

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Confidentiality and Personally Identifiable Information (PII)	Policy #:	1.1
Effective Date:	7/1/2015	Revision Date:	1.24.2020

Purpose:

To provide guidance to the South Central Workforce Development Board (SCWDB), employees, and service providers on compliance with the requirements of handling and protecting Personally Identifiable Information (PII) and any other confidential information.

Definitions:

PII-OMB defines PII as information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

Sensitive Information-any classified information whose loss, misuse, or unauthorized access to or modification of could adversely affect the interest or the conduct of Federal programs, or the privacy to which individuals are entitled under the Privacy Act.

Protected PII and Non-sensitive PII- the Department of Labor has defined two types of PII, Protected PII and Non-sensitive PII. The differences between protected PII and non-sensitive PII are primarily based on an analysis regarding the "risk of harm" that could result from the release of the PII.

Protected PII is information that if disclosed could result in harm to the individual whose name or identity is linked to that information. Examples of protected PII include, but are not limited to, Social Security Number (SSNs), credit card numbers, bank account numbers, home telephone numbers, ages, birthdates, marital status, spouse names, educational history, biometric identifiers (fingerprints, voiceprints, iris scans, etc.), medical history, financial information, and computer passwords.

Non-sensitive PII, on the other hand, is information that if disclosed, by it, could not reasonably be expected to result in personal harm. Essentially, it is stand-alone information that is not likely or closely associated with any protected or unprotected PII. Examples of non-sensitive PII include information such as first and last names, e-mail addresses, business addresses, business telephone numbers, general education credentials, gender or race. However, depending on the circumstances, a combination of these items could be categorized as protected or sensitive PII.

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Policy:

Information designated as confidential should not be discussed with anyone outside the SCWDB and should only be discussed within the SCWDB on a “need to know” basis. In addition, employees have a responsibility to avoid unnecessary disclosure on non-confidential internal information about the SCWDB and its employees, participants, and business associates. The responsibility is not intended to impede normal business communications and relationships, but is intended to alert employees to their obligation to use discretion to safeguard internal SCWDB affairs.

Employees authorized to have access to confidential information are required to sign a Confidentiality Statement and must treat the information as proprietary SCWDB property, for which they are personally responsible. The original should be kept on file in the SCWDB office.

The release of any participant information without a signed Release of Information for an adult/emancipated participant or a juvenile’s parent/guardian may result in discipline up to and including termination.

Under no circumstances are any copies of the case files to be made without the permission and specific approval of the Contract Supervisor in conjunction with the Executive Director of the SCWDB.

The case file is not to be used in any manner that may jeopardize the participant’s interests, and should the intentional or unintentional release of confidential information occur, disciplinary action to include termination and/or prosecution to the full extent of the law may occur.

All WIOA files must be kept in locked file cabinets or other authorized locked storage containers. The files must only be accessible to specified personnel and/or agents of the SCWDB.

Medical information and disability-related information must be kept in a confidential file separate from non-confidential client information and can only be disclosed with the written consent of the client.

To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via email or stored on CD’s, DVD’s, thumb drives, etc., must be encrypted. Any transmitted participant information should not include: Social Security Numbers (SSNs), or Date of Birth (DOB). Transmitted information concerning a participant should include only: State ID, User Name, or User ID from the Virginia Workforce Connection (VaWC) or last name only when provided as part of a data correction or related VaWC transaction. If the action is related to performance and/or reporting, the State ID, User ID, or User Name should be the only identifier used in communications with appropriate

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VCCS staff. Grantees/sub-grantees must not email sensitive PII to any entity, including ETA or contractors.

All programs supported by WIOA Title I funds must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals, and to protect such information from unauthorized disclosure. All programs supported by WIOA funds must maintain such PII in accordance with the ETA standards for information security described in TEGL 39-11 and any updates to such standards provided to the ETA grantee (VCCS). Staff from the SCWDB, its contractors or VCCS program supported by WIOA funds should contact VCCS for additional information on data security.

Programs funded by WIOA Title I shall ensure that all PII data obtained during the performance of their grant has been obtained in conformity with applicable Federal and State laws governing the confidentiality of information. Programs funded by WIOA Title I funds further acknowledge that all PII data obtained through their ETA grant shall be stored in an area that is physically safe from access by unauthorized persons at all times, and the data will be processed using grantee/sub-grantee issued equipment, and managed information technology (IT) services. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations (e.g., employee's home), and non-grantee managed IT services (e.g., Yahoo mail) is strictly prohibited. It is highly recommended that a Virtual Private Network (VPN) is utilized when accessing PII in an offsite location. All users should be mindful of how and where they are accessing PII where it may be compromised such as over public/unsecured wifi networks or where documents containing PII may be observed by the general public.

for programs funded by WIOA Title I, employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state law.

Programs funded by WIOA Title I must have their policies and procedures in place under which administrative and program employees, before being granted access to PII, acknowledge in writing their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, and understand that they may be liable to civil and criminal sanctions for improper disclosure.

Programs financially supported by WIOA Title I must not extract information from WIOA (ETA) funded programs for any purpose not stated in the grant agreement, contract, and/or memorandum of understanding (MOU).

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Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient, SCWDB and VCCS programs funded by WIOA funds that need it in their official capacity to perform duties in connection with the scope of work in the grant agreement, contract or MOU.

All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted and properly secured. Wage data may only be accessed from secure locations and access to wage information may be limited based on agreements between VCCS and other entities (Virginia Employment Commission [VEC], Wage Record Interchange System [WRIS and WRIS 2], and Federal Employment Data Exchange [FEDES]).

PII data obtained through a request from ETA must not be disclosed to anyone but the individual requestor except as permitted by the Grant Officer.

Programs funded by WIOA Title I must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that the grantee (to include: SCWDB and VCCS programs funded by WIOA funds) is complying with the confidentiality requirements described in the Virginia Workforce Letter 19-05..

Grantees (to include: SCWDB and VCCS programs funded by WIOA funds) must retain data received from ETA only for the period of time required to use it for assessment and other service provision related purposes consistent with applicable Federal records retention requirements. Thereafter, the grantee (to include: SCWDB and VCCS programs funded by WIOA funds) agree to destroy the data using appropriate processes related to the data (for example: deletion of electronic data).

A grantee's (to include: SCWDB and VCCS programs funded by WIOA funds) failure to comply with the requirements included in this policy (and TEGL 39-11), or any improper use or disclosure of PII for an unauthorized purpose, may result in the termination or suspension of the grant, contract or memorandum of understanding, or the imposition of special conditions or restrictions, such as the Grant Officer may deem necessary to protect the privacy of participants or the integrity of data.

Instructions to Protect PII:

Before collecting PII or sensitive information from participants, have the participants sign a release acknowledging the use of PII for grant purposes only.

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Whenever possible, ETA and VCCS recommend the use of unique identifiers for participant tracking instead of SSNs. While SSNs may initially be required for performance tracking purposes, a unique identifier could be linked to each individual record. WIOA uses the State ID, which is a system-generated number not related to the SSN. Once the SSN is entered for performance tracking, the unique identifier would be used in place of the SSN for tracking purposes. If SSNs are to be used for tracking purposes, they must be stored or displayed in a way that is not attributable to a particular individual, such as using a truncated SSN.

Use appropriate methods for destroying sensitive PII in paper files (i.e., shredding, or using a burn bag) and securely deleting sensitive electronic PII.

Do not leave records containing PII open and unattended.

All documents containing PII shall be stored in locked cabinets when not in use.

Any breach or suspected breach of PII shall be reported immediately to the Executive Director of the SCWDB and to the WIOA Title I Administrator.

Do not use any PII as identifiers on participant file folders

Data Breach

In the event that the SCWDB or contracted service provider suspects, discovers, or is notified of a data security incident or potential breach of security relating to personal information, the SCWDB shall as soon as possible, but no later than twenty-four (24) hours, from the incident, notify the WIOA Title I Administrator and Grant Recipient. The WIOA Title I Administrator will notify the DOL ETA Federal Project Officer assigned to Virginia about the data breach security incident or potential breach. Executive Director will provide a timely notice of a breach to the SCWDB Executive Committee and chief local elected officials.

The notification shall include the following:

- Approximate date of the incident;
- Description of cause of the security event and how it was discovered;
- Number of individuals affected and the type of PII involved;
- Steps taken/to be taken to remedy the event.

The SCWDB or contracted service provider shall also comply with notification requirements outlined in Section 18.2-186.6 of the *Code of Virginia*.

Signature of Contractor/Employee: _____ **Date:** _____

Signature of Executive Director: _____

Date: _____

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Title:	Contract Monitoring	Policy #:	1.2
Effective Date:	7/1/2015	Revision Date:	

Purpose:

Contract monitoring establishes a system which contains acceptable standards for ensuring accountability, provides technical assistance as necessary and appropriate, and defines the criteria that will be used to monitor sub-recipients and contractors in the SCWDB. Compliance monitoring will be conducted by reviewing records and documents maintained by the SCWDB administrative office on each program or contract; conducting onsite reviews and desk reviews of procedures, records and documents maintained by the contractor or program operations staff; and by submission of written reports of findings, including corrective action recommendations, if appropriate or necessary.

The SCWDB Staff shall monitor each sub-recipient at least quarterly for compliance with the WIOA Federal and State requirements. These requirements include, but are not limited to, the applicable State WIOA policies Virginia Workforce Letters, SCWDB local policies, VCCS Contracts/Grant Agreements, Federal laws and regulations Federal Uniform administrative requirements, and/or Federal cost principles. The major systems of local compliance review shall include, but not be limited to, administrative, financial and program. Appropriate corrective action will be administered when evidence indicates possible violation of one of the aforementioned regulations or policies.

The Contractor Staff will perform an audit of at least 1 file for each program for each case manager per month and report to the Policy/Oversight Committee quarterly.

Policy:

A written monitoring checklist is utilized to ensure all acceptable standards of accountability are reviewed.

Compliance monitoring activities are scheduled in advance with each Program Operator. Reports, records, and documents maintained by the SCWDB on each contract or program are reviewed for completeness, accuracy, and the timeliness of submission. Such reports, records and documents include but are not limited to: approved contracts and revisions and/or program specifications, correspondence and reports, transmittal of individual participant records, previous monitoring reports and corrective action plans.

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Each contract or program is monitored at the site of operation or case files can be monitored off site. On-site monitoring may include, but is not limited to: an entry interview with the Program Operator's designated representative, a review of applicable written policies and procedure, staff and participant interviews, a review of participant records, a review of financial procedures/records/documentation, a review of performance and follow-up procedures/records/documentation, and an exit interview with the Program Operator's designated representative. Technical assistance may also be provided in order to ensure continuous improvement.

A written monitoring report is completed on each monitored contractor program and distributed to the Program Operator. The written report includes, but is not limited to, findings and recommendations on identified deficiencies as well as administrative concerns regarding program operations. A response will be requested from Program Operators with all corrections by the date established by the Executive Director.

Verbal reports may be made to the Executive Director when apparent deficiencies are identified which may need immediate action. Such deficiencies include, but are not limited to: inaccurate or insufficient financial management procedures, inaccurate or insufficient participant eligibility determination, child labor law violations, or non-compliance with the terms and conditions of the contract or other applicable federal, state, board or WIOA requirements.

The Executive Director will review the Program Operator's responses to the monitoring report and will determine if action taken by the Program Operator is sufficient to satisfy the recommendations contained in the monitoring report. Additional information may be requested if deemed necessary by SCWDB staff and staff may conduct follow up monitoring reviews/visits to ensure corrective action has been initiated, is on-going or has been completed. Once it has been determined that deficiencies have been corrected, the Program Operator will be notified that no additional action is necessary.

Signature of SCWDB Chairman: _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Nondiscrimination and Equal Opportunity Policy	Policy #:	1.3
Effective Date:	7/1/2015	Revision Date:	10/20/2016

Purpose:

It is the policy of the South Central Workforce Development Board (SCWDB) to provide equal opportunity in employment to all employees and applicants for employment to reflect the available workforce in the local and regional areas without regard to race, color, religion, sex (including pregnancy, childbirth, and related conditions, sex stereotyping, transgender status and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief.

This policy applies to all terms, conditions, and privileges of employment, including: recruitment, hiring, compensation, benefits, work assignments, evaluations, promotion, transfer, disciplinary actions, educational assistance, training, social and recreational programs, and use of SCWDB facilities. This policy prohibits the lowering of bona fide job requirements and qualification standards to give preference to any applicant.

In addition to its equal opportunity commitment in employment, the SCWDB shall provide equal opportunity in accordance with Section 188, “Nondiscrimination and Equal Opportunity Provisions of the WIOA of 2014”; Title VI and VII of the Civil Rights Act of 1964, as amended; Title II of the Americans with Disabilities Act; 29 CFR Part 37, Implementation of the Nondiscrimination and Equal Opportunity Provisions of the WIOA of 2014; Training and Employment Guidance (TEGL), WIOA No. 37-14 “Update on Complying with Nondiscrimination Requirements: Discrimination Based on Gender Identity, Gender Expression and Sex Stereotyping are Prohibited Forms of Sex Discrimination in the Workforce Development System”; Age Discrimination Act of 1975, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Title IX of the Education Amendments of 1972; Immigration and Nationality Act and other pertinent directives. To that end, no person shall, on the basis of race, color, religion, gender, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation, be excluded from participation in, be denied the benefits of, or otherwise subjected to discrimination in any WIOA Title I funded program or activity.

Policy:

Programs and activities funded by the United States Department of Labor under the Workforce Innovation and Opportunity Act (WIOA) are subject to federal equal opportunity laws and regulations. The SCWDB, as a recipient of federal funds, is obligated to comply with the nondiscrimination and equal opportunity

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provisions of the Workforce Innovation and Opportunity Act in admission or access to, opportunity or treatment in, or employment in the administration of or in connection with any program funded in whole or in part with WIOA funds. Section 188 of the WIOA describes the prohibition against discrimination on the basis of race, color, religion, gender (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, political affiliation or belief, and for beneficiaries only, citizenship and participation in WIOA programs.

Notification:

- All employees, applicants for employment and customers shall be provided initial and continuing notification of this policy.
- Customers should be notified of this policy by posting the agency's "Equal Opportunity is the Law" posters in all Workforce Centers.
- New employees (classified and wage) should be given a copy upon employment.
- Current employees should be informed of changes to the policy.
- Signature on EO notification will be required and placed in the employee/applicant file.

Who May File A Complaint:

An individual may file discrimination complaints with the WIOA Title I service provider, SCWDB EO Officer (Executive Director), State WIOA Officer and directly with the Director of the Civil Rights Center (CRC) of the United State Department of Labor within 180 days of the alleged discrimination Retaliatory action shall not be taken by agency management against any person for filing a complaint of discrimination.

Debra Crowder, Executive Director
P. O. Box 580
Charlotte Court House, VA 23923
debracrowder@southernvajobs.com
434-542-5871 (p)
434-542-5874 (f)
VA Relay 711

Vicki Tanner, State WIOA EO Officer
Workforce Development Services
Virginia Community College System
300 Arboretum Place, Suite 200
Richmond, VA 23236
vtanner@vccs.edu
804-819-1682 (p)

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**Director, Civil Rights Center (CRC)
U.S. Department of Labor
200 Constitution Avenue, NW,
Room N-4123
Washington, DC 20210.**

Filing A Discrimination Complaint at the Grant Recipient Level::

- **A complaint of discrimination must be filed with the respective EO Officer/agency within 180 days of the alleged act of discrimination. Complaints may be filed by the individual or on behalf of the individual by an authorized representative (anyone the complainant designates to conduct business on their behalf). Complaints must be filed in writing and signed by the complainant or by his/her representative. It is recommended but not required that complaints be filed on the USDOL Complaint Information Form.**
- **The complaint document must contain the following:**
- **Complainant's name and address, or other means by which the complainant may be contacted;**
- **Identification of individual(s) and/or organization responsible for the alleged discrimination;**
- **Descriptions of the complainant's allegations to (1) determine the grant recipient's jurisdiction of the complaint, (2) timeline of the alleged act of discrimination, (3) specific prohibited basis or bases for the alleged discrimination (i.e., race, sec, etc.) and (4) apparent merit of the complaint.**

Time Frames

- **Any person who elects to file his or her complaint with the SCWDB shall allow the SCWDB 90 days to process the complaint and provide a determination. Virginia's discrimination complaint process includes 60 days for the grant recipient to investigate and provide a determination to the complainant and 30 days for a review at the state level if warranted.**
- **If the complainant elects to file with both the CRC and the grant recipient, the complainant shall be informed that the grant recipient has 90 days to process the complaint and that the CRC shall not investigate the complaint until the 90 day period has expired.**
- **If by the end of the 90days from the date on which the complaint was filed the grant recipient fails to issue a Notice of Final Action, the complainant may file a complaint with the Director of the CRC within 30 days of the expiration of the 90 day period.**
- **Immediately upon determining that it does not have jurisdiction, the grant recipient's EO Officer shall notify the complainant in writing that he or she does not have jurisdiction over the complaint, including reasons for the**

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determination and the complainant's right to file with the appropriate party or the Director of the CRC within 30 days of the notice.

- The complainant shall be notified that if the complaint is not filed within 180 days of the alleged act of discrimination or a complaint has not been filed within 30 days of the receipt of the grant recipient's determination of expiration of the 90 day period, the Director of the CRC may extend the time limits for good cause shown.

Processing a Discrimination Complaint:

It is the responsibility of the EO Officer receiving the complaint to determine the appropriate jurisdiction over the complaint. Upon determining that a One-Stop partner/WIOA Title I service provider has jurisdiction, the complaint shall be recorded in the EO Officer's complaint log and referred to the appropriate One Stop partner/service provider for resolution in accordance with that partner's complaint processing procedures. Where the EO Officer has jurisdiction for a complaint, he/she shall notify the complainants, in writing, of the specific timeframes for processing of the complaint. Where the EO Officer determines there is no jurisdiction over the complaint (i.e., the complaint is not related to WIOA Title I services), or the complaint has been filed after 180 days from the alleged act of discrimination, he/she shall notify the complainant(s), in writing, detailing that determination and applicable next steps.

All complaints shall be investigated in accordance with the Discrimination Complaint Process and procedures outlined below. WIOA Title I service providers must follow the Local Workforce Development Area's (LWDA) complaint processing procedures if they do not have their own. Such complaint procedures must include the following elements:

- Initial, written notice to the complainant, including notice that the complainant has the right to be represented in the complaint process;
- A written statement provided to the complainant that contains a list of the issues raised in the complaint and, for each issue, a statement whether the grant recipient will accept or reject the issue, and the reasons for each rejection;
- A period of fact-finding or investigation of the issues, which includes interviews with the complainant and individual or entity named in the complaint;
- A written Notice of Final Action provided to the complainant within 90 days of the date on which the complaint was filed that contains the grant recipient's determination.

All activities and records of the EO Officer related to an investigation shall ensure the confidentiality of the complainant and any resulting actions. The investigation must be managed in a manner that does not have an adverse effect on the complainant or any other party related to the complaint.

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Responding to a Discrimination Complaint:

It is the responsibility of the EO Officer investigating the complaint to sign the investigation documentation, including the determination and recommendation. The EO Officer shall provide a written determination (Notice of Final Action) of the complaint and offer resolution within 90 days of the date the complaint was filed. The determination of each issue filed should include:

- 1) the grant recipient EO Officer's decision on the issue and an explanation of the reasons underlying the decision;
- 2) a description of the way the parties resolved the issue;
- 3) notice that the complainant has a right to file a complaint with the Director of the CRC within 30 days of the Notice of Final Action if he/she is dissatisfied with the grant recipient's final action on the complaint.

Determinations:

The grant recipient's EO Officer shall determine at the conclusion of the investigation of a complaint whether there is reasonable cause to believe that a violation occurred. If an investigation results in a reasonable cause finding, the EO Officer shall submit the signed investigative report, including determination and recommendation to the State WIOA EO Officer for review within 60 days of the filing date. Based on a review of the determination, the State WIOA EO Officer will determine if further review by the VCCS Administrator of Federal Workforce Development Programs or the Attorney General's Office is warranted. If the VCCS State WIOA EO Officer or Administrator of Federal Workforce Development Programs concurs with the determination, the originating grant recipient EO Officer shall issue a written determination. The determination shall notify the complainant of the specific findings; the proposed remedial or corrective action and the time in which a corrective action must be completed.

