available within the One-Stop Centers, and within the NW Region. DWD considers dual enrollment as an option, when appropriate (DWD Issuance 15-01). Dual enrollment is a valuable tool to promote:
 - a. Integration of services,
 - b. Reduce duplication,
 - c. Improve cost effectiveness and most importantly,
 - d. Improve services to our customers.

G. Planned Gap in Services

1. To be used for customers whose services need to be interrupted for health/medical reasons, incarceration or waiting for a planned training element to begin. It is not to be used as “holding” while waiting to see if the customer finds a job.
2. Individuals are not to be placed into a Planned Gap if they are receiving non-WIA services such as Trade Act/NAFTA or Vocational Rehabilitation funded training. These partners require WIA subcontractors to document training and supportive service activities to prevent the customer from soft exiting in Toolbox.
3. Planned Gaps can only be set in 30-day increments and have at least one activity posted between Planned Gap periods. There is no limit to the number of Planned Gaps that can be used.
4. Staff must document in the “case notes”, why they are placing the customer in a Planned Gap. If the period of no services extends beyond the original estimated time needed, Staff must also document the reason for creating another Planned Gap in the case notes.
5. No WIA services are to be provided during a Planned Gap. This includes WIA training funded Supportive Services.

H. Complaint and Grievance

A Complaint and Grievance must be completed for each individual that is enrolled in WIA services. Each Individual Training Account (ITA) needs to have a Complaint and Grievance attached. In cases where an individual, agency or institution is working with more than one client of ours an original must be signed and copies may be placed in the appropriate files. For these files a case note needs to explain why a copy instead of the original of the Complaint and Grievance is being placed in the file.

PERFORMANCE MEASURES TEGL 7-99

The core indicators of performance are:

Entry into unsubsidized employment - acceptable documentation, DWD Issuance 01-01:

Letters, personnel forms or printouts from the Office of Personnel Management, U.S. Postal Service, Railroad Retirement Service, U.S. Department of Defense, and other State and Local Government Employment entities;

State Department of Revenue or Tax Records;

State Incorporation and local business licensing records (for self employed);

Letters, rosters, payroll records or pay stubs from employer;

Employment attestation forms (copy attached) signed by employer;

Telephone contact form (copy attached) documenting that either the employer or the customer has been contacted and the employment information that is provided (telephone contacts are acceptable as primary means for documentation of retention but should be used only as a last resort for initial employment).

Retention in unsubsidized employment 6 months after entry into employment (see above for acceptable documentation, DWD Issuance 01-01);

Earnings received in unsubsidized employment 6 months after entry into employment;

Attainment of a recognized credential relating to achievement of educational skills, which may include attainment of a secondary school diploma or its recognized equivalent, or occupational skills, by participants who enter unsubsidized employment, or by participants who are eligible youth age 19 through 21 who enter postsecondary education, advanced training, or unsubsidized employment.

Northwest Region Credential Policy: In accordance with TEGL7-99, and for purposes of calculating Performance Measure #4 (Adult Employment and Credential Rate), Missouri is defining a “credential” as both:

The traditional nationally or state-recognized degree, certificate, diploma, or degree that is most often the result of occupational skills training provided by a WIA-approved training institution, or

A locally-documented certificate that identifies specific skills or competencies that have been demonstrated that is most often the result of On-the-Job Training provided by an employer. (DWD Issuance 07-00, December 11, 200)

A Certificate of Skill Completion is attached (*Attachment B*) for use in documenting an OJT credential.

The Contract with the Employer must also specify what skills or competencies are to be demonstrated as a result of the OJT.

In order to maintain integrity in credentialing, the Northwest Region will make full use of short-term pre-vocational training for those areas that do not reasonably result in skill mastery or attainment of competencies. As defined in WIA Section 134(d)(3)(C)(vi) includes learning, communication, interviewing, punctuality, professional conduct skills or personal maintenance, and must be less than six (6) months in duration.

Because the short term pre-vocational training is an Intensive Service not a Training Service, an Individual Training Account (ITA) is not used.

The decision to offer short-term pre-vocational training as an Intensive Service, rather than progressing to OJT as a Training Service, is multi-faceted, and may relate to the definition of short-term pre-vocational training, the activities offered to learn skills, and the complexity of the skills being learned. The WIA Title I Operator should base their decision on the specific needs and abilities of the customer.

Required Credential Attainment (TEGL 7-99 and DWD Issuance 01-01).

Methods that may be used to collect data and acceptable documentation of receipt of a credential:

Case Management, Follow-up Services, or Customer Surveys to determine if the customer has received a credential and written documentation and copy (if possible) of that credential;

Record sharing agreements and/or automated record matching with administrative/other data bases to determine and document that the customer has received a credential.

Databases may include:

State Board of Education

State Board Governing Community Colleges;

State Board Governing Universities;

State Licensing Boards for Private Schools;

State Education Associations,

Integrated Postsecondary Education Reporting Unit;

Higher Education Planning Unit:

State Department of Professional or Occupational Regulation (possibly other units such as health care administration or specific boards like the “Board of Nursing”);

Employers

Training Institutions/Providers;

Adult Basic Education Providers (GED/Equivalent testing agencies).

