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

# EMPLOYMENT AND TRAINING
# ADULT AND DISLOCATED WORKER
# SCOPE OF WORK

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**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.

## I. 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.

**II. 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.

**III. Core Services (WIA Section 134(d) (2)):**

A. 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:
      i. Informal, structured interviews at intake
      ii. Use of objective evaluation/assessment instruments
      iii. Combination of processes
   d. Assessments can be conducted by:
      i. WIA Title 1 Program Subcontractors
      ii. Partner agencies
      iii. 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;

B. Core Services fall into two (2) primary categories:
The amount of staff time and/or resources necessary to assist the customer in completing these services will be customized according to individual needs.

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 Missouri Career Center and Missouri Career Source 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 Missouri Career Source and Toolbox 2.0. All customers regardless of eligibility are entitled to this level of service.

C. Initial Assessment

1. 100 Initial Assessment, *required service*

- A preliminary evaluation of the applicants' skill levels, aptitudes, abilities and supportive service need as the applicant moves to more staff-assisted Core Services, the assessments move to the objective assessment level.

2. 101 Job Search and Placement Assistance Services

- To the customer that lead to the identification of job openings, completion of job applications, scheduling of job interviews and hiring into the identified jobs.

3. 102 Job Referrals

- The act of arranging interviews with employers, for customers, that might lead to employment.

4. 103 Job Development
   - The location and recruitment of job openings, either for specific customers or to be added to a list of available job openings.

5. 104 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 customers¿ resolve in their job search efforts.

6. Pre/Post- Employment Training Workshops
   - Participation in workshops dealing with resume writing, interviewing, interpersonal relationships in the workplace, as well as employer expectations regarding dress, grooming, ethics, responsibility, etc.

7. 105 WIA Core Follow-up Services
   - Regularly scheduled informational and workplace counseling contact with customers and/or their employer 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.

8. Job Search Assistance
   - The act of searching for a job to eventually obtain employment. This includes self-directed job search and staff-assisted job search. Worker Profiling: For Profiled Claimants, Individuals with marketable skills will be assisted & monitored in self initiated job search. Discuss a plan with staff that includes steps to achieve employment in specific occupation, industry or geographic area.

D. Case note must be entered into Toolbox 2.0 to justify the move from Core to Intensive Level Services and each service client is placed in. The case note should also describe the clients' situation at enrollment, educational and occupational goals.

## IV. Intensive Services (WIA Section 134(d) (3)):

A. Adult Eligibility

1. Adults are determined to be eligible in accordance with the priority system found in the Northwest Region Five-Year Plan if they are:
   a. Receive Federal, State, or local government cash payments for which eligibility is determined by a needs or income test; **OR**
   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: **OR**
      i. poverty guidelines established by the Office of Management and Budget, OR
      ii. 70% of the lower living standard income level; **OR**

**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

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

c. Receive Food Stamps; **OR**

d. Qualify as a homeless individual (Stewart B. McKinney Act-Section 103(a)(c));

**Note: Homeless Children and Youth - as individuals who lack a fixed, regular, and adequate nighttime residence.*

*The term includes :*

- *-Sharing the housing of other persons due to loss of housing economic hardship, or a similar reason (sometimes referred to as doubled-up);*
- *-Living in motels, hotels, trailer parks, or camping grounds due to lack of alternative adequate accommodations;*
- *-Living in emergency or transitional shelters;*
- *-Abandoned in hospitals;*
- *-Awaiting foster care placement;* **OR**

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; **and**

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 . Must be registered with selective service and not pending. Not applicable to women.

2. Intensive Services shall be provided to adults workers who are:

a. 18 years of age or older; and

b. Unemployed and unable to obtain employment through core services; **OR**

c. 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; **and**

d. Determined by the MCC staff to be in need of more intensive services in order to obtain employment.

B. Dislocated Worker Eligibility

1. Selective Service Registration: is 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. Must be registered with selective service and not pending. Not applicable to women.

2. A dislocated worker is an individual that meets one of the following Categories:

a. **Category A: Permanent Layoff or Termination** (13-99, pages 15, 17-19)
Has been terminated or laid off, or has received a notice of termination or layoff, from employment within the last three years. During the three year period a dislocated worker is eligible not matter what employment they may have had since their layoff;

- 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**
- 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. Documentation that may be used is UI wage credits to prove attachment to the workforce or O*NET to determine the length of time for the customer to be trained for the occupation that they were doing at the time of lay off; **AND**
- Is unlikely to return to a previous industry or occupation;
  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; **OR**
  - Unemployment benefits print out or check stubs; **OR**
  - Unemployment Insurance letter; **OR**
  - 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.