Where a no cause finding is made by the grant recipient's EO Officer, the complainant shall be notified in writing. Such a determination represents the final action of the grant recipient's EO Officer and should include notification to the complainant of his/her right to file a complaint (not an appeal) with the State WIOA EO Officer or the CRC if he/she believes the grant recipient's resolution is unsatisfactory. The complainant shall be informed that this right must be exercised within 30 days.

Corrective Action:

If a determination of discrimination is found through the process of a complaint investigation, the respondent shall be requested to voluntarily comply with corrective action(s) or conciliation agreement to correct the discriminatory actions or conditions. Actions to correct discrimination deficiencies may include any of the following:

- Back pay, or other monetary relief (Federal funds shall not be used to provide monetary relief-also requires approval by the Attorney General's office);

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- Hire or reinstatement;
- Promotion;
- Benefits or other services denied; and
- Any other remedial or affirmative relief such as outreach, recruitment and training to ensure equal opportunity.

It is the responsibility of the investigating EO Officer to provide technical assistance and evaluate respondent progress made toward completion of corrective actions. The State WIOA EO Officer must be notified in writing of all investigations resulting in determinations of discrimination. If respondent compliance with the corrective actions or conciliation agreement is not secured through voluntary means, the State WIOA EO office must be notified and shall consult with the VCCS Administrator of Federal Workforce Development Programs regarding appropriate sanctions to be imposed, which could include but not be limited to termination of funding, termination of partial funding, and disallowance of selected costs.

Recordkeeping:

Grant recipient EO Officers shall maintain an automated or manual log of discrimination complaints to include name and address of the complainant; the basis of the complaint (i.e., race, gender, age, etc.), a description of the complaint; the date the complaint was filed; the disposition and date of disposition of the complaint; and other pertinent information. Records pertaining to discrimination complaints, investigations or any other such actions shall be retained for a minimum of three (3) years from the date of the resolution. Information pertaining to the identity of any person providing information related to or assisting in an investigation or a compliance review shall be maintained in a confidential manner to the extent possible. If it is necessary that a person's identity be disclosed, the person shall be protected from retaliation.

Intimidation and Retaliation are Prohibited:

Consistent with 29 CFR 37.11, intimidation and retaliation against individuals for filing a complaint; opposing a prohibited practice; furnishing information; assisting or participating in any manner in an investigation, review, hearing or any other activity related to administration of, exercise or authority under, or privilege secured by, the nondiscrimination and equal opportunity provision of WIOA are prohibited. In accordance with 29 CFR 37.11, complaints may be filed alleging intimidation and retaliation.

EO Monitoring

The SCWDB will conduct at least one local review of EO policies and procedures each year that will coincide with local monitoring of WIOA participant files. The EO monitoring will include a review of EO policies for the SCWDB and for participants in the WIOA programs. The review will ensure that EO policies are being dispersed to all participants and contact information for all local, state

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and federal EO resources are provided. The review will also ensure that the local provider liaisons are up to date on EO policies and procedures of the WIOA program and have made EO policies accessible to all participants and job seekers. The Local Monitor will ensure that the local service providers have EO policies and information posted in the Workforce Centers for job seekers and that Resource Room staff are equipped to provide the appropriate information. The EO Monitoring Checklist will be completed during the annual local monitoring and will be attached to the local monitoring report for the program year.

Violations:

Any SCWDB employee found in violation of this policy shall be subject to appropriate disciplinary action.

Signature of Executive Director: _____

Date: _____

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EQUAL OPPORTUNITY (EO) RIGHTS NOTIFICATION South Central Workforce Development Board

Equal Opportunity Is The Law Know Your Rights!

It is against the law for this recipient of Federal financial assistance to discriminate on the following bases:

- Against any individual in the United States on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, political affiliation or belief; and
- Against any beneficiary of programs financially assisted under Title I of the Workforce Innovation and Opportunity Act of 2014 (WIOA) on the basis of the beneficiary's citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any WIOA Title I-financially assisted program or activity;
- Deciding who will be admitted, or have access, to any WIOA Title I-financially assisted program or activity;
- Providing opportunities in, or treating any person with regard to, such a program or activity;
- Making employment decisions in the administration of, or in connection with, such a program or activity.

What to Do if You Believe You Have Experienced Discrimination

If you believe that you have been subjected to discrimination under a WIOA Title I-financially assisted program or activity, you may file a complaint within 180 days from the date of the alleged violation with either: the recipient's Equal Opportunity Officer (Debra Crowder, Executive Director, SCWDB, P. O. Box 580, Charlotte Court House, VA 23923); or Vicki M. Tanner, State EO Officer, 300 Arboretum Place, Suite 200, Richmond VA 23236; or the Director, Civil Rights Center (CRC), U. S. Department of Labor, 200 Constitution Avenue, NW, Room N-4123, Washington, D.C. 20210.

If you file your complaint with the recipient, you must wait either until the recipient issues a written Notice of Final Action, or until 90 days have passed (whichever is sooner), before filing with the Civil Rights Center (see address above). If the recipient does not give you a written Notice of Final Action within 90 days of the day on which you filed your complaint, you do not have to wait for the recipient to issue that Notice before filing a complaint with CRC. However, you must file your CRC complaint within 30 days of the 90-day deadline (in other words, within 120 days after the day on which you filed your complaint with the recipient).

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If the recipient does give you a written Notice of Final Action on your complaint, but you are dissatisfied with the decision or resolution, you may file a complaint with CRC. You must file your CRC complaint within 30 days of the date on which you received the Notice of Final Action.

I, _____, as a representative of the South Central Workforce Development Board, have explained the information contained in the Notification of Equal Opportunity Rights to the WIOA participant/employee/service provider.

Signature of Representative: _____ Date: _____

I, _____, the applicant/participant/employee/service provider, agree that this Notification of Equal Opportunity Rights has been explained to me, and I have had the opportunity to ask questions for clarification.

Signature of Applicant/Participant/Employee: _____ Date:

Copy to be maintained in applicant/participant/employee/ service provider file

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Title:	Corrective Actions/Sanctions for Discrimination and Equal Opportunity	Policy #:	1.4
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The purpose of this policy is to establish and communicate procedures for obtaining prompt corrective action or as necessary, applying sanctions when recipients are determined to be in violation of the nondiscrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act (WIOA).

The South Central Workforce Development Board (SCWDB) will seek corrective action for a WIOA recipient if a violation is identified as the result of EO monitoring or a complaint investigation. Efforts will be made to secure voluntary compliance.

Policy:

Technical Violations: Instances of noncompliance which are generally insufficient to constitute illegal discrimination (for example failure to post required material, failure to include an EO assurance in a contract, etc.)

Corrective Action: The EO Officer should notify the recipient (an entity or partner in a One-Stop delivery system or training and service providers) in writing of the violations along with recommendations for corrective action. The EO Officer is responsible for providing technical assistance to correct the violations. Corrective action may include policy development or educating individuals responsible for implementing the required action. A follow-up visit or contact should be made to evaluate progress made toward resolving the violations.

Sanctions: Reporting the violation to the Executive Committee for action.

Discrimination Violations: Findings which are more serious such as disparate treatment or failure to provide reasonable accommodation.

Corrective Action: Corrective action should be completed within 45 days from the date of initial notification of the violation. Follow-up monitoring shall be conducted to determine whether compliance has been attained. Recipients shall provide access to information to include the provision of reports and other information pertaining to determined violations, as requested. Efforts should be made to achieve voluntary compliance by corrective action as described above or a Conciliation Agreement to correct the discrimination. Conciliation Agreements must include the following provisions:

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

- 1. Be in writing.**
- 2. Address each cited violation;**
- 3. Specify the corrective action to be taken,**
- 4. State the period of time needed to attain compliance.**
- 5. Provide for periodic reporting as determined by the EO Officer regarding status or corrective action.**
- 6. Provide that the violation(s) do not recur.**
- 7. Provide for enforcement if a breach of the agreement occurs.**

Sanctions: May include termination of contract, or other action as deemed appropriate by the Executive Committee.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Crisis Plan-Continuity of Operations	Policy #:	1.5
Effective Date:	7/1/2015	Revision Date:	

Purpose: The South Central Workforce Development Board (SCWDB) has developed its Continuity of Operations Plan (COOP). This plan will continue to be reviewed and modified as needed each year.

The purpose of the COOP is to provide guidance to South Central Workforce Development Board staff in case of emergencies, including severe weather events and criminal activity. Recent disaster events have highlighted the need to develop and maintain disaster Continuity of Operations Plans.

Policy: CONTRACTOR RESPONSIBILITIES

The South Central Workforce Development Board (SCWDB) role in relation to its contractors is to inform, educate, train, provide technical assistance, and to serve as a resource for developing their own internal COOP Plan. The contractors are responsible for developing their own disruptive impact preparedness. SCWDB will incorporate a statement in all contracts with the agency contractors that acknowledge their responsibility to establish and prepare their own COOP.

Following a natural or other disaster, SCWDB will remain in close contact with the contractors. If further communication is received from the Department of Emergency Services, the Governor, Secretary of Health and Human Resources, Secretary of Commerce and Trade, Advisor to the Governor for Workforce Development or the Virginia Community College System, the SCWDB will work with those agencies to assess and accommodate the needs.

SCWDB will monitor potential Governor's requests to the President to declare Virginia (or a portion of the Commonwealth) a disaster area. SCWDB Executive Director will maintain contact with any affected contractor and gather information about their operational status and their need for assistance to serve impacted citizens.

OFFICE CLOSINGS

Employees are contacted concerning office closing due to inclement weather by the Executive Director to employee phone numbers as provided by the employee.

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ONGOING PREPARATIONS for COOP

Time Period	Activities	Staff Assigned
Ongoing	Ensure SCWDB employee safety and facility security.	SCWDB Staff
Ongoing	Carry the updated staff list and contact numbers home- Appendix B	Executive Director
Weekly	Prepare a backup of SCWDB computers	SCWDB Staff
Annually	Review this plan and update as necessary including updating Appendix B-Staff and Car Telephone List	Executive Director
Annually	Provide refresher training on COOP and the use of the forms included in the plan.	SCWDB Staff

IMPENDING PREPARATION for COOP

If the potential for disruptive impact is known in advance, the **Executive Director**, in conjunction with the **Contractors**, will assess and plan for the following to the extent that advance planning permits.

Activity	Staff Assigned
Turn off/unplug all computers and monitors Turn off/unplug the fax machine Turn off/unplug all printers Turn off/unplug both copiers Turn off/unplug small office machines (shredder, postage meter)	SCWDB Staff responsible for own office
Unplug small appliances in kitchen (except refrigerators)	SCWDB Staff
In the event of possible flooding or wind damage, conduct an inspection of the premises to ensure items are protected from possible water damage.	SCWDB Staff
Cover all computers and equipment with plastic	SCWDB Staff
Park all vehicles away from trees or power lines if possible	SCWDB Staff
Check and maintain supplies in the first aid kit	WIOA Coordinator
Take home a copy of backup files for each computer	SCWDB Staff
Communicate with SCWDB Chairman	Executive Director
Take home a copy of the SCWDB members and CLEO members and contact information	Executive Director
Take home a copy backup files for financial records	Fiscal Officer
Check all windows and doors for building security before leaving	Executive Director
Take home contact numbers for Charlotte County administration to check on damages to the office building if needed	Executive Director

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

POST RESPONSE for COOP

The SCWDB will open a **Command Center** in the event of a severe disruptive event.

The Command Center will be located as follows:

South Central Workforce Development Board
P. O. Box 580
285-C George Washington Hwy.
Charlotte Court House, VA 23923
Command Center Telephone Number: 434-955-0491
Office Telephone Number: 434-542-5871
Office Fax Number: 434-542-5874

If the facility is unusable, an alternative Command Center may be established as determined in the “Relocation of Command Center and Agency Staff” section. If possible, prior to a disruptive event, the Executive Director will ensure the Command Center is properly configured.

Configuration of the Command Center includes:

- 1) A copy of this plan
- 2) A working telephone
- 3) Radio (battery operated)
- 4) A computer connected to email and the internet (laptop preferred)
- 5) SCWDB employee telephone and address
- 6) Basic Office Supplies: paper and pens
- 7) Digital camera to document damages

All media inquiries are to be handled by the Executive Director.

Activity	Staff Assigned
Complete initial assessment to determine if there is employee injury.	Executive Director or Assigned Staff
In the event there is employee injury, ensure appropriate medical care and complete required documentation such as Worker’s Compensation Claim.	Executive Director or Assigned Staff
Perform a quick assessment of the nature and scope of the disruptive event as to its impact on the physical location of the agency and the ability of the SCWDB staff to perform their duties	Executive Director or Assigned Staff
Report any damage to the Charlotte County Administrative Office	Executive Director
Inspect in detail the agency’s internal operations to ensure all systems are functioning appropriately. Complete the Post Response Checklist and report to appropriate contacts. Document contacts.	Fiscal Officer

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Report final status of impact on employees, building, operations and if problems exist, the situation will be triaged to assess the impact on the SCWDB. Problems will be documented and communicated to appropriate persons/agencies.	Executive Director
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Relocation of Command Center and Agency Staff

If necessary, the **Executive Director** may need to find an alternative location for the Command Center if the SCWDB Office is unusable. If another location is used, the **Executive Director** may authorize all or part of the staff to relocate. The alternative facility may be the Charlotte Workforce Center (upon receiving permission) or a site at the Charlotte County Public Schools (upon receiving permission). If an offsite location is authorized, designated staff will be asked to report at a specified time. The **Executive Director** will notify the contractors of the offsite location.

Maintain contact and information regarding location of Command Center or relocation of office with:

George Taratsas
 Virginia Community College System
 gtaratsas@vccs.edu
 804-819-1687

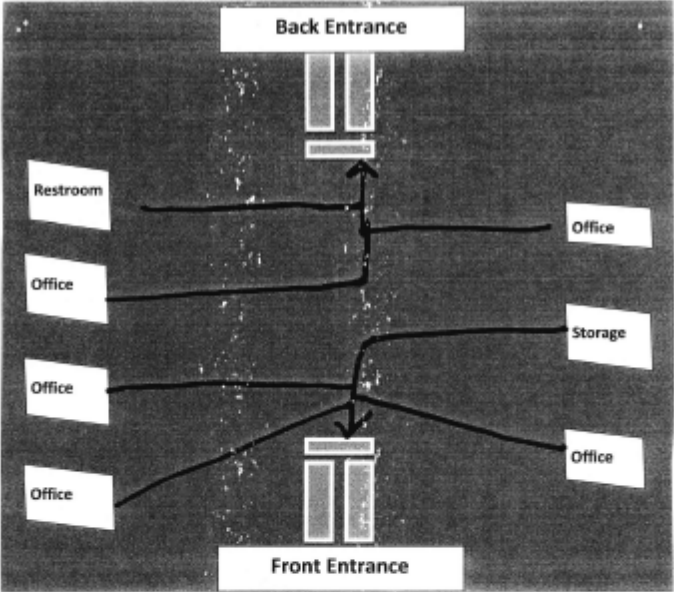
POST RESPONSE CHECKLIST

	Function	Responsible Party
	Building Assessment	
	Does Charlotte County Administration need to be contacted to inspect the building for structural safety?	Executive Director
	Inspect offices for hazards/leaks	Executive Director
	Inspect other areas of the building (kitchen, restrooms, conference area) for hazards/leaks that could impact the agency	Executive Director
	Inspect driveway, yard, propane tank and outside space for hazards that could impact the agency	WIOA Coordinator
	Does Dominion Va. Power need to be contacted concerning any power outages or downed power lines?	WIOA Coordinator
	Is building temperature being regulated correctly?	Executive Director
	Does gas company need to be notified of any problems?	Executive Director

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	Run water and make sure pressure is normal and water clarity is normal	WIOA Coordinator
	Does Charlotte County Administration need to be contacted concerning water?	WIOA Coordinator
	Check refrigerators in kitchen	WIOA Coordinator
	Test phone system by checking for dial tone on all lines (including fax)	Fiscal officer
	Does Verizon need to be notified concerning phone service?	Fiscal officer
	Test cell phone service	Fiscal officer
	Does company need to be contacted concerning service?	Fiscal officer
	Check copiers-make a copy	Office Support Technician
	Check to see if the internet can be accessed	Fiscal officer
	Access email and send a test email	SCWDB Staff
	Does Pure Net need to be contacted concerning service?	Fiscal officer
	Start/assess vehicles	WIOA Coordinator
	PCs-Check system date and time	SCWDB Staff
	Check/access financial management informational system	Financial Officer
	Check/access VWN	Fiscal Officer
	Does VCCS need to be contacted concerning access?	Fiscal Officer
	Determine which One-Stop Centers are operating and revised schedules/locations, if necessary	WIOA Coordinator
	Determine which In-School Youth sites are operating and revised schedules/locations, if necessary	WIOA
	Determine which Out of School Youth sites are operating and revised schedules/locations, if necessary	WIOA

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD



**WORK FORCE INVESTMENT BOARD
OF
CHARLOTTE COURT HOUSE**

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

SCWDB FACILITY LAYOUT 130 LeGrande Ave. Charlotte Court House, VA

Electrical Room/Box/Panel

Located in the back hallway in front of men's restroom.
Internet box located in furnace room of basement.

Employee Emergency Contact Information

Emergency contact information is located in the employee's personnel file.

Entrance/Exit Locations

The SCWDB office has 2 exit doors. The main entrance is a wooden door. There is an exit wooden door at the rear of the building.

Fire Extinguishers

There are 2 fire extinguishers in the building. One is to the right of the front door and one is beside the rear door sitting on floor.

First Aid Kit

There are 2 first aid kits in the building. The first aid kit is located in the rear restroom in the cabinet under the sink. The second kit is located in the cabinet below the fax machine in the reception area near the front entrance.

Flashlights

One is located in the store room.

Generator Capabilities

The SCWDB office does not have built in generator capabilities.

Material Safety Data Sheets (MSDS)

The only potential hazardous material is toner. The Material Safety Data Sheets are kept in the cabinet beneath each copier.

Smoke Detectors

Two smoke detectors are in the building—one in the hallway and one in the conference area.

Sprinkler Locations

There are no sprinklers.

Toolbox

The toolbox is located on the shelves in the conference area.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

EVACUATION PLAN

This section provides instructions to be used during emergency evacuations for the protection and safety of all employees and guests. It is subject to change, either by written or oral directive of the **Executive Director**, when certain emergency conditions arise.

Authorization

The following are authorized to order evacuation of the building:

Name	Title	Work Phone	Home Phone	Cell Phone
Debra Crowder	Executive Director	434-542-5871	434-372-5483	434-955-0491

IN THE EVENT OF AN IMMEDIATE THREAT OR EMERGENCY, THE BUILDING MAY BE EVACUATED BY THE STAFF PERSON WHO DISCOVERS AND/OR REPORTS THE THREAT.

Evacuation Assembly Point

In the event of an evacuation, all staff and guests will assemble across the street on the sidewalk in front of the building in an area away from power lines and trees, if possible. From this vantage point, staff can direct fire and safety rescue vehicles and personnel, if needed.

Responsibilities for Evacuation

The **Executive Director**, designated as the **Emergency Response Coordinator**, has as his/her primary responsibility, the safety and welfare of the staff and guests. He/She will oversee the evacuation of the building when necessary. Under no circumstances should the **Executive Director** endanger his/her own life in the evacuation process. If there are questions about building safety, he/she should evacuate the building until appropriate emergency personnel arrive.

The **Emergency Response Coordinator** upon receipt of a report of fire or other threat responds immediately to the area involved.

In the event of an emergency evacuation, the person located in the center office (**WIOA Coordinator** presently) removes the first aid kit from the store room and establishes a first aid station across the street on the sidewalk in front of the building in an area away from trees and power lines where first aid may be administered. The **WIOA Coordinator** is designated as the **First Aid Coordinator**.

The **Fiscal Officer** will take a cell phone to the **Evacuation Assembly Point**.

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Be familiar with all aspects of the building, such as special hazards, exit locations and the work station locations of personnel with disabilities.

Keep personnel informed of any changes to the emergency procedures.