Computer records from automated record matching are considered a valid written record.

A telephone response from the customer must be accompanied by a written document such as a Certificate, Degree, or other written documentation.

Telephone contact forms documenting that either the training entity or the customer has been contacted, and the Credential information is provided.

A copy of the credential received.

A confirmation letter from the institution or entity issuing the credential.

All data and methods to determine achievement of credentials must be documented.

A statistically valid sample of the documentation of supplemental credential achievement shall be included in the customer file review process. (DWD Issuance 02-01, #10)

COMMON MEASURES TEGL 17-05* *Effective at time of Reauthorization*

The following is in accordance with TEGL 17-05 and provides further definition/clarification.

Adult and Dislocated Workers will be measured under one set of common measures and will not be separated out between the programs. We will have 3 adult measures

Participant:

A participant is an individual who is determined eligible to participate in the program and receives a service funded by the program in either a physical location (One-Stop Career Center or affiliate site) or remotely through electronic technologies.

Program Participation:

Following a determination of eligibility (if required), participation in a program commences when the individual begins receiving a service funded by the program. This phrase has the same meaning as the “date of participation” used in some of the measures. If the participant receives services from multiple programs, then states and grantees may use the earliest date of service as the “date of participation” when reporting on the measures in each program.

Program Exits:

The term program exit means a participant has not received a service funded by the program or funded by a partner program for 90 consecutive calendar days, and is not scheduled for future services.

Adult Measures

1. Entered Employment

- Those not employed at the date of participation
- This is based on information collected from the individual

2. Employment Retention

- Must be employed the first quarter after exit to be counted, then must be employed in *both* the second and third quarters after exit
- Employment does not have to be with same employer
- Based on UI records, however supplemental forms of data can be used Adult Measures

3. Average Earnings

- Must be employed in the first, second and third quarter after exit quarter although the earnings of the first quarter are not included in the calculation
- *ONLY* wage records will be used to verify this data

I. Customer Satisfaction Indicators:

The customer satisfaction indicator of performance measures customer satisfaction with services provided to participants and to employers by the MCC. Customer satisfaction is measured through surveys conducted after the customer completes participation in activities.

1. Procedure for Conducting the Customer Satisfaction Survey for participants and employers:

- a. Customers are to be informed during the registration that their satisfaction with the services provided is of utmost importance, and that they may be contacted for feedback about their experiences with the services provided by the contractor, as well as by DWD.

- b. Customers must also be informed that the survey is voluntary, and responses are confidential
- c. Clients will receive questionnaires during their participation in the program at different service levels. The first questionnaire will be sent out after the completion of orientation, registration and an assessment (if applicable). The second questionnaire will be sent during intensive services, if they have been in this level for more than 30 days. The third questionnaire will be sent out while the client is enrolled in the training level of services. After the client has exited from the program we will attempt to make five phone contacts with the client to ask the appropriate questions and if we are unable to contact the client a final questionnaire will be sent out. All the questionnaires will be returned to the WIB office and the Operations Manager will tally the results and provide the information to the program directors on a monthly basis.
- d. Ask the three (3) required questions first in the survey
- e. Limit interview to 15 minutes
- f. A minimum of five (5) follow-up attempts are required
- g. Customer satisfaction responses must be collected by phone interviews. In-person interviews and mail questionnaires may only be used when the customer doesn't have a telephone.
- h. Contact within 60 days after the last date of service, the client will turn red in Toolbox. Make a phone contact attempt, minimum of five, prior to mailing out questionnaire.
- i. Send Report to WIB office 40 days after the end of the quarter (the 10th day of appropriate month), including comments.

J. Follow-up Services:

1. Follow-up services must be made available, as appropriate, for a minimum of 12 months following the first day of employment, to registered customers who are placed in unsubsidized employment.
2. While follow-up services must be made available, not all registered Adults and Dislocated Workers placed in unsubsidized employment will need or want these services. The intensity of appropriate follow-up services may vary. Customers who have multiple employment barriers and limited work histories may need significant services to ensure long-term success in the Labor Market. Follow-up services could include, but are not limited to:
 - Additional career planning and counseling;
 - Contact with the customer's employer, including assistance with work-related problems that may arise;
 - Peer support groups;
 - Information about additional education opportunities;
 - Supportive Services available in the community, etc.

- K. Supportive Services:** after entry into unsubsidized employment (post-placement) will be limited and will be part of the Individual Employment Plan (IEP), clearly documented in the customer file and in Toolbox, with appropriate Case Notes. Supportive Services may include: transportation, child care, housing, medical care, uniforms, tools and equipment and other items determined as barriers to obtaining employment or completing education. Supportive Services may not include books, tuition or fees.
- L. Needs Related Payments:** for employed customers are not an allowable follow-up service, under WIA Section 134 (e)(3)(A). Needs Related Payments are restricted to unemployed customers who have exhausted or do not qualify for unemployment compensation and need payments to participate in training. Reference page 16 *C. Needs Related Payments* section.