*Documentation Required:*

i. Unemployment Insurance Worker Profiling Participant (If Profiled, next 3 items do not need to be documented.) **OR**

ii. Layoff Status
   a) Employer Lay-off or Termination Letter or Notice of Notice of Plant Closure (verifying that participant was affected by the closure, showing company name and date of lay-off); **OR**
   b) Case Notes (Employer phone contact);

A**ND**

iii. Unemployment Insurance Status

a) Unemployment Benefits Print-out or Check Stub
b) Unemployment Insurance Determination Letter;

**AND**

iv. Unlikely to Return to Previous Occupation or Industry
a) "Choices" (declining occupation); **OR**
b) Closure in similar industry (in the same region); **OR**
c) Coordinator's Statement; **OR**
d) Decreased Job Openings for an Occupation or Industry; **OR**
e) DWD (no recent job orders); **OR**
f) Exhausted Unemployment Insurance; **OR**
g) MOICC or local Chambers of Commerce (occupation or industry is declining); **OR**
h) Other (approved by DWD)

b. **Category B: Plant Closure or Substantial Layoff** (13-99, pages 15, 17-19)
Substantial layoff is equivalent to a state Rapid Response, 50 or more individuals. 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;

- Is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
- 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;

*Documentation Required:*

i. Employer Lay-off or Termination Letter or Notice of Notice of Plant Closure (verifying that participant was affected by the closure, showing company name and date of lay-off); **OR**
ii. Case Notes (Employer phone contact as a last resort); **OR**
iii. Letter or notice showing company, date, number laid off, number of employees at normal production who work 20 hours or more per week, which will verify an employment loss at a single site of employment during any 30 day period for:
a) At least 33% of employees (excluding those working less than 20 hours/week)
b) At least 50 employees (excluding those working less than 20 hours/week)
c) At least 500 employees (excluding those working less than 20 hours/week)

**AND**

iv. Employed at Time of Layoff (13-99, pages 15, 20)
a) Employer Lay-off or Termination Letter or Notice of Plant Closure (verifying that the participant was affected by the closure, showing company name and date of lay-off); **OR**
b) Case Notes (Employer phone contact as a last resort)

**c. <u>Category C – Dislocated Self Employed</u>** (13-99, pages 16, 22-23)

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.

*<u>Documentation Required:</u>*

i. Evidence of Self Employment
   a) Business Tax Return; **OR**
   b) Business License; **OR**
   c) Any other legal document which shows self-employment and which could be verified by phone

**AND**

ii. Evidence of Business Failure
   a) Applicant Statement; **OR**
   b) Bank Loan Denial Letter (inability to secure capital); **OR**
   c) Insurance Records; **OR**
   d) Disaster Declaration, if due to natural disaster; **OR**
   e) Bankruptcy or foreclosure records; **OR**
   f) General economic conditions. May not have filed bankruptcy, but is willing to attest that is no longer in business. Addition documentation below may be necessary:
      - Failure of one or more businesses to which the self-employed individual supplied a substantial portion of services; **OR**
      - Failure of one or more businesses from which the self-employed individual obtained a substantial proportion of products or services; **OR**
      - Substantial layoff from or permanent closure of one or more plants or facilities that support a significant portion of the state or local economy; **OR**
      - Depressed prices or markets for the articles produce by the self-employed individual.

c. **<u>Category D – Displaced Homemaker</u>** (13-99, pages 16, 23)

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.

*<u>Documentation Required:</u>*

i. Has Been Dependant
   a) Applicant Statement; **OR**
   b) Divorce or separation decree; **OR**
   c) Advisory Opinion Letter, SS Registration Card, or Stamped Post Office Receipt of Registration)

**AND**

ii. Unemployed or Underemployed (13-99, pages 16, 23)
   a) Applicant Statement
   b) Pay Stubs
   c) Public Assistance
   d) Unemployment Insurance Records

C. Intensive Services shall be provided to adults workers who are:
1. 18 years of age or older; and

2. Unemployed and unable to obtain employment through core services; **OR**

3. 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; **and**

4. Determined by the MCC staff to be in need of more intensive services in order to obtain employment.

D. 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.

E. Types of Services. Intensive Services may include:
1. 201 Comprehensive Assessment, *required service*
   - Specialized evaluation of the skill levels and service needs of customers, which may include diagnostic testing and use of other assessment tools, and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals.