Upon notification of an emergency that requires evacuation, the **Emergency Response Coordinator** oversees the evacuation of all offices, determining that everyone leaves the building. Also, a check of all restrooms, storage rooms, furnace room and kitchen will be made to be certain that every room is empty, closing all doors and turning off all lights as he/she goes.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

SPECIFIC DISRUPTIVE EVENTS

I. Fire Alarm Evacuation

A. Procedures

1. Turn off all lights and close all windows and doors.
2. Evacuate to the nearest, safest exit.
3. In the event of an evacuation, **all staff and guests** will assemble on the sidewalk across the street in front of the SCWDB office building in an area away from trees and power lines. From this vantage point, staff can direct fire and safety rescue vehicles and personnel.
4. The **Emergency Response Coordinator** will escort the fire department to the location of the problem.
5. After evacuating the building, the **Emergency Response Coordinator** will conduct a head count of all staff and guests.
6. Once the fire department verifies that the building is safe to re-enter, the **Emergency Response Coordinator** will notify personnel to return to work or, if there is serious damage to the building, to go home.

B. Exits

1. There are only 2 exits for evacuation. **Staff** should plan out the closest exit route from their own work area. If staff plans to exit by the front door, be aware of hazards that may exist in the lobby.

C. Evacuation of Persons with Disabilities

1. **Visitors or staff** members with disabilities should be assisted to the nearest safe exit by the **Emergency Response Coordinator**.

D. Meetings in Conference Room

1. If there is a meeting in the conference room, the staff person hosting the meeting will instruct the **participants** to go to the nearest safe exit and told to assemble on the sidewalk across the street in front of the building in an area away from trees and power lines.

E. Building Access/Security

1. After evacuating, the **Emergency Response Coordinator** will assign a **staff person** to every entrance of the building to direct other building evacuees safely to the Evacuation Assembly Point, ensure no visitors or unauthorized access to the building and to assist in directing rescue/fire and safety personnel.

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II. Bomb Threat

A. Procedures

1. Keep the caller on the telephone if possible and record information noted in **Appendix D-Bomb Threat Report Form**.
2. Immediately call the Charlotte County Police Department at **911**.
3. Evacuate building.
4. Notify **Emergency Response Coordinator and First Aid Coordinator**.

III. Earthquakes

A serious earthquake will likely knock over wall shelves, storage units, and equipment. Book shelves and ceiling tiles may crash to the floor. In addition, structural supports may be twisted or broken. The most serious problem will be structural damage to the building and water damage from broken pipes.

A. Procedures

Staff should take shelter in a doorway, under a sturdy desk or table, or in another well protected area.

After the main shock has occurred, take the following actions:

1. Be prepared for aftershocks.
2. Turn off the water at main valves or meter boxes if accessible. Turn off all appliances.
3. Check for broken water pipes and shorting electrical circuits.
4. Listen to a battery-powered radio for instructions.
5. Notify the fire department of any fires.
6. Assist those who have been trapped or injured by falling debris, glass, etc. Do not move any seriously injured persons unless they are in obvious, immediate danger from fire, building collapse, etc.
7. Open doors carefully and watch for falling objects.
8. Do not use the telephone or cell phone, except in an emergency. The telephone lines and cell phones should be kept free for rescue operations.
9. Evacuate the building if it is safe to do so. Do not re-enter until the building has been declared safe by the fire department and/or Charlotte County Administration.

IV. Fire

A. Procedures

1. Call the Charlotte County Fire Department by dialing **911**. Give the exact location: 130 Le Grande Avenue, Charlotte Court House. The building is the old Red Cross Building located between the library and the Presbyterian Church.
2. Alert all **staff and guests** to evacuate the building. See **EVACUATION PLAN**.
3. Contact the following:
 - a. Charlotte County Administration 434-542-5117

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b. Lisa Crews, SCWDB Chairman 434-517-3032

4. The Emergency Response Coordinator will direct firefighters to the location of the fire.

V. Severe Storms: Blizzard/Tornado/Hurricane/Tropical Depression

Severe storms, including blizzards, tornados, hurricanes, and tropical depressions, may bring heavy rains, high wind and hail, which can cause flooding (local or widespread), roof leaks, broken windows, toppled trees/light poles and assorted forms of water damage.

A. Procedures

When a severe storm warning is forecast, notify the **Emergency Response Coordinator** or the **First Aid Coordinator**.

1. The **Emergency Response Coordinator** will communicate with the Charlotte County Administration to determine appropriate level of response. If warranted, begin to implement hurricane preparedness. See **Appendix E-HURRICANES**.
2. The **Emergency Response Coordinator** will brief staff on weather condition plans and confirm responsibilities.
3. Ensure the following files and equipment is secure: financial records, server and data backup.
4. Perform the necessary backups of software and data files.
5. Move vehicles to a safe area.
6. If warranted, disconnect electrical equipment and turn off utilities as appropriate in coordination with **Charlotte County Administration**.
7. If necessary, evacuate staff and visitors to the conference area. No one should remain in an office space that has exposed windows. Office doors with an exterior window should be closed.
8. Remain in the conference room until radio announcement gives the all clear or until the **Emergency Response Coordinator** declares it is safe to leave. Evacuate building if it is safe to do so. If damage has occurred to the building, do not re-enter until the building has been declared safe by the fire department.
9. After the storm, **WIOA Coordinator** will contact the Workforce Centers and Youth Case Managers to determine their operational status. See **APPENDIX C-CONTRACTOR PHONE LIST**.

VI. Suspicious/Disruptive Visitor

In the event an individual enters that agency that arouses concern, the person receiving the visitor will ask them to talk with the Executive Director. If the person continues to be disruptive, he/she will be asked to leave the building. If the individual continues to be disruption or refuses to leave the building, a staff person will be asked to "bring me a cup of coffee." The staff person should go to the kitchen and dial **911** there. If the Executive Director is not present, the

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person receiving the visitor should ask another staff person to assist them to provide escort services and within reason provide safety to other staff. 911 should be called for assistance if needed.

VII. Utilities/Systems Malfunctions

In the event of an emergency related to utilities (electricity, phones, etc.) or systems (HVAC, etc.) contact the following:

Charlotte County Administration 434-542-5117 (water, heating, plumbing, etc.)

Dominion Virginia Power 888-667-3000 (electricity)

Verizon 1-888-599-0193

VIII. Water/Flooding

If easily done, attempt to determine the cause or source of the water. Attempt to cut off the water, if feasible, or contact the following:

Town of Charlotte Court House 434-542-5781

1. Make sure staff have turned off all electrical circuits in the affected area. No one should walk through the water until the Emergency Response Coordinator has declared the area safe. Electrical circuits are located in the furnace room.

2. If critical information system, financial, and/or WIOA records are threatened by water, make reasonable efforts to protect these records. Notify the appropriate persons at the state level for each program if records are damaged.

WIOA Vicki Tanner

804-819-1682 or 804-396-0610 (c)

3. If possible, protect computer equipment, copier, and files while awaiting assistance:

a. If water is coming from above, obtain plastic sheeting located under the kitchen cabinet and use it to cover affected equipment, cabinets, etc.

b. If water is coming in on the floor, obtain the hand truck located in the storage room and remove materials from the affected area, beginning with those in lower drawers/shelves and move to a safe location.

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IX. White Powder Risk Assessment

An unknown substance that just “appears” in your normal workplace is unlikely to be dangerous. Assess the situation before concluding there is danger. However, always take reasonable precautions with exposed white powders while assessing the risk:

- If practical, cover the substance with a clear plastic sheet to limit spread of powder.
- Notify the **Executive Director** at once.
- Keep other staff away until the **Executive Director** does the initial risk assessment.
- Wash your hands with soap and water.

1. Assessing envelopes and packages: Was the substance delivered or found in an envelope or package? If it was, then call **911** and evacuate the building.

2. Physical assessment of a hazardous material emergency: Here are some physical indicators that an unknown substance in your workplace is a serious, immediate hazard. A substance that is **NOT** causing effects like these is one you can afford to assess further. If it **IS** causing the effects below, call **911**.

- The substance is producing physical effects. As examples, it might produce sound, sparks, fumes, clouds, or smoke. It might melt or alter the surface it touches.
- It is causing any kind of symptoms, illness, or distress to anyone present.
- It is spreading beyond your ability to manage with your routine plans.

3. Threat Assessment: Evidence of a deliberately harmful substance: Is it likely that the substance is a deliberate attempt to harm people? Your assessment should include a criminal threat assessment. The following are indicators of possible criminal threat:

- The substance was found where someone seeking to do harm reasonable could have placed it. Strangers were seen in the area.
- The substance appears to have been placed to cause harm. It could not be easily seen and avoided. It was on or in a package, envelope, briefcase, or the like, which is of unknown origin.
- The substance is accompanied by a specific written or spoken warning or threat or the apparent target person, unit or program has been receiving threats.
- The person, unit or program recently did something that would have angered someone or it receives many threats of harm or retaliation because of the nature of its work.

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- The person, unit or program is frequently or was recently in the news in a controversial matter or is a high-profile symbol of government.
- The person, unit or program knows of an unstable individual who might do harm.

4. White powder indicators of no emergency or no credible threat: You don't want to call emergency responders for powdered sugar, powdered creamer, flakes of dried paint, glue or white-out correction fluid or paper dust from a copier, printer, shredder or old files. Ask yourself what could the substance be? How might it have gotten to where it was found? Is there a mess in the nearest waste container that shows donut wrappers, more paper dust or other evidence that your problem is just a messy co-worker?

5. Risk Assessment Conclusions:

Level I (low or no risk)

Letter and parcel handling guides indicate low risk or no risk.
Clear evidence indicates the substance is harmless (food or office residue, etc.)
No significant criminal threat indicators are present

Level II (warrants emergency action)

The letter or parcel guide indicates the substance is a probably risk.
The physical assessment indicates an immediate emergency.
The threat assessment indicates a probable risk.

If the Executive Director determines that the substance presents a Level II risk, call 911 immediately. If the local authorities advise that a risk does not appear to exist then:

Communicate the local authority's response to all staff.
Clean up the substance as provided in this guide.
Document the incident, action and outcome and properly report it to the WDB Chairman.

6. Clean Up Procedures

No Risk Clean Up: If you decide you know what the substance is and that it is harmless, like powdered creamer on a coffee tray, clean it up as you would normally do.

Risks with emergency calls: If the suspect substance prompted you to make an emergency call, the local fire department or hazardous materials responder will advise you on whether the cleanup should be performed by a skilled hazardous material response team or firm. Or, they may advise you that the material is low risk or no risk. Follow their advice.

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Low Risk Clean Ups: If your assessment (or that of emergency responders) is that the substance is not high risk, but you are not really sure what the substance is, this is a recommended cleaning method: Assume that the substance poses a low risk, such as a cleaning powder that may cause irritation. Clean up using clear plastic, closable bags, non-latex disposable gloves, disposable, disinfectant wipes and wear a dust or particulate mask using the following steps:

- Put on gloves and mask.
- Use disinfectant wipe to gently push material into a clear plastic bag along with any other contaminated materials (papers, etc.)
- Wipe down the surrounding surfaces. Remove gloves and mask and place in the clear plastic bags along with the wipes. Put the bags in a second, clean bag.
- Tag these with the date and a copy of your incident report. Keep them in a secure area for 60 days, then dispose of them in the regular trash.
- If papers, mail, checks or money is essential for your business, monitor for 60 days. If no illness or credible contamination is reported, you may remove and process as usual.
- Wash your hands with soap and water.
- Do not use the absorbent powder contained in many kits. Use that only for liquid spills such as body fluids.
- Do not use the red biohazard bag. It is only for known or likely biohazards or body fluids.
- Replenish your clean up kit immediately.

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APPENDIX A - EMERGENCY TELEPHONE NUMBERS

Police/Fire/Ambulance	911
Highway Emergencies to State Police-Cell Phone	#77
Virginia State Police	800-552-9965
Poison Control	800-222-1222
Utilities	
Building Maintenance/Sewage	434-542-5117
Town Utilities-Water	434-542-5781
Electricity: Dominion Virginia Power	888-667-3000
Verizon Business Telephone Repair	888-599-0193
Pure Internet	434-476-8800

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APPENDIX B – STAFF AND CAR TELEPHONE LIST

Name	Title	Work Phone	Home Phone	Cell Phone
Crowder, Debra	Executive Director	434-542-5871	434-372-5483	434-955-0491
Hankley, Stephanie	Compliance Officer	434-542-5871	434-676-3895	434-547-4008 434-917-4164
Jackson, Christin	WIOA Coordinator	434-542-5871	434-391-4876	434-394-8904
Jefferson, Pat	Fiscal Officer	434-542-5871	-	434-480-6395

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APPENDIX C - SCWDB CONTRACTOR PHONE LIST

Contractor	Contact Name	Phone Number	Cell Number
WIOA			
Charlotte County DSS	Sari Goff	434-542-5164 X121	434-736-8686
Charlotte County Workforce Center	Terra Napier	434-542-5605	434-470-1227
Farmville Workforce Center	LaToya Brooks	434-391-1246	
Southside Virginia Community College	Keith Harkins	434-736-2000	434-851-5128
South Boston Workforce Center	Kris Tuck	434-572-4472	
South Hill Workforce Center-	Matthew Williams	434-955-2252	
WIOA Coordinator-Adult and Youth	Terra Napier	434-572-5871	434-391-4876
South Boston Workforce Center Manager	Landon "Rock" Mason	434-572-4467	434-579-4139
ISY/OSY Case Manager-South Boston	Brittney Sydnor	South Boston: 434-575-5107	434-222-0213
ISY/OSY Case Manager-South Hill	Monica McMillan	434-955-2252	434-532-2644
ISY/OSY Case Manager-Cumberland	Josh Williams	804-492-9275	434-390-9196
ISY/OSY Field Supervisor	Kelly Powell		434-315-3886
ISY/OSY Administrative Assistant	Suzanne Shook	434-736-2093	
Financial Literacy Coach	Jeff French	434-575-5855	434-222-0375

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

IMMEDIATELY CALL 911! EVACUATE BUILDING!! APPENDIX E – HURRICANES

Most hurricanes become tropical depressions by the time they enter Area 8. Please refer to the Severe Storm section for more immediate action.

Hurricanes are accompanied by heavy rains and high winds that may cause major structural damage (especially loss of or damage to roofs, windows, trees/light poles, etc.), flooding, widespread power outages, and major disruption of customary services.

AT THE BEGINNING OF HURRICANE SEASON (JUNE):

1. The Emergency Response Coordinator will conduct a walk-through of the building to look for changes since the Emergency Response Plan was developed and determine what revisions are needed.
2. Update the Plan as necessary, with copies distributed to all staff members. If no update is required, the Emergency Response Coordinator will send a memo to all staff reminding them that hurricane season is beginning and asking them to review their Emergency Response Plan.
3. The Emergency Response Coordinator will inventory the first aid kit to make sure all items are present and in good order.

WHEN A HURRICANE IS IN THE AREA:

1. The Emergency Response Coordinator will notify all SCWDB staff that a potential hurricane disaster could occur.
2. Begin an hourly round-the-clock monitoring of the storm. Review reports from the Department of Emergency Services and follow their directions.
3. The Emergency Response Coordinator will determine when various staff should report to work after the storm depending upon the extent of storm damage, road closures, power outages, etc.

WHEN A HURRICANE WATCH IS ANNOUNCED:

1. The Emergency Response Coordinator will notify all SCWDB staff that a hurricane watch has been announced and that the SCWDB is entering an advanced stage of preparedness. As far in advance as possible, staff will be freed from routine duties so they can concentrate on preparedness responsibilities. This may require closing the office.
2. If the hurricane watch is announced outside of normal business hours, the Emergency Response Coordinator will notify key employees by phone and have them begin preparations at once.
3. The Emergency Response Coordinator will begin preparations in the SCWDB office building. Have all staff clear their desks and put papers, files, collections and other materials under cover.

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4. The Emergency Response Coordinator will make sure all vehicles are filled with gas. Vehicles will be moved away from trees, light poles and other objects that could be blown over.

WHEN A HURRICAN *WARNING* IS ANNOUNCED:

1. The Emergency Response Coordinator will oversee efforts to secure the building as directed by Charlotte County Administration. Activities may include closing doors and limiting building access.
2. The Emergency Response Coordination has a small purchase charge card for use in acquiring post-hurricane emergency supplies.
3. The Emergency Response Coordinator will oversee the movement and securing of critical files that remain in the building:
 - a. Move files away from windows.
 - b. Cover files with plastic sheeting and secure the sheeting with duct tape.
 - c. Cover desks, computers, copiers, and other equipment with plastic sheeting and secure the sheeting with duct tape.
4. Staff members will be informed when and where to meet after the hurricane. The Emergency Response Coordinator will pick a time and location based upon the extent of damage to the SCWDB Office Building and the instructions from local police, the Department of Emergency Services and/or Charlotte County Administration.
5. Upon direction of the Emergency Response Coordinator, the building will be closed:
 - a. Secure doors as staff leaves.

THE FIRST DAY AFTER THE HURRICANE:

1. The Emergency Response Coordinator and Charlotte County Administration will assess the building's condition as soon as possible.
2. Ensure that the building is safe to enter. If there is any doubt, the Charlotte County Administration or Charlotte County Fire Department will conduct an inspection
3. Begin taking photographs of damage to the SCWDB Office (obtain agency digital camera before the storm hits).
4. The Emergency Response Coordinator will begin assigning staff responsibilities depending on those who are able to reach the site, and initiate a personnel management system to contact employees and provide them with instructions on when to return to work.
5. After the storm, program or assigned staff will contact each contractor to determine their operational status and their potential need for disaster assistance. See **Appendix C- SCWDB Contractor Phone List**.
6. Make sure that the Charlotte County Administration takes steps to make the building weather-tight by covering broken windows and damaged roofs.

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**ATTACHMENT F
INCIDENT REPORT**

Date of Incident: _____

Person Making Report: _____

Type of Incident: _____

Specific Location: _____

Description of Incident:

Witnesses:

Action Taken:

Executive Director Response:

Signature:

Date:

Signature of Executive Director: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Date: _____

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Title:	Fiscal Requirements	Policy #:	1.6
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The South Central Workforce Development Board (SCWDB) and all contractors receiving Federal funds must abide by the requirements of the applicable Office of Management and Budget (OMB) circulars and Department of Labor (DOL) administrative requirements including the Workforce Innovation and Opportunity Act (WIOA) and the Virginia Community College System (VCCS).

Policy:

Case Management:

Grantees can either be paid in advance or by reimbursement. The SCWDB requests funds in advance from the VCCS using the Cash Payment Schedule. The funding streams are administrative, adult, dislocated worker, in-school youth, out-of-school youth, and rapid response. Funds are directly deposited into the checking account of the fiscal agent (Charlotte County, effective 7-1-04). The Director of Finance for Charlotte County notifies the SCWDB when funds have been deposited. The SCWDB Fiscal Officer records the deposit into the accounting system (Quick Books) by funding source as appropriate.

Disbursements:

The SCWDB Fiscal Officer sorts and distributes the mail. The Executive Director opens all invoices for approval of payment and gives them to the Fiscal Officer who inputs the invoices into the Financial Management Information System in the appropriate line item and class. A class is used to identify each contractor. A voucher is printed and signed by the Fiscal Officer, Executive Director, and SCWDB Treasurer and the bill or invoice is attached. A Check Register is printed and signed by the Executive Director and forwarded to the Charlotte County Director of Finance for check printing with checks signed by the County Administrator and County Treasurer. Charlotte County then returns the printed checks and the check register to the SCWDB Fiscal Officer for mailing. Documentation of payment is secured in a locked file cabinet.

Payroll:

Each full-time SCWDB staff prepares timesheet at the end of each month and submits to Executive Director for approval. Executive Director prepares his/her timesheet at the end of each month and submits to SCWDB Chairman for approval. A time distribution report is prepared by the Executive Director based on time allocated to each funding stream for all staff. Fiscal Officer enters salary amount as expenditure into accounting system based on time distribution.

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Each part-time SCWDB staff prepares timesheet at the end of each month and submits to Executive Director for approval. Approved timesheets are submitted to Fiscal Agent Finance Director for payment. Printout from County Finance Director is received in SCWDB Office and amounts are used to allocate expenditures to appropriate funding stream.

Cost Allocation Plan:

Funds are received by Notice of Obligation (NOO) in the funding streams allocated for adults, dislocated workers and youth. The SCWDB receives 10% of the local allocation for administrative use. The cost allocation for the SCWDB is based on time sheets. Each staff person prepares his/her time sheet based on the hours spent on program. Time sheets are signed and submitted monthly to the Executive Director to prepare a Time Distribution Sheet indicating the percent of time for each category. Charges to categories must be of benefit to that program and costs should be necessary, reasonable, allowable, and allocable. A signed Time Sheet Distribution Sheet is given to the Fiscal Officer to use for indirect costs. The cost allocation is calculated from the 10th of the current month to the 10th of the next month.

Access to Records:

Fiscal records must be maintained and accessible as necessary to assure that all funds are being expended in accordance with the purposes and provisions of applicable legislation.

Right to Examine:

The grantee shall give the DOL, State of Virginia and VCCS/WIOA, through any authorized representative, the access and right to examine all records, books, papers, or documents related to its SCWDB contracts, including the records that relate to SCWDB contracts of its sub-grantees and contractors.

Cooperation with Reviews:

The grantee shall cooperate with monitoring, auditing and evaluation activities regarding its VCCS/WIOA funded programs, including unannounced monitoring review conducted by SCWDB or the DOL.

Public Records:

The grantee shall retain and make available to the public all records pertaining to grants and contracts. The grantee is subject to the Virginia Open Records statute and the federal Freedom of Information Act to the same degree as VCCS/WIOA.

Applicable Statutes:

Federal Freedom of Information Act (5 USC s. 552)

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Exceptions:

The grantee is not required to disclose the home address or home telephone number of program participants. The grantee may not release any individual's social security number.

Retention of Records:

This requirement applies to all records pertinent to grants and agreements funded by SCWDB including financial, statistical, property and participant records and supporting documentation.

Retention Period:

The grantee must retain the following records for three years (plus additional time beyond three years until any applicable litigation, audit findings or claims have been resolved):

- All records pertinent to each participant's enrollment in programs funded under the agreement, including dates of entry and termination in each activity. The retention period begins on the last day of the participant's enrollment in the program.
- All records pertinent to participants that have been provided eligibility and are determined eligible, but not served for the applicable eligibility limit. After the applicable eligibility determination has expired, records of applicants determined eligible but not served will then meet the retention period requirement.
- All records pertinent to each agreement. The retention period will begin on the date of submission of the settlement of closeout reports.
- All records pertinent to complaints/grievances, appeals, and resolutions. The retention period will begin on the day the complaint/grievance is closed following final settlement of the case.

Equipment:

The grantee must retain records of equipment acquired with SCWDB funds until three years after its disposition (plus additional time beyond three years until applicable litigation, audit findings or other claims have been resolved).

Applicants Determined Ineligible/ Refused Certification/ Otherwise Not Served:

The grantee shall retain all pertinent records of each applicant who is determined ineligible. The grantee shall maintain a file with records of each affected applicant for three years from the date of determining ineligibility/refusal. The records shall indicate the reason for eligibility/refusal.

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Custody of Records:

Each grantee shall designate a records manager whose duties shall include safeguarding records while allowing appropriate access and ensuring timely, authorized disposal. The following are additional requirements for the custody of records:

- **Transfer-** SCWDB may request transfer of certain records to its custody from recipient organizations if the organization is no longer able to maintain custody of those records.
- **Discontinuance-** The grantee must provide SCWDB with 30 days advance notice if it intends to discontinue maintenance of its records before the end of the mandatory retention periods indicated above.

Record Storage:

Records shall be retained and stored in a manner that will preserve their integrity and admissibility as evidence in any audit or other proceedings. The burden of production and authentication of the records shall be on the custodian of the records.

Audit and Audit Resolution:

The grantee shall comply with the provisions for audit and audit resolution described as follows:

- **Audit-** The following requirements apply to audits of grantees:
 - **Scope-**At a minimum, SCWDB grantees shall be subject to preliminary fiscal reviews and financial and compliance audits. SCWDB reserves the right to conduct other audits and investigations in accordance with applicable federal and state laws or regulations.
 - Grantees that are units of government or nonprofit organizations shall have an audit that:
 - Is on an annual basis, coinciding with the grantee's normal fiscal year. (SCWDB may authorize a biannual audit period);
 - Is completed within nine months after the end of the period covered by the audit and submitted to SCWDB upon completion.
 - SCWDB may authorize an extension of the submittal date;
 - Is an agency-wide audit that includes financial and compliance coverage of the SCWDB program within its scope;
 - Complies with 2 CFR PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

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- **Grantees that are commercial organizations shall have an audit that:**
 - **Is usually performed annually, but not less frequently than every two years;**
 - **Is completed within nine months after the end of the period covered by the audit and submitted to SCWDB upon completion; SCWDB may authorize and extension of the submittal date;**
 - **Is either a grant-specific audit or an agency-wide audit. This audit must include coverage of the SCWDB program within its scope. The audit must be conducted and prepared in accordance with generally accepted government auditing standards.**

Compliance with the audit requirements listed in this paragraph do not limit the ability of authorized state or federal agencies to make or contract for additional audits, evaluations or reviews, including regular monitoring of program activities.

Monthly Income/Expenditure Reports (Adopted 1/29/2012)

All requests for reimbursements are due to the SCWDB Office by the 15th of the month for the previous month's expenses. The requests are approved by the Workforce Center case managers and forwarded to his/her supervisor for signature approval before being forwarded to the SCWDB Office.

The expenditures are approved by the SCWDB Executive Director and forwarded to the SCWDB Fiscal Officer for a desk audit and proper payment based on the funding stream indicated by the case manager.

The Fiscal Officer prints a check register for all payments to be processed and the Executive Director approves by signature before forwarding to the Finance Director of Charlotte County. The data is entered into the county fiscal system and checks are printed by County and then delivered for signature to County Treasurer and co-signed by the County Administrator. Checks along with county printed check registers are returned to the SCWDB Office and mailed along with copy of invoice. Checks are usually written at least twice a month. Payroll is only once a month.

The SCWDB Fiscal Officer compiles an expenditure summary report for each funding stream from QuickBooks by the 20th of each month for the prior month's expenditures. The SCWDB Executive Director uses the reports to complete the MEDR on an accrual basis.

Accruals are reported on the last day of each month in QuickBooks and included in the monthly report to the SCWDB Executive Director as expenditures but so noted as accruals on the MEDR. Unobligated funds are tracked using

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spreadsheets that the Fiscal Officer compiles that show the line items such as rent, salaries, etc. that are not obligated and are reported as such.

Staff payroll is handled by Charlotte County Finance Director. The Executive Director of the SCWDB notifies the Finance Director of salary amounts and changes, if applicable. The SCWDB Chairman notifies the Finance Director of the Executive Director's salary amounts and changes, if applicable.

Staff leave is maintained by the Executive Director of the SCWDB.

Executive Director leave is maintained by SCWDB Chairman.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Grievance Procedure	Policy #:	1.7
Effective Date:	7/1/2015	Revision Date:	4/20/2017

Purpose:

This policy is established by the South Central Workforce Development Board (SCWDB) in accordance with Public Law 105-220 and in accordance with the Code of Virginia and the United States Department of Labor for programs under the Workforce Innovation and Opportunity Act (WIOA) Section 181 to outline the grievance procedure for Workforce Area 8.

Policy:

Any individual or organization may file a grievance alleging a violation of the Workforce Innovation and Opportunity Act, rules, regulation, grants, or other agreements made under the Act by the Commonwealth of Virginia, its Workforce Areas, sub-recipients, or contractors. Grievances, which do not involve a violation of the Act, are not subject to this procedure.

This policy must be provided to participants and other interested parties affected by the local workforce development system, including one-stop partners and service providers. In addition, the SCWDB must make reasonable efforts to ensure that affected participants, including persons who have limited English proficiency, can understand the policy, such as oral interpretation and written translation of both hard-copy and electronic materials in non-English languages.

Procedures:

The SCWDB shall include in orientation to employees and participants a discussion of their rights to file a grievance or complaint with the WIOA Title I Service Provider, SCWDB, State or US DOL. Communication of the policy shall be documented on a notification instrument for employees and program participants, and such notification instruments shall be retained in the individual's file.

The SCWDB shall provide participants with the name, address and telephone number of the local official to whom grievances and complaints shall be directed:

Debra Crowder, Executive Director
P. O. Box 580
Charlotte Court House, VA 23923
434-542-5871

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Examples of who may file a grievance or complaint include the following:

- Applicants or registrants for aid, benefits, services or training;
- Eligible applicants/registrants;
- Participants;
- Employers;
- Applicants for employment under WIOA;
- Service providers; or
- Eligible training providers.

Each grievance or complaint must be filed in writing within thirty (30) calendar days of the alleged violation and must contain the following information:

- The name, address and phone number of the person filing the grievance or complaint;
- The date of the alleged violation and the date the grievance or complaint was filed;
- The identity of the respondent;
- A description of the allegations, which must include enough detail to allow the reviewer to decide whether the allegations, if true, would violate any of the provisions of WIOA; and
- The signature of the person filing the grievance or complaint.

Methods of Resolution/Disposition of Complaint

Informal Resolution:

An informal meeting shall be called with all involved parties, either separately or as a group, to discuss the incidents in question.

Solutions and/or decisions achieved as a result of the informal meeting(s) shall be documented.

If a resolution and plan of action satisfactory to all parties involved cannot be reached within 20 days from the date of original notification of grievance to sub-recipient agency, the grievance must be forwarded with all related documentation to:

**Debra Crowder, Executive Director
South Central Workforce Development Board
P. O. Box 580
Charlotte Court House, VA 23923**

The SCWDB Executive Committee will review the grievance file and notify in writing, all involved parties, of the time and place of a grievance hearing. The grievance hearing will be held within 30 days of receipt of grievance file. In the event of a conflict of interest, the complaint will be forwarded to the state EO Officer for resolution.

Within five days of the grievance hearing, the SCWDB Executive Committee will provide a written decision to the complainant and all applicable parties. The

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recommendation/decision shall be based on preponderance of the evidence and shall include a determination of the issue to support the recommendation as well as an explanation of the reasons for the recommendation. The recommendation shall be based only on information which the parties have had the opportunity to challenge through the hearing process. The final decision must be signed by the SCWDB Executive Director, the SCWDB Chair and all members of the hearing committee.

A decision of the SCWDB Executive Committee may be appealed to the Chief Locally Elected Officials (CLEO) Board. Notice to appeal must be received by the SCWDB Executive Director within 10 days of the notification of decision from the SCWDB Executive Committee. The CLEO Board will then follow steps as outlined above.

If the Grievant decides to appeal the SCWDB/CLEO decision, he/she must notify the SCWDB Executive Director in writing of their intent within 5 days. The SCWDB Executive Director will send documentation to the Workforce Innovation and Opportunity Act Department under the VCCS. The grievance will then be handled according to the rules and regulations of the VCCS. The Grievant will be sent notification of this action and given a contact name and address in the WIOA Department under the VCCS.

In the event that an acceptable resolution to the grievance is negotiated, a memorandum of agreement shall be prepared by the SCWDB Executive Director and shall list the provisions of the negotiated resolution and deadlines by which the provisions must be accomplished. A copy of such agreement, once signed by appropriate parties, shall be distributed as follows: the original to the grievant, a copy to the respondent, a copy maintained in the SCWDB Administrative Office.

Formal Resolution

Upon receipt of the grievance or complaint, the reviewer will provide written notice to the grievant or complainant. The correspondence will be sent within five (5) business days and must include the following:

- A summary of the allegations documented;
- The date, time and place of the meeting or hearing with the reviewer;
- Notice that the grievant or complainant may be represented by an attorney; and
- Notice that the grievant or complainant may present witnesses and documentary evidence.

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Individuals in grievance investigations are protected from retaliation and are permitted to have translators, interpreters, readers and/or a representative of their choice during the grievance process.

The SCWDB has a maximum of sixty (60) calendar days to conduct an investigation of the allegations and offer a resolution to the complainant. If by the end of the sixty (60) days from the date on which the complaint was filed the SCWDB fails to issue a Notice of Final Action, the complainant or grievant may file a complaint directly with the State WIOA administration entity (WIOA Title I Administrator).

Notice of Final Action

Once the investigation is complete and a decision has been reached, a Notice of Final Action must be sent to the grievant or complainant. If an informal resolution was provided, the Notice of Final Action must summarize the agreed upon resolution. If no informal resolution was provided, the Notice of Final Action must contain the following:

- The reviewer's decision and the reasons supporting the decision;
- A brief description of the investigation process employed to reach the decision;
- Notice that, if dissatisfied with the decision, the grievant or complainant may appeal to the Commonwealth of Virginia within 30 business days of receipt of the Notice of Final Action; and
- Notice that the grievant or complainant may seek a remedy authorized under another Federal, state or local law.

Remedies That May Be Imposed

According to WIOA Section 181 (c)(3) remedies that may be imposed under this section for a violation of any requirements of this title shall be limited to:

- Suspension or termination of payments under this title;
- The prohibition of placement of a participant with an employer that has violated any requirements under this title;
- Where applicable, reinstatement of a participant of an employee, payment of lost wages and benefits, and re-establishment of other relevant terms, conditions and privileges of employment; and
- Where appropriate, to other equitable relief.

Record Keeping Requirements

Records regarding grievances and complaints must be maintained by all recipients for at least three (3) years from the date of resolution of the grievance or complaint. All records must include the following:

- The name and address of the grievant or complainants;

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- A description of the grievance or complainant;
- The date the grievance or complaint was filed;
- The disposition (final action);
- The date of the disposition of the grievance or complaint; and
- Any other pertinent information.

To the maximum extent possible, the identity of any person who has furnished information relating to or assisting in an investigation of a possible violation of the WIOA shall be kept confidential. The information may only be used for purposes of:

- Record-keeping or reporting;
- Determining the extent to which an entity is operating its WIOA-funded programs or activities in a non-discriminatory manner; or
- Other use authorized by the nondiscrimination and equal opportunity provisions of WIOA.

Signature of Executive Director: _____

Date: _____

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South Central Workforce Development Board Area 8 (LWDA 8) Grievance and Complaint Procedures

The grievance and complaint procedures for the South Central Workforce Development Board (SCWDB) apply to alleged violations of the requirements of the Workforce Innovation and Opportunity Act (WIOA). These grievances or complaints may be submitted by participants and other interested parties affected by the SCWDB system, including one-stop partners and service providers.

Filing a Grievance or Complaint

All grievances or complaints must be submitted in writing to the SCWDB Executive Director at the following address:

SCWDB Executive Director Debra Crowder
C/o South Central Workforce Development Board
P.O. Box 580
Charlotte Court House, VA 23923

OR

Grievances or complaints may be submitted directly with the U.S. Equal Employment Opportunity Commission at the following address:

Director, Civil Rights Center
U.S. Department of Labor
200 Constitution Avenue, N.W. Room N-4123
Washington, D.C. 20210
(202) 219-8927

Examples of who may file a grievance or complaint include the following:

1. Applicants and/or registrants for aid, benefits, services or training
2. Eligible applicants/registrants
3. Participants
4. Employers
5. Applicants for employment under WIOA
6. Service providers
7. Eligible service providers

Each grievance or complaint must be filed, in writing, within thirty (30) calendar days of the alleged situation and must contain the following information:

1. The name, address, email and telephone number of the person filing the grievance or complaint;
2. The date of the alleged situation and the date the grievance or complaint was filed;

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3. The identity of the respondent (i.e. the individual or entity against whom the grievance or complaint is alleged);
4. A description of the allegation(s). This description must include enough detail to allow the reviewer to decide whether the allegation(s), if true, would violate any of the provisions of WIOA; and
5. The signature of the person filing the grievance or complaint.

Methods of Resolution/Disposition of Complaints

The reviewer will provide, within ten (10) business days of receipt, written notice to the grievant or complainant that the grievance or complaint has been received. Such notice will include:

1. A summary of the allegation(s) submitted;
2. A notice that the Executive Director may arrange for an informal resolution to the complaint prior to the an official meeting or hearing;
3. A proposed date, time and place of the meeting or hearing with the reviewer.
4. A notice that the grievant or complainant may be represented by an attorney; and
5. A notice that the grievant or complainant may present witnesses and documentary evidence.

The Commonwealth of Virginia's discrimination complaint process includes sixty (60) days for the SCWDB Executive Director to investigate and thirty (30) days for a review at the State level, if warranted. If the complainant files with both the SCWDB Executive Director and the DOL Civil Rights Center (CRC), the complainant shall be informed that the SCWDB Executive Director has 90 days to process the complaint and that CRC shall not investigate until the 90 day period has expired.

Notice of Final Action

Once the investigation is complete and a decision has been reached, a Notice of Final Action must be sent to the grievant or complainant. If an informal resolution was provided, the Notice of Final Action must summarize the resolution agreed upon. If no informal resolution was provided, the Notice of Final Action must contain the following information:

1. The reviewer's decision and the reasons supporting the decision;
2. A brief description of the investigation process implored to reach the decision;
3. A notice that, if no decision is reached within sixty (60) days or if dissatisfied with the decision, the grievant or complainant may appeal to the Commonwealth of Virginia within ten (10) business days of receipt of the Notice of Final Action; and
4. A notice that the grievant or complainant may seek a remedy authorized under another Federal, State or local law.

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A complaint may be filed with the CRC within thirty (30) days of receiving the Notice of Final Action.

Record Keeping Requirements

Records regarding grievances and complaints must be maintained for at least three (3) years from the date of resolution of the grievance or complaint. All records must include the following:

1. The name and address of the grievant or complainant;
2. A description of the grievance or complaint;
3. The date the grievance or complaint was filed;
4. The disposition (final action);
5. The date of disposition of the grievance or complaint; and
6. Any other pertinent information.

To the maximum extent possible, the identity of any person who has furnished information relating to, or assisting in, an investigation of a possible violation of the WIOA shall be kept confidential. The information may only be used for purposes of:

1. Record keeping and reporting;
2. Determining the extent to which an entity is operating its WIOA funded programs or activities in a nondiscriminatory manner; or
3. Other use authorized by the nondiscrimination and equal opportunity provisions of WIOA.

I, THE APPLICANT/PARTICIPANT, AGREE THAT I HAVE READ THE ABOVE STATEMENT AND UNDERSTAND IT.

Signature of Applicant/Participant

Date

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Title:	Personnel Policy	Policy #:	1.8
Effective Date:	7/1/2015	Revision Date:	7/23/2020

Purpose:

The purpose of the personnel policy is to provide guidance to staff regarding employment practices, benefits, leave, termination, discipline and grievance.

Policy:

The Executive Director is employed by the Chief Local Elected Officials (CLEO) and is the only staff member directly responsible to the CLEO. The staff, through the Executive Director, is accountable to the CLEO. The Executive Director shall be responsible for managing the SCWDB's personnel and shall have the direct responsibility for hiring as well as terminating an employee.

Probationary Period

Each new employee must serve a probationary period of ninety days. At any time during this ninety-day period, the Executive Director may release the employee or request him/her to resign without stating a reason should he/she feel the employee is not meeting the required standards. During this ninety-day period, the employee may resign without notice or statement of reason.

Types of Employment

Permanent Full Time: All employees hired as full time with benefits.

Part Time/Temporary: Hours will be based on complexity of job and/or design of grant funding position. Part-time and temporary staff will not receive benefits.

Outside Employment

Outside employment is allowed if such employment is not detrimental to the efficient performance of duties performed for the SCWDB. Outside employment must be approved by the Executive Director.

Personnel Qualities

The SCWDB provides public services and must earn and continuously maintain a high position of respect to achieve success. Therefore, the following qualities are considered essential for SCWDB staff: accuracy, cooperation, courtesy, integrity, personal appearance, and punctuality.

Work Week

The work week will be based on 40 hours. It is anticipated that all work can be accomplished within that time period. Should the occasion arise where staff need to work more than 40 hours in a week they will be given compensatory time. The Executive Director must approve all compensatory time prior to

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usage. The Executive Director is authorized to establish the office hours according to the above.

Selection and Hiring

All position vacancies will be advertised in local newspapers and listed with the Virginia Workforce Connection except when a vacancy is filled from within existing staff. All SCWDB employees will be hired solely on the basis of education/experience without regard to age, color, race, sex, religion, national origin or physical disability which will not interfere with performance of duties. So far as practical, vacancies shall be filled by promotion from within when qualified employees are available. When an employee is promoted, the salary shall be increased to the minimum rate for the higher class, but not less than the pay received for the position held at the time of the promotion.