The Northwest WIB requires that any customer that is enrolled into a training activity that we are providing funding for must utilize the Worldwide Interactive Network (WIN), obtaining a Level 3; before being WorkKeys assessed. Each customer must complete the WorkKeys assessment in the areas of Locating Information, Reading for Information and Applied Mathematics prior to funds being spent on training level services. Beginning July 1, 2009, compare WorkKeys scores with MERIC data (www.missouri.economy.org) go to Occupational Projections, Explore Careers, select region or statewide, Occupational Filter and compare required WorkKeys scores with the desired Occupation. Customers scores should at a minimum meet MERIC data. If the customers scores do not meet the MERIC minimum requirements case manager should discuss information with customer about chosen occupational desire. Document WIN assessment in Toolbox 2.0 case notes and documentation placed in file. WorkKeys assessment documented in case notes and in Assessment tab. Both assessments are to be given when providing training level services, which include tuition, books and fees.

2. 202 WIA Full Development of an Individual Employment Plan, *required service*

- Creation of a documented strategy, which uses information gathered through self-assessment, initial assessment and comprehensive assessment, to identify the employment goals, appropriate achievement objectives, and 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.

Toolbox 2.0 Employment Plan must be completed and signed when the customer is enrolled in the program. When the Employment Plan is updated in Toolbox 2.0 to manage the system, so the customer does not exit, it does not need to be printed and signed. The Employment Plan must be updated with signatures when a customer changes directions in services obtained, i.e. job search assistance to attending school or occupation goal Criminal Justice and changes to LPN.

3. 203 Group Counseling

- To advise several customers at one time. Such counseling may be financial or vocational or personal.

4. 204 Individual Counseling

- To advise a single customer at a time. Such counseling may be financial or vocational or personal.

5. 205 WIA Case Management

- A customer centered approach to the delivery of services designed to prepare and coordinate comprehensive employment plans, such as service strategies, for participants 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. 206 WIA Short Term Pre-Vocational Services

- Short term workshops and in-house training activities and such employer based activities as short term work experience and internships designed to develop learning skills, communications skills, interviewing skills, punctuality, personal maintenance skills and professional conduct, to prepare individuals for unsubsidized employment or training.

7. Basic Skills/Remediation

- Enrolled in training that may include adult education, literacy activities, remedial reading, writing, mathematics, or a combination thereof; for customers who have proficiencies below the ninth grade level or to improve basic skills to a level greater than the customer held at assessment.

8. 210 WIA Internships

- A short-term pre-vocational service designed to instill work habits and work ethics or to allow the sampling of jobs to determine if an individual has the aptitude and interests necessary for training and/or placement in a specific job or occupation. Internships are fully subsidized short-term placements with private for-profit employers.

9. 211 WIA Work Experience

- A short- term pre-vocational service designed to instill work habits and work ethics. Work Experience positions are fully subsidized short-term placements with public or private not-for profit employers or, in the form of limited internships, with private for-profit employers.

10. Apprenticeship

- The On-the-job training component of an apprenticeship that leads to skilled labor for customers who want to learn a trade. Programs must meet the apprenticeship criteria established by the Bureau of Apprenticeship and Training (BAT). Open to all programs with the exception of GA and WTE.

11. 207 WIA Intensive Follow-up Services

- Regularly scheduled informational and workplace counseling contact with customers and/or their employer for customers who are placed into unsubsidized employment through intensive services. Follow-up should be for not less than 12 months after the first day of employment. (As the Workforce Investment Act lists Follow-up as a core service, when intensive services are provided by a one-stop partner that is different than the partner delivering core services, care should be taken to avoid duplication of follow-up contacts.

## V. 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.

4. Acceptable documentation for in-demand occupations include: Missouri Economic Research and Information Center (MERIC) data, intent or letter of hire, or posted job openings.

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. 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.

<u>301 Occupational Skills Training (AD & DW)</u>

- Occupation specific training provided by a public or private vendor with demonstrated training capability and paid for through individual training accounts.

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.

302 On-the-job Training

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.

303 Workplace Training and Cooperative Education

- A combination of training and education which may include both employer-based and classroom based training elements operated either concurrently or sequentially or 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.

308 Private Sector Training Programs

- Formal training programs conducted or sponsored by private business or organized labor. It may include apprenticeship training programs and specialized programs on specific machines or in the application of specific computer programs presented 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.

304 Skills Upgrading and Retraining

• Training designed to enhance the skills of currently employed customers but who are working at less than their skill potential and have minimal or no advancement opportunities and who require upgrade training to increase earnings potential and move then to self sufficiency.

6. Entrepreneurial training is designed to provide customers with the skills to start and manage businesses of their own.

   305 Entrepreneurial Training

   • Training designed to provide customers with the skills to start 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.

   306 Job Readiness Training

   • A formal classroom activity providing instruction in job seeking and job holding skills that can be augmented with such curriculum as business math and business communications. Local employers may also suggest additional curriculum based on identified shortcomings 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.