Leave Time

Recognized absences from work are listed below. Other requests may be granted at the discretion of the Executive Director. In all instances, employees should give as much notice as possible so the workload may be covered as appropriate. The Executive Director approves or denies requests for leave of staff and maintains the record of leave time for all staff. The Workforce Development Board Chairman approves or denies requests of leave for the Executive Director and the record of leave time.

Annual/Vacation (Revised January 24, 2008)

Each employee shall receive the following annual leave with pay per month based on years' experience with an accumulation from year to year not to exceed 24 working days (192 hours). Leave is taken at the convenience of the employee subject to the approval of the Executive Director. The Executive Director's leave is subject to approval by the Workforce Development Board Chair. No leave may be taken until accrued. In the event of resignation or dismissal the employee is paid for accumulated annual/vacation leave. Leave is to be taken in no less than one-hour increments. Salaries will not be paid in lieu of vacation.

Less than 5 years=8 hours leave

5 but <10 years=10 hours leave

10 but<15 years=12 hours leave

15 but<20 years=14 hours leave

20 but<25 years=16 hours leave

The Executive Director maintains the leave record for the staff and the SCWDB Chair maintains the leave record for the Executive Director.

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Sick Leave

Each employee shall receive one (1) day sick leave with pay per month with an accumulation from year to year not to exceed 90 days (720 hours). Any accumulated sick leave will be lost upon resignation, dismissal or death.

Maternity Leave

Maternity leave shall be authorized to begin when advised by a certificate from the employee's doctor. Accumulated sick leave and vacation leave may be used until exhausted and the employee may then be placed on leave without pay until allowed by her physician to return to work. No employee may be dismissed due to maternity leave.

Family and Medical Leave Act (FMLA)

The SCWDB will make every effort to provide guaranteed leave under the FMLA policy at the sole discretion of the SCWDB. The SCWDB will normally extend up to 12 weeks of unpaid leave to a regular full-time employee who has been with the SCWDB for at least one (1) year and completed 1,250 hours prior to the date on which the FML is to commence for the following reasons:

1. The birth or adoption of a child, or the placement of a child with the employee in foster care.
2. To care for a spouse, child or parent with a serious health condition.
3. A serious health condition, which makes the employee unable to perform job functions.
4. For any qualifying exigency arising out of the fact that a spouse, son, daughter, or parent is a military member on covered active duty or call to covered active duty status.

Eligible employees are normally granted leave up to a maximum of 12 weeks within any rolling 12-month period. Any combination of medical leave and family leave may not exceed this maximum limit. The SCWDB requires that an employee exhaust available earned personal/sick leave and vacation (annual) leave, which does count toward the maximum of 12 weeks. The remaining leave will be unpaid.

In general, a serious medical condition is one that prevents an employee from working or performing other normal life activities. Also, an injury or illness that results in the inability to work for more than five (5) consecutive days, or a condition that requires ongoing medical treatment may be considered a serious health condition; and as such, the SCWDB will document under FML.

Employees are required to notify the SCWDB Executive Director of any absence resulting from an illness of five (5) consecutive days or more. The SCWDB may require that an employee obtain and show proof of medical certification to substantiate the need for leave due to a serious health condition or one afflicting a covered family member and may require subsequent re-certification during the leave.

FML may only be taken on an intermittent basis in the event of a certified medical necessity for the employee or an eligible family member. In the event of the birth of a baby or the placement of a child for adoption or foster placement, FML may

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only be taken on a continuous basis. If both parents work for the SCWDB, only one parent can be on FML at a time up to a total of 12 weeks combined for both employees.

Elected medical and dental benefits will remain in force on behalf of the employee during the leave. The employee will be required to pay his or her portion of the insurance premium each month during the leave. Failure to adhere to a payment schedule may result in loss of the insurance. Sick leave and vacation (annual) leave will not continue to accrue while the employee is on leave.

When FML ends, the SCWDB will make every effort to return the employee to his or her same position in such a position is available or to an equal position for which the employee is qualified. In an employee fails to report to work promptly at the end of the leave and the SCWDB has received no notification for three (3) days following the report to work date, the SCWDB will assume that the employee has voluntarily terminated employment.

To request a leave of absence, contact the SCWDB Executive Director.

Employees will be provided the comprehensive policy and appropriate forms to be completed by both the employee, and in some cases, the employee's (or employee's family member's) treating physician.

The SCWDB supports our Armed Forces Service members, and as such, adds the following provisions to the FML policy: Approval for leave is at the sole discretion of the SCWDB. FML allows an eligible employee to take up to 12 weeks of leave in any rolling 12-month period for "any qualifying exigency" as the U. S. Department of Labor (DOL) shall, by regulation, determine arising out of the fact that the spouse, child or parent of the employee is on active duty or of has been called to active duty in the Armed Forces to support a contingency operation. (This qualification for FML is included as part of the combined total of 12 weeks as set forth in the foregoing policy in any one rolling 12-month period, and will not extend the weeks of FML regardless of the qualifying event.)

Certification will be required as set forth by the DOL.

Service Member Family Leave

At the sole discretion of the SCWDB, the SCWDB will allow an eligible employee who is the spouse, child, parent or "next of kin" (defined as the nearest blood relative of that individual) of a "covered service member" to take up to 26 weeks of unpaid leave in a single rolling 12-month period to care for the service member. (Covered service member is defined as a member of the Armed Forces, including a member of the National Guard Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status or is otherwise on temporary disability retired list, for a serious injury or illness.

Serious injury or illness is limited to an injury or illness incurred by the member in the line of duty on active duty in the Armed Forces that may render the member medically unfit to perform the duties of the member's office, grade, rank or rating). Certification will be required as set forth by DOL.

Service Member Family Leave is combined with all other FML, limiting FML for the five qualifying events (12 weeks) plus Service Member Family Leave to a combined total of 26 weeks of leave during any one rolling 12-month period.

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The SCWDB will make every effort to return the employee to his or her same position if such a position is available or to an equal position. If an employee fails to report to work promptly at the end of the leave and the SCWDB has received no notification for three (3) days following the report to work date, the SCWDB will assume that the employee has voluntarily terminated employment. Benefits may be affected under this leave as well; for more information contact the SCWDB Executive Director.

Jury Duty Leave

Employees are authorized to use jury leave as follows:

1. The SCWDB will make up the difference between the jury compensation and their pay. Employee will need documentation of time served and pay, or
2. The employee may receive regular leave pay and turn over the compensation from the court to the SCWDB.

Military Leave

An employee of the SCWDB inducted into the U.S. Armed Services is authorized military leave of absence without pay. An employee on extended military leave without pay will retain earned vacation and sick leave credits but shall not accrue leave credits during the absence. Regular (not temporary) employees shall be eligible for reemployment after completing military service provided they receive an honorable discharge, length of service was not in excess of four years and application for reinstatement is received within 60 days after release from active duty for more than three months or 30 days after initial release from active duty for training not less than three months. The SCWDB authorizes military reserve training leave as leave without pay.

Administrative Leave

Administrative leave is authorized by the Executive Director to cover absences necessitated by inclement weather, other unauthorized holidays and other instances when employees are not required to be at work.

Authorized Holidays

New Year's Day	January 1
Martin Luther King Day	Third Monday in January
President's Day	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Columbus Day	Second Monday in October
Election Day	First Tuesday in November
Veteran's Day	Second Monday in November
Thanksgiving Day	
Day after Thanksgiving	
Christmas Day	

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You will be notified of any other holiday proclaimed by the State of Virginia. If a holiday falls on Saturday, the preceding Friday will be observed; if it falls on Sunday the following Monday will be observed. Holidays falling within an employee's vacation or approved sick leave will not be charged to vacation or sick leave.

Raises/Bonuses

The Executive Committee shall meet annually, prior to the adoption of the new year budget, to approve cost of living raises. The Executive Director will evaluate staff performance using an approved evaluation form; the Executive Committee will evaluate the Executive Director. The Executive Committee may recommend merit raises over and above the cost of living raises based on evaluation (merit raises are not necessarily across the board) and the availability of funds.

Travel

Employees of the SCWDB are authorized to drive any vehicles owned by the SCWDB. Should an employee need to drive a personal vehicle for business they shall be reimbursed at a rate equivalent to what is paid by the Fiscal Agent (County of Charlotte). Every effort should be made by the employee to use SCWDB vehicles for business travel when available. If an employee elects to drive their personal vehicle in lieu of a SCWDB vehicle, reimbursement shall be at the rate of \$0.20 per mile. When using a personal vehicle for business travel, the mileage incurred by the employee for their commute to and/or from work shall be deducted from the mileage amount subject to reimbursement. Allowable expenses, if reported correctly on an expense voucher with original itemized receipts, will be fees for conferences, taxis, expense of transportation, tolls, parking, lodging, subsistence and other related costs. Alcohol is not an allowable expense. Gratuities/tips are limited to no more than 20% for reimbursement. A travel advance may be used if approved by the Executive Director with appropriate documentation and the provided form. Travel shall be by the method most beneficial to the SCWDB. Approved lodging rates for overnight travel will be reimbursed according to the policy of the Fiscal Agent (Charlotte County).

Benefits

All full-time employees will receive benefits allowed by the County of Charlotte which include, at a minimum, Worker's Compensation, health insurance, life insurance and the Virginia Retirement System.

Resignation

The Executive Director shall receive two weeks written notice in advance of the last working date when an employee resigns. The SCWDB Chair shall receive two weeks written notice in advance of the last working date from the Executive Director in the event of resignation. Resignations shall state reason(s) for

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leaving. An employee shall not set a date for resignation/retirement to take effect and then begin a period of vacation extending up to that date.

Disciplinary Action and Separation from Service

The Executive Director has sole authority for disciplinary action or dismissal of an employee for inefficiency, misconduct or other just cause. The employee shall be given two weeks written notice of his/her dismissal and the reasons thereof; a copy will be placed in the personnel file. The Executive Director will report the circumstances concerning all dismissals and disciplinary actions to the Chairman of the SCWDB.

The following is a list of violations that may result in disciplinary action or dismissal:

- Absence from work without approval or failure to give proper notice of absence.
- Insubordination or breach of established policies.
- Any employee speaking adversely about the SCWDB or its management shall be liable for insubordination and may be terminated immediately.
- Convicted of a felony on or off of the job which may be discreditable to the SCWDB.
- Incompetence or unwillingness to render satisfactory service.
- Continued or gross neglect of duty or established safety procedures.
- Offensive in his/her conduct or language in public, or toward the public, Executive Director or fellow employees, either on or off duty.
- Use of intoxicants while on duty.
- Careless or negligent with the monies or other property of the SCWDB or takes any property of the SCWDB for his or her own personal use or for sale or gift to others.
- Has used or threatened to use, or attempted to use a personal or political influence in securing promotion, leave of absence, transfer, change of pay rate, or in any manner related to his/her work.
- Takes for his/her personal use from any person any fee, gift or other valuable thing in the course of his/her work or in connection with it, when such gift or other valuable thing is given in the hope or expectation of receiving a favor or better treatment than that accorded other persons. Nor shall he/she accept any bribe, gift, token, monies or other things of value intended as an inducement to perform or refrain from performing any official act. Nor shall he engage in any action of extortion through his/her position with the SCWDB.
- Divulges or discusses any SCWDB business not having previously been made public or discloses confidential information to any person unless directed to do so by the Executive Director and shall

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not give out interviews or make public speeches concerning information not previously made public.

- Any employee bypassing the chain of command and the grievance procedure shall be terminated without notice.

Suspension and Minor Disciplinary Measures

The Executive Director may suspend without pay for a period not exceeding thirty days or reprimand or apply other less. When a suspension is affected pending completion of investigation or court action for alleged violation of rules or statutes, the limitation of thirty days shall not apply. Also, if the employee is found not guilty of such alleged violation, he/she shall be paid for the period of suspension as if it had not occurred.

The type of disciplinary action is generally applied to the seriousness and/or the frequency of the violation in each instance. Disciplinary action may be in the form of suspension from service (temporary) and/or allowances and benefits; and/or separation (permanent) from service and/or benefits. All employees are allowed to appeal in accordance with the established and approved grievance procedures.

Staff Grievance Procedure: (Adopted 1-25-2007)

The South Central Workforce Development Board continually strives for a productive work environment that offers opportunities, fair treatment, and personal respect. When an employee believes that a condition of employment, or a decision affecting him/her is unjust or inequitable, the employee may use the following grievance process. All current employees are encouraged to utilize our grievance resolution process; filing of a grievance does not prevent us from making an employment-related decision at any time.

Grievance Process

Step 1: The employee shall state the complaint in writing **within five (5) business days** of the incident to his/her immediate Supervisor for discussion and resolution.

The Supervisor shall respond to the employee in writing **within five (5) business days** of the receipt of the employee's grievance. If circumstances prevent the Supervisor from responding within the allotted time, the Supervisor must notify the employee. If the employee is not notified, he/she may take his/her issue to the next level.

The Supervisor should:

1. Consult with the SCWDB Chairman, when necessary.
2. Notify the SCWDB Chairman and the Executive Committee if the problem relates to discrimination or harassment.

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3. Document the conversation.

After five (5) business days from the time the employee presented the complaint to his/her Supervisor and the issue resulting in either no response, an unacceptable response as viewed by the employee, and/or a failure to agree on an extension of Step 1, the employee should contact, in writing the Chairman of the South Central Workforce Development Board to discuss the issue **within five (5) business days**.

Step 2: The employee will submit a written statement summarizing the facts surrounding the grievance along with a request of how the grievance can be resolved to the SCWDB Chairman. The SCWDB Chairman will notify the SCWDB Executive Committee that a grievance has been filed and provide a brief summary of facts and resolution the employee is seeking. The Supervisor will prepare a summarization of the facts surrounding the decision that was made (appropriate policies, other pertinent information). The Executive Committee will meet to review the grievance and make a decision.

This step should be accomplished **within thirty (30) business days**. If circumstances prevent the SCWDB Chairman from responding within the allotted time, the SCWDB Chairman must notify the employee. The decision of the Executive Committee is final.

Failure of the employee to comply with time limits specified in this policy will be deemed to be an abandonment of the complaint.

All grievances may only be filed on an individual basis. No group complaints shall be permitted. Two or more employees may file separately the same complaint, but each complaint will be considered on an individual basis.

The following items are not accepted as grievances:

- Admitted or flagrant violations of extreme misconduct
- Changes in compensation associated with job reclassification
- Termination during first 90 days of employment
- Actions grieved after resignation
- Hiring decisions
- Violation of drug policy
- Termination due to criminal conviction
- Compensation and Pay Scale
- Performance Evaluations

Signature of Executive Director: _____

Date: _____

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Title:	Property Management Procedures-Purchases, Inventory and Disposal	Policy #:	1.9
Effective Date:	7/1/2015	Revision Date:	10/22/2015 4/20/2017 4/19/18

Purpose:

The purpose of the policy is to provide guidance for acquisition, inventory and disposal of goods.

Policy:

WIOA Section 184(a)(2)(A) requires each state, Local Workforce Development Board and service provider receiving funds under WIOA of 2014 to comply with applicable uniform cost principles, including Uniform Guidance of the federal Office of Management and Budget (OMB).

The following rules of allowability apply to equipment and other capital expenditures in 2 CFR 200.439 and 200.313 for all sub-recipients:

- Capital expenditures for general purpose equipment, buildings and land are unallowable as direct charges, except with the prior written approval of the awarding agency or pass-through entity.
- Capital expenditures for special purpose equipment are allowable as direct costs, provided that items with a unit cost of \$5,000 or more have the prior written approval of the awarding agency or pass-through entity.
- Capital expenditures for improvements to land, buildings, or equipment which materially increase their value or useful life are unallowable as a direct cost except with the prior written approval of the awarding agency or pass-through entity.
- Use of the equipment is for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project. Equipment must be used in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by the award.
- When no longer needed for the original program or project, the equipment may be used in other activities supported by the awarding agency, in the following order of priority:
 - Activities under a federal award from the federal awarding agency which funded the original program or project.
 - Activities under federal awards from other federal awarding agencies. This includes consolidated equipment for information technology systems.

Property: All non-consumable property purchased by Workforce Centers or Contractors of the South Central Workforce Development Board (SCWDB) will

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remain property of the SCWDB in the event the entity no longer operates as a Workforce Center or Contractor.

Acquisition

- Three bids must be procured using the Virginia Public Procurement Act for non-consumable property with a per unit cost of \$5,000 or more. The lowest bid must be honored or justification provided as to why it was not honored if the purchase is not for the lowest bid.
- Written prior approval must be obtained from the SCWDB Executor Director, SCWDB and Virginia Community College System (VCCS) prior to purchase. Lack of written prior approval may result in disallowed costs.
- Acquisition/Purchase Considerations:
 - The following considerations should be made prior to requesting approval from VCCS to utilize WIOA funds for the purchase of equipment:
 1. Is this purchase necessary and reasonable?
 2. Why is this purchase needed?
 3. Have the best products been selected?
 4. What procurement method will be used?
 5. Was a lease option considered in lieu of the purchase?
 6. What other costs are associated with the purchase?
 7. What programs will be using and are benefitting from the equipment to be purchased?
 8. In the event of multiple programs benefitting from the purchase, a cost sharing schedule must be provided with the purchase approval request. (NOTE: The sub-recipient must obtain prior approval regardless of the portion of the equipment purchase that is allocated to WIOA funds)
- Requesting Purchase Approval:
 - SCWDB must submit to VCCS an Equipment Purchase Approval Request signed by an authorized signatory (See Attachment A).
 - The purchase request, along with supporting documentation, will be reviewed for completeness and reasonableness.
 - A written response will be issued to the sub-recipient within 7 business days upon receipt of a proper and complete request.
- Vehicle Purchase:
 - All vehicles purchased with VCCS approval will be titled to the WIOA Grant Recipient.

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Inventory

The SCWDB shall develop and maintain a control system to ensure adequate safeguards to prevent loss, damage, or theft of property. Any loss, damage, or theft must be investigated. Records will be available for monitoring by VCCS staff.

The SCWDB must maintain accurate equipment records that include the following information:

- A description of the equipment.
- A serial number or other identification number.
- Source of the equipment, including the award number.
- Title holder.
- Per unit cost of acquisition.
- Percentage of federal participation in the cost of the property.
- Location, use and condition of the property and the date the information was reported.
- Any ultimate disposition data including the date of the disposal, sale price of the property, loss, theft, etc.

A physical inventory of the property and the results must be reconciled with the property records annually.

The Fiscal Officer of the SCWDB must tag all non-consumable property with a value of \$300.00 or more. Notification must be given to the SCWDB in a timely manner when such property is purchased by service providers. While not required, bids should be obtained on all property and copies kept by the Contractor).

When purchasing multiples of the same items, if the total price is over \$5,000, the same rules apply as if it were a single item; three bids must be procured with the lowest honored (if not, justification must be documented). Approval must be obtained from the SCWDB Executive Director prior to purchase.

For every purchase of equipment, furniture or other non-consumable item (even if under the \$5,000 ceiling for prior approval), there must be documentation of need that justifies each purchase.

For equipment, furniture or other non-consumable items with a value over \$300.00 the justification should include consideration given to lease vs. purchase option with the option chosen to benefit the SCWDB.

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Laptop Computers:

A log must be kept that includes who uses the computer, dates checked out, returned and purpose of use. The passwords for computers must be included when returning the property to the SCWDB.

Disposition of Property

- When original or replacement equipment is no longer needed for the original project or program or for other activities currently or previously supported by an awarding agency, the SCWDB must dispose of the equipment in accordance with the disposition instructions. For equipment with a residual fair market value of less than \$5000, the SCWDB may retain, sell or otherwise dispose of the equipment with no further obligation to the awarding agency. Except as provided in 200.312 Federally-owned and exempt property, paragraph (b), or if the awarding agency fails to provide requested disposition instructions within 120 days, items of equipment with a current per-unit fair market value in excess of \$5,000 may be retained by the non-Federal entity or sold. The awarding agency is entitled to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's percentage of participation in the cost of the original purchase. If the equipment is sold, the awarding agency may permit the non-Federal entity to deduct and retain from the Federal share \$500 or ten percent of the proceeds, whichever is less, for its selling and handling expenses.

Program Income

The SCWDB may permit employers to use WIOA-funded equipment on a fee-for-service basis to provide employment and training activities to incumbent workers:

- When the equipment is not being used by eligible participants;
- If employer use does not affect the ability of eligible participants to use the equipment, and;
- If the income generated from such fee is used to carry out authorized programs.

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ATTACHMENT A

EQUIPMENT PURCHASE APPROVAL REQUEST FORM

VIRGINIA COMMUNITY COLLEGE SYSTEM

Workforce Innovation and Opportunity Act

Equipment Purchase Approval Request

Sub-recipients must request written prior approval from WIOA Title I Administrator, Virginia Community College system (VCCS) for equipment purchases with a per unit cost of \$5,000 or more. Lack of written prior approval for purchases may result in disallowed costs.

PART I – SUBRECIPIENT INFORMATION

Organization Name: _____

Requester's Name and Title:

Phone: _____ Email: _____

PART II – DESCRIPTION OF EQUIPMENT & PURCHASE JUSTIFICATION

Qty.	Item Description	Unit Price	Total
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*Attach supporting documentation and any other information that may be helpful to reviewer.

WIOA Funding Stream (Program Year and Adult,
Youth and/ or DLW):

Federal Grant Award Name and Number:

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Why is the purchase of this equipment essential for this grant program? Please identify the equipment's use as programmatic and/or administrative.

Will additional programs or entities not affiliated with WIOA utilize and benefit from the equipment to be purchased? If yes, please identify the programs and attach the cost sharing schedule.

Part III - CERTIFICATION

By signature of this request, I acknowledge that I have reviewed the VCCS WDS #16-08 Equipment Management –Acquisition, Inventory and Disposition Policy. I certify that the above information is true and correct to the best of my knowledge. I also agree to abide by the Policy requirements with regards to the acquisition, inventory, disposition, and retention of equipment purchased with the Workforce Innovation and Opportunity Act funds provided by the Virginia Community College System, the WIOA Title I Administrator.

Requester's Signature _____ Date _____

VCCS Approval Signature _____ Date _____

Signature of Executive Director: _____

Date: _____

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Title:	Property Inventory Management	Policy #:	1.10
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The purpose of the policy is to provide guidance to staff and contractors for safeguarding and managing property inventory.

Policy:

A control system shall be maintained which insures adequate safeguards to prevent loss, damage, or theft of property. At a minimum, this must include insurance coverage.

Any purchase of non-consumable items valued at or above \$300.00 shall be tagged by the Fiscal Officer and monitored by the SCWDB at least annually for:

- Description of the property;
- SCWDB inventory tag number;
- Funding source for acquisition of the property;
- Whether the title (if applicable) rests with the recipient or other governmental agency;
- Acquisition date;
- Cost of the property and/or unit acquisition cost;
- Location, use and condition of the property
- Date information was reported.

Any difference between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the causes of the differences. The recipient shall, in connection with the inventory, verify the existence, current utilization, and continued need for the property. Any damage, transfer or loss of property shall be immediately reported to the SCWDB and shall be investigated.

Adequate maintenance procedures must be developed to keep the property in good condition.

Personal or real property acquired with WIOA funds must be used for the purposes authorized by the Act and SCWDB.

Disposal of any property purchased under WIOA shall be at the discretion of the administrative office of the SCWDB.

Signature of Executive Director: _____

Date: _____

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Title:	Reimbursement Policy for SCWDB Members	Policy #:	1.11
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The purpose of the policy is to provide guidance to SCWDB members for reimbursement of travel and meal costs when performing a function of the SCWDB.

Policy:

Mileage/Meals for SCWDB/CLEO Members

When administrative funds allow, SCWDB members who do not have access to agency/state vehicles (primarily private business) and must use their own vehicles to attend meetings may be reimbursed for mileage over 10 miles. (If you have use of an agency/state vehicle and choose not to use it, you may not be reimbursed).

Meals

When administrative funds allow, SCWDB members attending meetings of the board that involve a meal may have their meals reimbursed up to \$10.00 (primarily private business) provided they are not reimbursed by their employer; those who may be reimbursed may not request reimbursement from the SCWDB.

Signature of Executive Director: _____

Date: _____

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Title:	Vehicle Use	Policy #:	1.12
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The purpose of the policy is to provide guidance for the use of any vehicle purchased with WIOA funds.

Policy:

Each employee who is responsible for driving shall have a valid Virginia Driver's license with an acceptable driving record. The employee will be required to submit a copy of his/her DMV driving record on an annual basis.

Employees shall operate vehicles in a careful and safe manner. This will include the transportation of workers as well as use of the vehicle for other agency operations. Any staff charged with operating an agency vehicle in a reckless or dangerous manner, including speeding, may lose their privilege to use agency vehicles. In an instance in which a vehicle's operator's license is essential to the job position, it is assumed that if a person loses his/her license then they may be terminated from that job position. (Exception: SCWDB staff to the board may not transport clients in any vehicle due to insurance constraints).

At no time shall anyone other than an employee operate any agency vehicle without the permission of the Executive Director of that agency.

Mileage and maintenance reports must be maintained by each employee and turned into the administrative offices on a monthly basis. It is required that daily logs reflect mileage and purpose of trip (monthly begin/end miles are not acceptable).

Employees using their personal vehicles for client transportation or other agency business must have minimum insurance required by Virginia law. Documentation of such insurance may be required. In the event of an accident, the insurance coverage on the vehicle involved will be the primary responsible insurance coverage, not the employee's employer.

Seat belts shall be worn at all times by the driver and all passengers. In addition, all state laws must be obeyed to include the use of child restraint seats. Employees, clients and authorized personnel are the only persons permitted in company vehicles. Authorization for individuals other than employees and clients is to be given in writing by the Executive Director of each agency. If an employee is heading home and needs to run an errand that "is on the way" home, without adding additional mileage, it is acceptable to stop. However, if the employee is already home and needs to run an errand, the car is not to be used.

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Again, the only acceptable use for personal business is in the case of the employee passing by the stop on the way to/from work.

At no time shall an employee:

Conduct personal business in your car, purchase and/or transport alcohol, firearms, or illegal drugs in the company car, use company car for personal use when no client/agency service is being provided.

Infractions of these rules could result in disciplinary action and/or loss of vehicle use. Program Directors shall enforce this policy and after two infractions by an employee, this shall be reported to the SCWDB Executive Director, who will refer the matter to the SCWDB Executive Committee for review.

Signature of Executive Director: _____

Date: _____

Title:	Eligible Training Provider Certification	Policy #:	1.13
Effective Date:	7/1/2015	Revision Date:	10/19/2017 4/19/18

Purpose:

The purpose of the policy is to provide eligibility criteria for providers of training, information and procedures for implementing the Eligible Training Provider (ETP) requirements in the Workforce Innovation and Opportunity Act of 2014. This policy is applicable to providers of occupational skills training services for adults, dislocated workers and other populations as defined in WIOA, Title 1-B.

The South Central Workforce Development Board (SCWDB) has the responsibility for receiving, reviewing and approving training providers and their programs. The SCWDB must also ensure that data elements related to initial application, continued eligibility and performance information regarding approved providers and programs are entered into the supported state system.

Approval by the SCWDB places the provider and the program on the state Eligible Training Provider List (ETPL) but does not guarantee a local area will fund the approved training activity through the issuance of an Individual Training Account (ITA). In order for a training program to be funded through an ITA, the program must be related to the regional demand occupations, must have sufficient funds available and the training must support the individual in meeting their career objectives and employment.

The SCWDB must identify at least one employee that shall serve as the primary staff responsible for updating the ETP information within VaWC. In addition, this person will also serve as the Local VaWC System Administrator.

Policy:

There are five (5) categories of providers who may apply at the local level for consideration to be included on the state Eligible Training Provider list:

1. A postsecondary educational institution that is eligible to receive federal funds under Title IV of the Higher Education Act of 1965 and that provides a program that leads to certification or license or college certificate, associate degree or baccalaureate degree,
2. A postsecondary school that offers formal instructional programs with curricula designed primarily for students who have completed the requirements for a high school diploma or its equivalent. Such schools include academic-vocational, vocational, and continuing professional education that may lead to a certification or licensure. This category excludes avocational and adult basic education programs,
3. An entity that carries out related instruction under the National Apprenticeship Act that is recognized by the Virginia Department of Labor and Industry,
4. A provider of a program of occupational training services that under Section 23-276.2 of the Code of Virginia is exempt from certification as a postsecondary school such as a professional or occupational training program regulated by another state or federal governmental agency other than the State Council of Higher Education

for Virginia (SCHEV), any school, institute, or course of instruction offered by any trade association or any nonprofit affiliation of a trade association on subjects related to the trade, business, or profession represented by such association, or

5. A provider of adult education and literacy under Title II of WIOA, if these activities are provided in combination with occupational skills training.

Programs and providers under **CATEGORIES 1 and 2** must provide evidence of active certification by the appropriate state agency to operate or must have program approval from an applicable state agency in order to be considered for approval by the SCWDB to offer training services to WIOA customers through the ITA method.

Programs and providers under **CATEGORY 3** will be granted approval, if requested, following confirmation by the Virginia Department of Labor and Industry (DOLI) that the sponsoring employer and apprenticeship related instruction have been recognized by the state and are active and in good standing.

Programs and providers who are exempt from the certification requirements are listed on ATTACHMENT A. A list of certifying agencies is provided as ATTACHMENT B.

Training providers applying for inclusion on the ETPL must provide information using the common statewide application (See ATTACHMENT C). The following must be documented:

- Description of each program of training services to be offered;
- Information regarding student outcomes, as described in WIOA sec 116 (b)(2)(A)(i)(I)-(IV);
- Information on cost of attendance, including tuition and fees;
- Whether the training program leads to an industry-recognized certificate or credential, including recognized post-secondary credentials;
- Whether the certificate or credential can be stacked with other credentials over time as part of a sequence to move an individual along a career pathway or up a career ladder;
- Whether the provider has developed the training in partnership with business (a description of the partnership(s) and the name of the business(es));
- Which in-demand industry sectors and occupations best fit with the training program; and
- Average wages for the primary target occupation for which the training prepares the individual, as published by the Virginia Employment Commission, for the state and local area where they are pursuing application;
- A description of the prerequisites or skills and knowledge required prior to the commencement of training;
- Description of how the provider will ensure access to training services throughout the State, including rural areas and through the use of technology; and
- Description of how the training provider will work with the local board to serve individuals with barriers.
- Qualifications to receive WIOA Title I-B funds to train adult and dislocated workers, including those with disabilities by certifying ADA accessibility for locations and programs.

Training providers applying for initial program eligibility must submit the State ETPL Training Provider and Training Program Application to the SCWDB. In accordance with WIOA Labor Final Rules and Regulations Subpart D-Eligible Training Providers and VBWD

Policy #15-02, initial training provider program applications must also provide information addressing factors related to the performance indicators, as described in WIOA Section 116(b)(2)(A)(i)(I-IV) and Attachment B WIOA Periods for Reporting Outcomes:

- The percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program;
- The percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program;
- The median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program; and
- The percentage of program participants who obtain a recognized post-secondary credential, or a secondary school diploma or its recognized equivalent during participation in or within one year after exit from the program.

If the training provider is not able to provide program performance information related to the factors listed above, the training provider must submit a plan describing how they will work with the SCWDB to collect and report on this information for continued eligibility. Upon initial eligibility approval, the training provider must work with the SCWDB to develop a plan to begin tracking and reporting these factors.

After initial applications are approved, training provider programs will be placed on the ETPL by the SCWDB and will remain eligible to receive WIOA Title I funds for one year.

Online Providers/Programs

WIOA funds may be used for programs that are conducted in a completely online format. Online providers may apply and be considered for inclusion on the state ETPL and are required to meet the same eligibility and performance criteria established for classroom-based instructional providers.

Out of State Providers/Programs

WIOA funds may also be used for approved programs from other states. Approved programs and providers based in other states are not required to complete an application for approval in Virginia. In order for an eligible customer to obtain training through an out-of-state provider, the training provider must be listed on a state maintained ETPL from another state. ETPL from other states can be found at:

http://www.servicelocator.org/program_search.asp?prgcat=1&officeType_1=0&frd=true

To receive funding through the SCWDB, all providers and programs recognized by other states must meet Virginia's state criteria established for initial eligibility and performance criteria established by this policy must be met. The Virginia Community College System (VCCS), as the Administrator of Title I funding will establish, maintain and periodically review reciprocity agreements with neighboring (bordering) states.

Informed Customer Choice Requirement

Occupational skills training shall be provide in a manner that ensures informed customer choice in the selection of training for regionally in-demand occupations and prudent use of public funds in the selection of such providers.

Accessibility

Training programs must certify that that the training services are physically and programmatically accessible for individuals who are employed and individual with barriers to employment, including individuals with disabilities. An ADA accessibility survey by SCWDB or other trained staff may occur to verify certification.

Continued Eligibility and Program Performance Requirements

After one full year of eligibility, approved Eligible Training Providers will be required annually to provide basic information for continued eligibility and will submit performance information for participants whose activities were funding through WIOA with an Individual Training Account (ITA). The information will be reviewed by the Employment Enhancement Committee and recommendations for renewal will be forwarded to the SCWDB for action using the standard statewide template and procedures.

The provided data must be entered by the SCWDB into the state reporting system to ensure transparency and support informed customer choice in the evaluation and selection of training providers. The approval or denial data must be entered into the state system of record (VaWC) Training providers who fail to provide the verification and performance information within 90 days of request will be removed from the state ETPL.

If a training provider is not recertified for continued eligibility, participants already enrolled in training may remain in the program until completion.

A recognized apprenticeship program may remain on the ETPL as long as it remains registered and recognized by the Virginia DOLI.

Beginning in the Program Year 2017, in order to remain on the ETPL, all eligible training providers and programs who receive funding through an ITA must annually provide information on the following four outcomes for WIOA Title I participants:

- 1. Training Completion Rate**
- 2. Credential Attainment Rate**
- 3. Entered Employment Rate**
- 4. Post Training Earnings**

Outcomes 1 and 2 will be used to evaluate inclusion on the ETPL. The performance levels required to remain on the ETPL are as follows and should be calculated separately for Adults and Dislocated Workers:

1. Training Completion Rate must meet or exceed 50%-the number of participants during a Program Year (July 1 – June 30) who were enrolled in a Title I funded training service who successfully met all of the requirements of the training activity. To calculate the outcome, the number of participants who successfully completed the ITA (Service Code 300) during the program year divided by the total number of participants who were actively engaged in an ITA during the program year.

2. Credential Attainment Rate must meet or exceed 65%-of those who completed Service Code 300 during the Program Year or within one year after exit from the program, the number who attained credentials during that same period. To calculate the outcome, the number of participants who successfully completed a Service Code 300 activity and attained an occupational certificate during the program year or within one year after program exit divided by the number of participants who complete a service code 300 activity and exited during the program reporting year.

3. Entered Employment Rates-will be reported as 1) the number of participants who received an ITA and who are employed in the second quarter after the exit quarter and 2) the number of participants who received an ITA and who are employed in the fourth quarter after the exit quarter.

4. Post Training Earnings-will be reported as the median earnings for those participants who received an ITA and who have earning during the second quarter after exit.

The following additional information beyond 1-4 above must be collected and reported to the public through the public access portion of the VaWC:

5. Information on recognized postsecondary credentials received by program participants (type of recognized credential);

6. Information on cost of attendance, including costs of tuition and fees, for program participants; and

7. Completion rate.

State apprenticeship programs are not subject to the state performance requirements. Any apprenticeship program may remain on the ETPL as long as it remains registered and recognized in good standing by the Virginia DOLI.

If a provider or program failed to meet the criteria established above, they will be removed from the state ETPL. A letter informing them of that removal will be issued by the SCWDB (for those that were originally reviewed and accepted by SCWDB). Training providers who are removed from the state list may appeal.

*** Completion and credential attainment rates may be impacted by multiple factors and each local board will adopt a policy that describes the factors that will be evaluated during the appeals process.....

Accuracy of Information and Appeals Process

The Commonwealth of Virginia has the responsibility for maintaining the statewide ETPL and as such, will have final responsibility to ensure that the list is accurate and is an honest reflection of the training opportunities in Virginia.

1. Accuracy of Information-If after consultation with the SCWDB, it is determined that an eligible provider or individual supplying information on behalf of the provider intentionally supplies inaccurate information, the Commonwealth may terminate the eligibility of the provider or program to receive WIOA funds for any program for a period of time that is not less than 2 years.

2. Noncompliance-If the Commonwealth, or the SCWDB working with the Commonwealth, determines that an eligible provider substantially violates any requirement under this Act, the Commonwealth, or the SCWDB working with the Commonwealth, may terminate the eligibility of such provider or individual program to receive WIOA funds for the program involved or take such other action as the Commonwealth or SCWDB determines to be appropriate.

3. Repayment-A provider whose eligibility is terminated under paragraph (1) or (2) for a program shall be liable for repayment of all WIOA funds received for the program during any period of noncompliance. The SCWDB will make reasonable efforts to collect funds.

4. Construction-These penalties shall be construed to provide remedies and penalties that supplement, but do not supplant, other civil and criminal remedies and penalties.

Appeals Process

- 1. The provider shall have thirty (30) calendar days from the date the denial or removal notification was given to file a request for reconsideration to the SCWDB. The appeal request must be submitted in writing and signed. At a minimum, the appeal must identify the training program and location(s) denied or removed and must clearly state the reason for the appeal.**
- 2. Within sixty (60) calendar days of receipt of the request for reconsideration, the SCWDB shall review the request and issue a written decision that either upholds or reverses the original decision. Instances for a reversal may include, but shall not be limited to, an administrative oversight or instances where additional information submitted by the training provider changes the basis on which the original decision was issued.**
- 3. If the SCWDB or its Executive Committee fails to act on the appeal request during the 60-day time period described above, the initial decision shall automatically be reversed.**
- 4. If the SCWDB upholds its original decision, the applicant shall be entitled to pursue a state-level appeal as outlined in State Policy 404-01.**

**ATTACHMENT A-Training Providers/Programs Exempt from Certification as a
Postsecondary School**

§23-276.2 of the Code of Virginia allows for the following exemptions from certification:

- 1. Public institutions of higher education in Virginia**
- 2. Educational offerings or activities that meet the following:**
 - a. A nursing education program or curriculum regulated by the Board of Nursing;**
 - b. A professional or occupational training program regulated by another state or federal governmental agency;**
 - c. Those courses or programs of instruction given by or approved by any professional body that are principally for continuing or professional education and for which no degree credit is awarded;**
 - d. Those courses or programs offered through approved multistate compacts, including, but not limited to the Southern Regional Education Board's Electronic Campus;**
 - e. Those courses offered and delivered by a postsecondary school that is accredited by an entity recognized by the U. S. Department of Education for accrediting purposes, if such courses are provided, solely on a contractual basis for which no individual is charged tuition and for which there is no advertising for open enrollment;**
 - f. Any school, institute or course of instruction offered by any trade association or any nonprofit affiliate of a trade association on subjects related to the trade, business or profession represented by such association;**
 - g. Any public or private high school accredited or recognized by the Board of Education;**
 - h. Tutorial instruction delivered and designed to supplement regular classes for students enrolled in any public or private school or to prepare an individual for an examination for professional practice or higher education;**
 - i. Religious institutions whose primary purpose is to provide religious or theological education.**

§23-276.4 C of the Code of Virginia states that institutions of higher education are not required to obtain further certification if they (i) were formed, chartered or established in the Commonwealth; (ii) have maintained a main campus continuously in the Commonwealth for at least 20 calendar years under their current ownership; (iii) were continuously approved or authorized to confer or grant academic or professional degrees by the Council during those 20 years; and (iv) are fully accredited by an accrediting agency that is recognized by the U. S. Department of Education.

Postsecondary institutions that do not meet the requirements of §23-276.2 or §23-276.4 © above are required to obtain certification in accordance with Attachment B.

**Attachment B-List of Certifying State Agencies
(This is not an all-inclusive list)**

The following State agencies can provide approval for Occupational Skills Training programs:

- **Criminal Justice Services Department**
- **Department of Health Professions (DHP)**
- **Department of Medical Assistance Services (DMAS)**
- **Department of Motor Vehicles**
- **Department of Professional and Occupational Regulation (DPOR)**
 - **Board for Barbers and Cosmetology**
 - **Board for Contractors**
 - **Fair Housing Board**
 - **Real Estate Board**
 - **Real Estate Appraisers Board**
 - **Tradesmen**
 - **Board for Waste Management Facility Operators**
 - **Board for Waterworks and Wastewater Works Operators and Onsite Sewage System Professionals**
- **State Council of Higher Education in Virginia (SCHEV)**
- **Virginia Board of Pharmacy**
- **Virginia Board of Nursing**

ATTACHMENT C-TRAINING PROGRAM APPLICATION

A separate application form must be completed for each training program or occupational skills course of study.