   307 Adult Education and Literacy

   • Instruction normally conducted in an institutional setting designed to upgrade basic educational skills in preparation for future training, future employment or retention in present employment. It may include such curriculum as remedial reading, writing, mathematics, literacy training, and study skills, English for non-English speakers, bilingual training, and GED preparation.

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)

309 Customized Training

- Training conducted with a commitment by an employer or group of employers to employ and individual upon successful completion of training.

D. 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.

E. 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.

F. 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.

6. 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)

7. 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)

G. Stop-Gap: (temporary employment) (DWD ISSUANCE 04-00, September 15, 2000)
A Dislocated Worker who has been determined eligible, after enrollment in Toolbox 2.0 WIA program) 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.

## VI. <u>Permissible Local Employment and Training Activities</u>

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:
<u>1. 401 WIA Customized Screening and Referral</u>
- Customized Screening and Referral of customers who have successfully completed training activities to employers who are known to have job openings related to the activities in which the customers were trained.

2. 402 WIA Customized Employer Related Services

- Services customized to meet the needs of employers and for which a fee-for-service is charged.

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.

Beginning July 1, 2009, Toolbox 2.0 service 403 Supportive Services, Child Care and Transportation must be opened within 30 days of the date(s) the cost was incurred. All documentation must support the service dates being paid for. All appropriate supportive documentation and voucher including appropriate signatures must be provided in the customers file. At the time, 403 Supportive Services, Child Care and Transportation is opened in Toolbox 2.0 a case note will indicate what has been offered to the customer including type of service, total amount offered and date(s) range and if it is a one-time payment or a reoccurring obligation. Once the expense is incurred a detailed case note must indicate type of supportive service, dates and amount provided. WIB annual compliance monitoring will note Questioned Costs that occurred beginning December 2, 2008.

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, 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.

4. 403 Supportive Services

- Services such as transportation, child care, dependent care, housing, and needs-related payments, which are necessary to enable an individual to participant in activities authorized under and consistent with Title I of WIA.

5. Child Care

- Services which help customers meet their child care needs during participation. Child care ranges from day care to after-school programs, and can be inside or outside the home. Report only Child Care here, not Family Care.

6. Transportation (WIA)

- A payment to ensure mobility between home and the location of employment, training and/or other supportive services. Refer to appropriate program policy.

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.

404 WIA Needs-Related Payments

- Payments to adult 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 programs of training services. This code should also be used for Youth participants who receive stipends and incentives.

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.

1. 208 Out of Area Job Search Allowance

- Reimbursement for expenses incurred by a customer seeking suitable employment or re-employment outside of commuting area; a bona fide interview must be scheduled. Customers must be seeking employment within the United States and cannot be reasonably expected to find suitable employment within the commuting area. Reimbursements are for 90% of the customer's reasonable and necessary job search expenses, not to exceed $1,250 in any one pre-approved travel period. Refer to the appropriate program policy.

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.

209 Relocation Allowance

• Reimbursement of 90% of customer's reasonable and necessary expenses incurred in moving customer's household outside of the commuting area to accept bona fide suitable employment. This may include the cost of the actual transfer of goods and property, including mileage for the family's travel and meals/lodging. Customer must be relocating within the United States and unable to find suitable employment within the commuting area. For Trade Act, the customer is also entitled to three times the average weekly wage earned at the Trade affected employer; up to $1,250. Refer to the appropriate program policy.

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.

## VII. Customer Satisfaction Indicators

The customer satisfaction indicator of performance for services received from the Missouri Career Center System is measured through surveys conducted during and after the conclusion of participation in services. The procedure for conducting Customer Satisfaction Surveys of individual participants and employers follows:

1. Customers must be informed during the registration process about the importance of satisfying customers and the possibility of being contacted for information on his/her experiences with the services.

2. Clients will receive one questionnaire four months after participation in the program. The customer's case manager will e-mail the link to Survey Monkey to complete the survey. If the customer does not have an e-mail account a survey will be mailed to them for completion. The second questionnaire will be conducted via phone survey after the client has exited from the program. Five phone attempts will be made to conduct the survey. All survey results will be reported to the One-Stop Functional Manager. If the case

manager is unable to contact the client a final questionnaire will be mailed by the One-Stop Functional Manager.

3. Customers must be informed they may also be called by the Division of Workforce Development about their experiences with staff and the services provided to them.

4. Customers must be told the survey is voluntary, and responses are confidential.

5. Send the Customer Satisfaction Report, including comments, to the One-Stop Functional Manager.

**VIII. Follow-up Services:**

1. Follow-up services must be made available, as appropriate, for a minimum of 12 months.

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.

**IX. Performance Measures**

Common Measures TEGL 17-05, 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