1. Training Organization			
2. Contact Person – Name & Title			
3. Training Program or stand-alone course name			
4. Program or course description			
5. Year Program Established	6. Total Credit or Curriculum Hours	7. Number of training weeks or hours	8. Minimum Class Size
9. Is curriculum certified by an accrediting agency or similar national standardization program:			
Yes (if yes specify)		No	
10. Description of training and skills to be obtained – <i>Attach training program description, include an outline of what is covered in the program and what skills are to be obtained.</i>			
11. Which in-demand industry sectors and occupations best fit with the training program; and the average wage for the primary target occupation for which the training prepares the individual, as published by the Virginia Employment Commission, for the local area. If the in-demand sectors & occupation differ from what is defined by the region, please provide LMI Information to support the sector & occupation.			
12. Does training lead to an industry recognized credential, diploma, license, or degree? <i>If yes, indicate which.</i>			
Yes		No	
13. Is this a stackable credential, part of a sequence to move an individual along a career pathway or up a career ladder? Yes No			
14. Was this training developed in partnership with a business? Yes No			
If yes, Name of Business(s):			

Training Provider Application

23. Please provide three customer references including contact information:

1.

2.

3.

SUPPLEMENTAL INFORMATION

In addition to the attachments associated with the previous sections of this application, copies of the following documents **MUST** be included:

- _____ 1. Copy of Virginia oversight documentation (SCHEV, VA School of Nursing, etc.)

- _____ 2. Copy of License to Conduct Business in Virginia

- _____ 3. Copy of Training Provider Grievance Procedure for individuals with complaints on issues, such as discrimination, accessibility, etc.

- _____ 4. Suspension/Debarment Certification (included in packet)

- _____ 5. Anti-Discrimination Certification (included in packet)

- _____ 6. For each training program, fill out training program application (included in packet) and provide documentation which includes
1) Training Program description, 2) Outline of the Program, 3) Skills to be obtained.

**CERTIFICATION REGARDING DEBARMENT,
SUSPENSION, INELIGIBILITY AND VOLUNTARY
EXCLUSION—LOWERTIER COVERED TRANSACTIONS**

(1) The prospective lower tier subcontract proposer certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier subcontract proposer is unable to certify to any of the statements in this certification, such prospective subcontract proposer shall attach an explanation to this proposal.

Organization

Authorized Signature

Date

Printed Name and Title

ANTI-DISCRIMINATION CERTIFICATION

The Contractor certifies to the Commonwealth that they will conform to the provisions of the Federal Civil Rights Act of 1964, as amended, as well as the Virginia Fair Employment Contracting Act of 1975, as amended, where applicable, the Virginians with Disabilities Act, the Americans with Disabilities Act and Section 11-51 of the Virginia Public Procurement Act which provides: In every contract over \$10,000 the provisions in (a) and (b) below apply:

- 1) During the performance of this contract, the Contractor agrees as follows:
 - a) The Contractor will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, or disabilities, except where religion, sex or national origin is a bona fide occupational qualification reasonably necessary to the normal operation of the Contractor. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.
 - b) The Contractor, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, will state that such Contractor is an equal opportunity employer.
 - c) Notices, advertisements and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient for the purpose of meeting the requirements of this section.
 - d) The Contractor will include the provisions of (a) above in every subcontract or purchase order over \$10,000, so that the provisions will be binding upon each subcontractor or vendor.

Organization

Authorized Signature

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Certification and Representation

I, _____ (Name) as _____ (Title)

of _____ (Applicant Agency) hereby

certify and represent:

1. That the information contained in this application and all attachments is true and correct to the best of my knowledge and belief; and
2. That _____ (Applicant Entity) will permit representatives of the Workforce Development Board and the Commonwealth of Virginia access to its facilities, staff, and records for the purpose of verifying information contained in this application and for collecting any additional information related to its qualifications as a provider of training services under the WIOA.
3. I understand that approval by a LWDB places the provider and program on the state Eligible Training Provider List but does not guarantee a local area will fund the approved training activity through the issuances of an ITA. That determination is further based on local policy which must include, at minimum, relevance of training to demand occupations that are in demand regionally, availability of local funds, and likelihood that training will support the individual in meeting their career objectives and employment. The selection of a training provider is based on participant choice.

Signed this _____ *day of* _____, _____

Signature

Telephone Number

Email address

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Equal Opportunity and Nondiscrimination Review Questionnaire

Recruitment Practices

Please provide a report on the composition of both faculty/staff and the student population by gender, race, ethnicity, and disability. (see below for example of data needed)

Staff Positions	Total # staff		White		Black		Asian		Amer. In or Alaska N.		Nat. Hawaiian or Pacific Islander		Hispanic /Latino		Not Hispanic/ Latino		Ind. w/ Disability	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F

Students	Total # students		White		Black		Asian		Amer. In or Alaska N.		Nat. Hawaiian or Pacific Islander		Hispanic /Latino		Not Hispanic/ Latino		Ind. w/ Disability	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F

Please describe efforts to ensure diverse recruitment and/or hiring practices.

Do any training programs have selective admissions or academic requirements?

If yes, please describe efforts made to ensure that those requirements do not create disparate enrollment in those programs.

For the following tables, please answer yes or no to each question. For each No answer, please describe in the Comments section

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Grievances/Complaints

		Yes	No	Comments
1	Is someone assigned to receive and investigate discrimination complaints?			
2	Is there a written grievance or complaint procedure.			
3	Have there been any discrimination complaints within the last year?			
4	Are there any discrimination complaints that are still under investigation?			

Continuous Notification

		Yes	No	Comments
5	Do you have a nondiscrimination statement on your website and in all outreach and marketing materials?			

Promotional materials

		Yes	No	Comments
6	Do promotional materials convey a message of inclusion and diversity?			
7	What outreach is done with the community to educate students with disabilities on services available to them? Please describe outreach efforts in the comment section.			

Diversity Services

		Yes	No	Comments
8	Is someone assigned to assist individuals with disabilities and provide accommodations if requested? Please explain who in the comments section.			

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9	Is there a process in place to ensure students are made aware they may be able to receive accommodations if needed?			
10	Is assistive technology available to students? If so, please describe the types of assistive technology that are available in the comment section.			
11	Is sign language interpretation or foreign language interpretation services offered to students?			
12	Is TTY/TDD or Relay Services available for use by hearing impaired students?			

Website/ On-line course accessibility

		Yes	No	Comments
13	Has the provider website been reviewed for accessibility?			
14	Is the website accessible?			
15	If the website is not accessible, does the provider have a plan to achieve website accessibility?			
		Yes	No	Comments
16	Is the content laid out in a clear, consistent, and organized way?			
17	Are the fonts large, bold, and on uncluttered pages with plain backgrounds?			
18	Are pages designed so they can be viewed with the color and font sizes set in users' web browsers and operating systems? (Users with low vision must be able to specify the text and background colors as well as the font sizes needed to view webpage content)			

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19	Are color combinations high contrast that can be read by those who are colorblind?			
20	Do the pages include blinking, flashing, or other distracting features? If they must be included, can the objects be paused or stopped by the user?			
21	If sounds automatically play, does the page include visual notification and transcripts of the sounds?			
22	Are pages designed to operate with the keyboard alone, without the need of a mouse?			
23	If content is presented in images, is it also provided in alternative text?			
24	Is descriptive wording used for hyperlink text, i.e. "DO-IT Knowledge Base" vs. "click here"?			
25	Is there a "skip navigation" link at the top of the page that allows users who use screen readers to ignore navigation links and skip directly to webpage content?			
26	If pages include online forms and tables, are those elements labeled with a descriptive HTML tag for each control, including buttons, check boxes, drop-down menus, and text fields?			
27	Are videos both captioned and transcribed to audio for both the vision and hearing impaired?			
28	Does the site use PDFs? Can the PDFs be copied, pasted and machine-read as if they were text?			

On-site Course Accessibility

29	Are courses offered in buildings and rooms that are			
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	accessible to individuals with disabilities?			
30	What happens if a student with a disability registers for a course that is held in a building or classroom that is not accessible?			
31	Do you serve students with Limited English Proficiency?			
32	Are courses offered for students with Limited English Proficiency? Please describe in the comment section.			
33	Are faculty required/encouraged to include a statement in their syllabus instructing students on how they may receive accommodations?			

Facility Accessibility

		Yes	No	Comments
34	Does the facility comply with the physical accessibility requirements of the Americans with Disabilities Act?			
35	Are the facilities reviewed periodically to ensure accessibility?			
Parking				
36	Are there sufficient parking spaces for persons with disabilities?			
Total # of Parking Spaces		Min # of Accessible spaces		Min # of Van-Accessible spaces (1 for every 6 accessible spaces)
1 to 25		1		1
26 to 50		2		1
51 to 75		3		1
76 to 100		4		1
101 to 150		5		1
151 to 200		6		1
201 to 300		7		2
301 to 400		8		2
401 to 500		9		2

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

	501 to 1000	2% of total parking provided in each lot or structure	1/6 of accessible spaces
	1001 and over	20 plus 1 for each 100 over 1000	1/6 of accessible spaces
37	Are accessible parking spaces marked with proper signage?		
38	Car parking spaces are minimum 96 inches wide, Van parking spaces are 132 inches wide, vehicle access aisles are minimum 60 inches wide, parking garages have at least 98 inches of vertical clearance available for lift-equipped vans?		
39	Are the accessible spaces located closest to the accessible entrance?		
Accessible Routes			
40	Is there a route of travel that does not require the use of stairs?		
41	Is the route of travel stable, firm, and slip resistant?		
42	Is the route of travel 36" wide?		
43	Can objects protruding into the path of travel be detected by a person with a visual disability? <i>(to be detectable by a cane, an object must be within 27 inches of the ground)</i>		
44	Do curbs on the route have curb cuts at drives, parking, and drop-off?		
45	If there are ramps, is the slope of the ramps no greater than 1:12 <i>(For every 12 inches along the base of the ramp, the height increases 1 inch).</i>		
46	Is the ramp rise no more than 30 inches between landings?		
47	Do ramps longer than 6 feet have sturdy railings? (34-38 inches high)		
48	Are the ramps non-slip?		
49	If there are stairs, is there also a ramp or lift?		

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

50	If a lift is available, can it be used without assistance?			
51	Is there at least 30-48 inches of clear space for a person in a wheelchair to reach the lift controls?			
52	If carpeting or mats are used, are they low pile, smooth, and secured to prevent tripping?			
Rooms and Spaces				
53	Are all entryways, aisles, and pathway routes at least 36 inches wide?			
54	Are doorway thresholds no more than ½ inch high?			
55	Is there a 5-foot circle or T shaped space for a person using a wheelchair to change direction?			
56	Are obstacles detectable by a person with a visual disability? <i>(to be detectable by a cane, an object must be within 27 inches of the ground, higher than 80 inches, or protruding less than 4 inches from the wall)</i>			
57	Are the aisles between fixed seating at least 36 inches?			
58	Is there space for wheelchair seating?			
59	Are knee spaces at accessible tables at least 27 inches high, 30 inches wide, and 19 inches deep?			
60	If there are counters in public spaces, is there counter that is no more than 36 inches high or is there a space at the side to accommodate passing items to customers having difficulty reaching over a counter?			
Signage				
61	Do inaccessible entrances have signs indicating the accessible entrance?			
62	Are rooms/ restrooms properly marked with signs? (Raised characters between 5/8 and 2 inches tall, with high contrast			

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

	and braille text of same information?)			
63	Are signs mounted with the centerline of the sign 60 inches from the floor?			
64	Are signs mounted on a wall adjacent to the latch side of the door? (or as close as possible)			
Doorways and Passages				
65	Are doorways at least 32 inches wide?			
66	Are doors equipped with an electronic door opener? If so, is the door opener working properly?			
67	If opened manually, can the doors be opened without too much force? (8.5 max lbs. for exterior doors/5 lbs. for interior doors)			
68	If the door has an automatic closer, does it take at least 5 seconds to close?			
69	Is there at least 18 inches of clear wall space on the pull side of the door, next to the handle?			
70	Does entry configuration provide adequate maneuvering space for a person using a wheelchair? (Minimum 60 inches to pull door, 48 inches to push door)			
Rest rooms				
71	Is there at least one accessible restroom (either one for each sex or unisex)?			
72	Are there signs at the inaccessible restrooms that give direction to the accessible ones?			
73	Is there a wheelchair accessible stall with at least 5 feet by 5 feet, clear of the door swing, OR is there a stall that is less accessible but better than a typical stall (36 by 69 inches or 48 by 69 inches)?			

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74	Is the toilet seat 17-19 inches from the floor?			
75	Is the lavatory rim no higher than 34 inches?			
76	Space under sinks and countertops is clear of debris?			
77	Can faucets be used with a closed fist?			
78	Are soap and other dispensers and hand dryers within reach ranges (no higher than 48 inches) and usable with a closed fist)?			
79	Is the mirror mounted with the bottom edge of the reflecting surface no more than 40 inches from the floor?			

Name of Provider Representative completing the form:

Date:

FOR LWDB OFFICE USE ONLY			
Date Receive	Date Approve	Date /WDB	Authorized /WDB

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Conflict of Interest for Board Staff	Policy #:	1.14
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The South Central Workforce Development Board (SCWDB) Staff, hereinafter referred to as “Employee,” hereby agrees he/she will comply with the standards of conduct, hereinafter specified, for maintaining the integrity of SCWDB programming and avoiding any conflict of interest.

Policy:

General Assurance: Every reasonable course of action will be taken by the Employee in order to maintain the integrity of this expenditure of public funds and to avoid any favoritism or questionable or improper conduct.

This SCWDB funded grant will be awarded in an impartial manner, free from personal, financial, or political gain. The Employee will avoid situations which give rise to a suggestion that any decision was influenced by prejudice, bias, special interest and/or personal gain.

The Employee will be particularly aware of the varying degrees of influence that may arise and will exercise due diligence to avoid situations which may give rise to an assertion that favorable treatment is being granted.

Conducting Business Involving Relatives:

Immediate family* of the Employee will not receive favorable treatment for enrollment into services provided or employment with a SCWDB funded contractor. The Employee also will avoid entering into any agreements for services with immediate family.

When it is in the public interest for the Employee to conduct business (only for the purpose of services to be provided) with a relative, the Employee will obtain approval from the board before entering into an agreement. All correspondence will be kept on file and available for monitoring and audit reviews.

Avoidance of Conflict of Economic Interest:

The Employee will not solicit or accept money or any other consideration from a third person or entity for the performance of an act reimbursed. Supplies, materials, equipment, or services purchased with SCWDB funds will be used solely for purposes of the organization.

Consequences:

Any contract, transaction or business conducted by the Employee in violation of this policy or related applicable federal and/or state law and regulation is subject to dismissal by the SCWDB in addition to any other fines.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Conflict of Interest for Board Staff Signature Form

Print Name of Employee: _____ Date: _____

Print Title of Employee: _____ Signature: _____

Reviewed by SCWDB Executive Director or Board Chair:

_____ Date: _____

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Conflict of Interest Policy for Contractors and Sub-Contractors	Policy #:	1.15
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The One Stop Operator, Youth Service Provider and/or sub-contractor of the operator and/or provider, hereinafter referred to as “Contractor,” hereby agrees that in administering South Central Workforce Development Board (SCWDB) grants (specifically WIOA), along with all of its employees, will comply with the standards of conduct, hereinafter specified, for maintaining the integrity of SCWDB programming and avoiding any conflict of interest in its administration.

Policy:

General Assurance:

Every reasonable course of action will be taken by the Contractor in order to maintain the integrity of this expenditure of public funds and to avoid any favoritism or questionable or improper conduct.

This SCWDB funded grant will be administered in an impartial manner, free from personal, financial or political gain.

The Contractor and its staff, in administering this SCWDB funded grant, will avoid situations, which give rise to a suggestion that any decision was influenced by prejudice, bias, special interest and/or personal gain. Contractors will be particularly aware of the varying degrees of influence that may arise in administering the grant and will exercise due diligence to avoid situations which may give rise to an assertion that favorable treatment is being granted.

Conducting Business Involving Relatives:

Immediate family of the Contractor will not receive favorable treatment for enrollment into services provided, or employment with the Contractor. The Contractor also will avoid entering into any agreements for services with immediate family.

When it is in the public interest for the Contractor to conduct business (only for the purpose of services to be provided) with a relative, the Contractor will obtain approval from the SCWDB before entering into an agreement. All correspondence will be kept on file and available for monitoring and audit reviews.

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Avoidance of Conflict of Economic Interest:

An executive or employee of the Contractor will not solicit or accept money or other any consideration from a third person or entity for the performance of an act reimbursed in whole or in part by the Contractor. Supplies, materials, equipment or services purchased with SCWDB grant funds will be used solely for purposes allowed under the grant.

Consequences:

Any contract, transaction or business conducted by the Contractor in violation of this policy or related applicable federal and/or state law and regulation is subject to rescission by the SCWDB in addition to any other fines or penalty that may be imposed or required by law.

In the event a contract or transaction is rescinded or invalidated, compensation or payment due to SCWDB or the Contractor shall be determined in accordance with applicable law.

*For purposes of this policy, "immediate family" means (1) a spouse and (2) any other person residing in the same household who is a dependent, or as such definition may be amended from time to time by applicable federal and/or state law and regulation. "Dependent" means any person, whether or not related by blood or marriage, who receives from or provides to the Employee more than one-half of his/her financial support.

Conflict of Interest for Contractor/Subcontractor Staff Signature Form

Print Name of Employee: _____ Date: _____

Print Title of Employee: _____

Signature: _____

Reviewed by Supervisor of Contracted Employee:

_____ Date: _____

Reviewed by SCWDB Executive Director or Board Chair:

_____ Date: _____

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Workforce Center Certification-DRAFT	Policy #:	1.16
Effective Date:	10/19/2017	Revision Date:	

Purpose: To provide procedures and guidance on the certification of Workforce Centers in Area 8 under WIOA. Federal law requires each Local Workforce Development Area (LWDA) to have at least one certified Comprehensive Workforce Center in accordance with WIOA Section 121(g), WIOA Section 188, and the Code of Federal Regulations. All Centers must be compliant with quality assurance, accessibility and other criteria associated with Certification.

The purpose of Workforce Center Certification is to : 1) ensure consistent delivery of services across the Commonwealth and the area; 2) ensure continuous improvement of service delivery in the Workforce Centers; 3) furnish a basis for evaluation of service provider effectiveness; and 4) maintain eligibility for Workforce Center infrastructure funding.

The Workforce Centers in Area 8 are the service delivery mechanism for business and career services. The Comprehensive Workforce Center(s) and their Affiliate Sites are the service delivery points in the area. The SCWDB is tasked with ensuring quality service delivery through the One Stop System. Certification is the required means for verifying appropriate service delivery. The goal is to assure that each LWDA has been determined to meet uniform certification standards, such that businesses and job seekers can expect to encounter a minimum of baseline of quality services regardless of location.

(Workforce Centers, One-Stop Centers and American Job Centers are used interchangeably)

Policy:

The SCWDB, in consultation with the Chief Local Elected Officials (CLEOs), is responsible for ensuring the achievement of certification and quality standards for the Workforce Centers. The SCWDB must 1)certify each Comprehensive Workforce Center in Area 8 in accordance with criteria developed by the Virginia Board of Workforce Development (VBWD) and 2) the SCWDB must certify each Affiliate Site within Area8 in accordance with VBWD criteria.

The criteria shall include and incorporate the following: 1) Evaluations of Effectiveness; 2) Evaluations of Accessibility for Individuals with Disabilities with Compliance Disability-related Regulations (physical, programmatic and communications accessibility) 3) Evaluations of Continuous Improvement 4) Quality Assurance. The SCWDB may establish additional certification criteria beyond that designated by the VBWD. The SCWDB must review and update the criteria every two years as part of the Local Plan modifications.

Criteria for certification are as follows:

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A. Evaluations of Effectiveness examine the extent to which the Workforce Center integrates available services and meets the needs of local employers and participants. Effectiveness of “customer focused” program standards includes:

- a. Integration of available services for participants and businesses;**
- b. Documentation of how the workforce development needs of participants and the employment needs of local employers are met;**
- c. Documentation of cost-efficient operations;**
- d. Coordination of services among the Workforce Center partners**
- e. Development of procedures for staff evaluations take into account feedback from Center customers, including identification of a process for obtaining customer feedback from both employers and job seekers regarding Center services;**
- f. Integration of Wagner-Peyser and WIOA Adult and Dislocated Worker services target WIOA training funds;**
- g. Availability of Adult Education and Literacy services and Vocational Rehabilitation services through Workforce Centers;**
- h. Documentation of how services funded through other partner programs are accessed through Workforce Centers;**
- i. Identification of sector strategies that meet the needs of local businesses through Workforce Centers;**
- j. Identification of targeted career pathways, including occupations and credentials, needed for in-demand occupations for the Workforce Centers in the area;**
- k. Identification of Workforce Center customer flow business process and customer flow for how job seekers access career and training services;**
- l. Provision of detailed cost information, including the amount and percentage of WIOA funds utilized for training services and the types of training services;**
- m. Identification of how services will be made available to customers outside regular business hours, including whether physical Workforce Center access is available outside regular business hours.**

B. Evaluations of Physical and Programmatic Accessibility must include how well the Workforce Center ensures equal opportunity for individuals with disabilities to benefit from Center services. The Americans with Disabilities Act and WIOA Section 188 establish guiding standards. Evaluations of accessibility include:

- a. Provision of reasonable accommodations for individuals with disabilities;**
- b. Verification that reasonable modification to policies, practices and procedures are made where necessary to avoid discrimination against persons with disabilities;**
- c. Administration of programs in the most integrated setting appropriate;**

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- d. Communication with persons with disabilities is conducted as effectively as with others;**
- e. Provision of appropriate auxiliary aids and services, including assistive technology devices and services, where necessary to afford individuals with disabilities an equal opportunity to participate in, and enjoy the benefits of, the program or activity;**
- f. Utilization of a recognized methodology or instrument, provide a report on the extent that Workforce Centers in the local area meet the accessibility requirements outlined in statute and regulations, including identifying areas that may be out of compliance, how those areas can be rectified, and, if appropriate, the cost of compliance;**
- g. Verification that programmatic and physical accessibility exists.**

C. Continuous Improvement requires the Center network to collect, analyze, and use multiple data resources including the negotiated levels of performance measures. Data to support continuous improvement could stem from: customer satisfaction surveys, use of performance indicators to address technical assistance needs, and professional development opportunities made available to staff to successfully apply the latest policies and procedures. Evaluations of continuous improvement include:

- a. Evidence that partners support the achievement of the negotiated levels of performance for Area 8;**
- b. Evidence that partners contribute to the negotiated levels of performance;**
- c. Identification of the impact of a Workforce Center partner who is not contributing substantially to the local levels of performance;**
- d. Identification of an incentive mechanism for when the number of participants credentialed and employed in an occupation directly linked to the credential received improves;**
- e. Identification of how the local area can request technical assistance and the process for approval;**
- f. Identification of a continuous improvement plan when customer feedback indicates issues exist or performance is lacking.**

D. Quality Assurance requires four critical factors that must exist in balance in order to be successful. “Customer relations” govern the manner in which partners focus on the needs of employers and job seekers. “Operations” governs the way in which Centers pursue their business objectives, including internal policies, and state and federal reporting and compliance requirements. “Professional Development” ensures that regardless of reporting structure, staff at every level is properly trained to provide highly professional service to customers. “Resource Management” focuses on the ways in which staff, material, and fiscal resources are deployed to deliver workforce services effectively and efficiently. Quality assurance will include evaluation of the following data:

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- a. Customer Relations: Job seeker and business customer satisfaction survey results;**
- b. Operations: Registrations, participants, service and training activities, job order, hires and customers served;**
- c. Professional Development: Activities and staff certifications;**
- d. Resource Management: Data related to adherence to the Resource Management Plan.**

Procedures

The Workforce Center partners will work with the Workforce Center Director to provide the necessary documentation to support evidence of certification according to the One Stop Certification Benchmarking Tool (as provided by VCCS in Virginia Workforce Letter # 17-02). Any areas that are deficient will be addressed by the Management Team and the One-Stop Operator. The SCWDB Executive Director will provide technical assistance and oversight of the process. The documentation of certification will be provided to the SCWDB Executive Director for review. Management Team representatives will be present at the SCWDB meeting to answer questions and provide clarification on each partner's roles and responsibilities in the certification process.

The SCWDB and CLEOs will ensure the achievement of certification and quality standards for Workforce Centers. The SCWDB, with the approval of the CLEOs, will certify the Comprehensive Center(s) and the Affiliate Site(s) in Area 8. The SCWDB and CLEO will provide a report to the WIOA Title I Administrator attesting to the certification of the Centers.

Phase I-Comprehensive Center Certification

Phase II-Affiliate Site Certification

The SCWDB will conduct assessments of the effectiveness, accessibility, continuous improvement and quality assurance of the Workforce Center once every three (3) years, using the Virginia criteria.

Technical Assistance may be requested through the Executive Director of the SCWDB, who will determine whether SCWDB staff can provide the assistance or request it from the One-Stop System Support Team through the Virginia Community College System.

The Workforce Center certification process shall be monitored in accordance with established state and local monitoring policies and guidance documents.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Food and Beverage Limitations	Policy #:	1.17
Effective Date:	7/20/18	Revision Date:	

Purpose:

To outline limitations for the use of food and beverages and the required documentation for payment with WIOA funds.

Policy:

1. Food, beverages and related supplies in relation to meetings or other similar events may only be charged to WIOA grants if they are determined as part of authorized WIOA activities that occur during a window that coincides with commonly accepted meal times. (For purposes of this policy, it is defined as between the hours of 7:00 a.m. – 9:00 a.m.; 11:30 a.m. -1:30 p.m.; and 5:00 p.m. – 7:00 p.m.).

A. Such events must include external customers and professional colleagues.

1. External customers would normally be considered employers, board members or the consortium of local elected officials.
2. Professional colleagues would normally be considered individuals outside of the organization’s influence but sharing common interests and goals of the organization.

B. The following must be documented:

1. The purpose of the event and the agenda;
2. The time of occurrence and justification for food and beverages to be served if not clear on the agenda;
3. The names of all individuals in attendance and their association.

C. Charging costs for meals and refreshments for meetings, events, activities to conduct day-to-day business of WIOA Title IB-funded employees is not permitted.

2. Meal and beverage costs for enrolled program participants should be related to and in support of their plan of service and determined as necessary by the case manager considering the individual circumstances. Requirements in 1 above do not apply. See Supportive Service Policy requirements.

3. Food and beverage expenses for WIOA Title IB funded employees in work-related travel status are permitted within allowances in the Personnel Policy.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Guidelines for Public Comment	Policy #:	1.18
Effective Date:	7/20/19	Revision Date:	

Purpose: The SCWDB encourages and values citizen input at its business meetings. To ensure SCWDB business meetings are efficient and productive, the following protocol is established.

Policy:

Public comments will be scheduled as the first agenda item for each SCWDB meeting, including meetings of standing committees.

Any member of the public wishing to provide public comment must sign a sign-up sheet prior to the start of the public comment portion of the business agenda, and provide their name, address, the name of the organization they represent (if any), and the general topic or issue on which they desire to comment. Individuals offering public comment should limit remarks to not more than three minutes. A maximum limit of 15 minutes will be allocated for public comment at any one SCWDB meeting. If the number of individuals on the sign-up sheet would exceed the allotted 15-minute timeframe, the Board Chairperson or committee Chairperson has the latitude to limit individual remarks to a shorter time period. Individuals represented by a common organization or association may be asked to select one individual to speak for the group. Individuals who speak for less than their allotted time may not yield their remaining time to another speaker.

Individuals may submit written comments to the Executive Director of the SCWDB. They must be received at least 24 hours in advance of a scheduled meeting. All written comments will be forwarded to the SCWDB members or Committee members, as appropriate. Public comment is received without Board comment or response. However, SCWDB members may seek clarification or additional information from speakers through the Executive Director. Public comments made at SCWDB meetings must be relevant to the Board's functions and responsibilities. Speakers shall direct all comments to the Board, not to individual SCWDB members. Profane or vulgar language, partisan political statements, and comments related to the conduct or performance of SCWDB members or agency staff is not permitted. The Chairman has the right to exercise discretion in the implementation of this policy.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Oversight and Monitoring	Policy #:	1.19
Effective Date:	1/24/2020	Revision Date:	

Purpose: To provide guidance regarding the requirements for monitoring, oversight, and evaluation necessary to ensure compliance with the Workforce Innovation and Opportunity Act (WIOA) of 2014, applicable Federal laws and regulations, and state and local guidance.

Definitions:

- 1) **Non-Federal Entity**-a state, local government, Indian tribe, institution of higher education, or non-profit organization that carries out a federal award as a recipient or subrecipient. (2 CFR 200.69)
- 2) **Pass-Through Entity**-a non-federal entity that provides a subaward to a subrecipient to carry out part of a federal program.
- 3) **Subrecipient**-a non-federal entity that receives a sub-award from a pass-through entity to carry out part of a federal program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.
- 4) **Contractor**-an entity that receives a contract from a subrecipient to carry out a project or program under a federal award.
- 5) **Service Provider**-an entity contracted by a local workforce development board to provide adult, dislocated worker, youth or one-stop (American Job Center) operator services.
- 6) **Finding**-a violation of federal, state and local laws, regulations, contract provisions, grant agreements, policies, official directives, and regional/local plans as determined by the VCCS or Department of Labor. Findings must be addressed through corrective action and may result in the imposition of sanctions if not properly addressed.
- 7) **Concern**-identifies potential risk to the local area and may result in a future finding when not addressed. Concerns may result in recommendations or required actions to improve services to the local area.
- 8) **Disallowed Costs**-charges to a federal award that the federal awarding agency or pass-through entity determines to be unallowable, in accordance with the applicable federal statutes, regulations, or the terms and conditions of the federal award.

Policy: Monitoring is an essential part of the program and financial management to ensure compliance with applicable laws, regulations, integrated workforce plans, provider agreements, policies and procedures. Monitoring identifies areas of strength and weakness in operations with the intent of improving program performance. Technical assistance improves operational and management capabilities.

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A. South Central Workforce Development Board (SCWDB) and Fiscal Agent Monitoring Requirements: According to WIOA sec. 107(d)(8), the SCWDB in partnership with the Chief Local Elected Officials (CLEO), are charged with monitoring and oversight of WIOA programs and contractors/service providers on an annual basis to ensure compliance with federal, state, and local statutory or regulatory requirements.

Compliance Review Areas:

- **Administrative-A** review of administrative functions highlights whether contractors/service providers are compliant with all of the provisions in their contract, looks at the contractor's/service provider's program activity and outcomes to ensure they are in line with established goals of the contract/agreement, and determines whether the programs administered by the subrecipients are run effectively and efficiently. The administrative review should, at a minimum, ensure the following:
 - Contractor/service provider compliance with federal, state, local area, and service provider policies and procedures, legal agreements, and the SCWDB plan.
 - Contractor/service provider compliance with all provisions in the provider contract or agreements.
 - The contractor/service provider has a control system in place to ensure the maintenance of participant records and confidentiality of participant information.
 - Contractor/service provider adherence to equal opportunity and accessibility standards.
- **Fiscal-A** review of the financial functions ensures the adequacy of internal controls and the reliability of the contractor's/service provider's financial management systems as they relate to the contract. The financial review also ensures that the contractor/service provider meets the fiscal terms and conditions of the contract (i.e., cost allocation, fiscal goals, or requirements) and that amounts reported are properly allocated, allowable, and supported by documentation. The fiscal review should, at a minimum, ensure the following:
 - Adequacy of internal controls and the reliability of the contractor's/service provider's financial management system as they relate to the contract.
 - The contractor/service provider meets the terms and conditions of the contract, cost allocation, fiscal goals or requirements, and amounts reports are accurate, allowable, supported by documentation, and properly allocated.
 - The contractor/service provider reported expenditures are detailed in the contract budget and that the expenditures do not exceed the line item budgets.
 - Procurement policies and procedures are comprehensive, and activities are properly supported and documented.

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- A control system is in place to ensure records are maintained on the purchase, tracking, and upkeep of property purchased with WIOA funds.
- **Programmatic-A review of programmatic functions ensures that the implementation of WIOA programs is compliant with all applicable regulations and that participants are provided the services they need with regards to their training and employment needs. The programmatic review should, at a minimum, ensure the following:**
 - Compliance with federal, state and local guidance regarding WIOA implementation.
 - Data in participant case files is accurate, reliable, up-to-date, and compliant.
 - The data in participant case files are accurately reported and reflected in the WIOA case management and reporting system “The Virginia Workforce Connection” (VaWC).

Working Papers, Reports, and Corrective Action Plans (CAP):

- Working papers used for the monitoring record the activities that occurred during the monitoring visit, including timelines, and form the rationale for the monitoring report. These papers are a necessary part of the review process and serve to validate the information collection process.
- A written monitoring report must be developed for each contractor/service provider monitored. Monitoring reports should include the review, all three areas of review (administrative, fiscal and program) and be structured in a way that effectively informs the contractors/service providers to appropriately address findings and concerns in a timely manner and appropriately respond with corrective action plans. Monitoring reports must be provided to the contractors/service providers within 30 days of the monitoring exit date. The report should clearly identify all findings, required corrective actions, and the due date for the corrective actions.
- Written corrective action plans must be submitted by the contractors/service providers to the SCWDB and the Workforce Development Area WIOA Title I Grant Recipient according to the timeframe specified in the monitoring report. The SCWDB is responsible for resolving findings that arise from monitoring reviews using written monitoring and audit resolution procedures, debt collection, and appeals procedures used for other federal grant programs.
- Written reports and all other documentation pertaining to the monitoring review and other oversight activities must be made available for review by federal and state officials. Documentation of monitoring activities must be retained by the local area for three (3) years from the date of submission of the final expenditure reports regarding the funding sources monitored.

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If any litigation, claim, audit or other action involving the records has been started before the expiration of the three-year period, the records must be maintained until completion and resolution of all such actions or until the end of the three-year period, whichever is later.

Signature of SCWDB Executive Director: _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Remote Work	Policy #:	1.20
Effective Date:	10/22/2020	Revision Date:	

Purpose: To establish the policy and agreement for administrative and operational procedures for employees to work remotely.

Definitions:

1) Remote work refers to a permanent or extended arrangement where an employee works from home or another location away from the SCWDB workplace. The employee will work from the remote location the majority of the time on a predefined and agreed upon predictable work schedule. The remote work arrangement is initiated by the organization based on the appropriateness of job function or is a condition of employment.

Policy: Remote work for Board staff must be approved by the Executive Director of the SCWDB. Remote work for the Executive Director must be approved by the Board Chair. In approving a remote work arrangement, the following will be considered: the reason for the remote work request, whether the job may be accomplished remotely and whether the employee's supervisor may successfully manage the remote work. Not all jobs lend themselves to remote work. While working remotely, employees must continue to comply with all SCWDB policies and procedures.

Compensation and Benefits: The employee's compensation and benefits will not change due to working remotely.

Work Hours: For non-exempt employees, the amount of time the employee is expected to work per day and per pay period will normally mirror the employee's regularly scheduled hours. A non-exempt employee's remote work hours will conform to a schedule determined by the Executive Director. Exempt employees are expected to work the number of hours necessary to complete their assigned responsibilities.

Job Duties: The employee's supervisor is responsible for determining the remote working employee's job duties and assignments. Employees must demonstrate continued ability to successfully complete their assigned work while working remotely. Employees must be available by phone and email during agreed upon remote work hours and must be available to all customer (internal and external) while working remotely. Employees must also be available for all meeting conducted virtually that are deemed necessary by their supervisor. If necessary, the employee may need to be available in person.

Equipment and Supplies: The SCWDB does not provide remote workers with office furnishings for their home offices. Employees are responsible for maintaining their home offices so that they can accomplish their work in a safe, efficient and expeditious manner. Depending on the nature of their job, SCWDB

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owned computers, printers, and other equipment and consumable supplies may be available for their use. Any SCWDB equipment and supplies provided to the employee must be used solely for SCWDB business. Any equipment used for remote work must be inventoried by the employee's supervisor prior to transport. All SCWDB equipment and unused supplies must be returned upon the end of the remote work agreement.

Expenses: The SCWDB will not reimburse an employee for out-of-pocket expenses for equipment, supplies, data, wi-fi connection, or other communication charges (including personal cell phone charges), or other items unless prior approval has been obtained from the Executive Director.

Misuse of the remote working agreement may result in disciplinary action.

Signature of SCWDB Executive Director: _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	WIOA Criteria for Registration	Policy #:	2.1
Effective Date:	7/1/2015	Revision Date:	10/22/2015

Purpose:

To provide eligibility guidance for the adult and dislocated worker programs under the Workforce Innovation and Opportunity Act (WIOA).

Policy:

Adults

An individual (18 or older) shall be eligible to participate in the WIOA Title I Adult Program if such individual meets the general eligibility definition of and provides verification consisting of:

- Citizenship or Eligible to Work-includes citizens and nationals of the United States, lawfully admitted permanent resident aliens, lawfully admitted refugees and parolees, and other individuals authorized by the Attorney General to work in the United States;
- Selective Service Registrant, if applicable (Males born on or after January 1, 1960, must register with the selective service system within 20 days after their 18th birthday or at least before they reach the age of 26);
- Age-18 years of age or older.

Priority of service shall include recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient.

Dislocated Worker

An applicant shall be eligible to participate in the WIOA Title I Dislocated Worker Program if such applicant meets the definition and provides verification of:

- Citizenship or Eligible to Work-includes citizens and nationals of the United States, lawfully admitted permanent resident aliens, lawfully admitted refugees and parolees, and other individuals authorized by the Attorney General to work in the United States;
- Selective Service Registrant, if applicable (Males born on or after January 1, 1960, must register with the selective service system within 20 days after their 18th birthday or at least before they reach the age of 26);
- Age-18 years of age or older;

AND meets the definition and verification of one of the following:

- Terminated/Laid off **AND** eligible for Unemployment Compensation **AND** unlikely to return to previous occupation or industry; or
- Permanent closure/Substantial layoff; or
- General announcement of closure; or

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- Formerly self-employed (including farmer, rancher or a fisherman)/currently unemployed; or
- Displaced homemaker; or
- Spouse of member of the Armed Forces on active duty, and who has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty station of such member.

Signature of Executive Director: _____

Date:_____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Self-Sufficiency	Policy #:	2.2
Effective Date:	7/23/2015	Revision Date:	10/22/2015 4/20/2017 1/17/2019

Purpose:

The self-sufficiency criterion is used as a condition for providing career and training services (including OJTs) to employed adults and dislocated workers. If a customer is employed and not earning a self-sufficient wage, he/she is eligible to receive WIOA services.

Policy:

Self-Sufficiency for Employed Adults/Dislocated Workers

Any employed adult or an employed dislocated worker who meets the general eligibility criteria and is not earning at least 200% of the Lower Living Standard Income Level (LLSIL), according to the Department of Labor guidelines for the county of residence, is not considered economically self-sufficient and is eligible to receive career and training services through WIOA.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Assessments	Policy #:	2.3
Effective Date:	7/1/2015	Revision Date:	10/22/2015

Purpose:

Assessments are administered if determined to be appropriate in order for an individual to receive priority of service and to obtain or retain employment to include comprehensive and specialized assessments of the skill levels and service needs of jobseekers.

Policy:

Basic Skills Deficiencies

The Test of Adult Basic Education (TABE) will be administered to all adults and to any dislocated worker who cannot document attainment of a high school diploma or GED. If the enrollee scores lower than a 9th grade reading and/or math level, he/she will be required to enroll into adult basic education/literacy/remedial class and document regular attendance (6 hours per week) in order to be simultaneously enrolled in training through an Individual Training Account (ITA) (OJT/customized training not included).

Priority of Service

If a customer does not meet the Priority of Service due to low-income or recipient of public assistance criteria, the case manager will assess the individual for basic skills deficiencies using the Test of Adult Basic Education (TABE).

Objective Assessments

A career skills assessment (Career Scope) must be administered as part of the Individual Employment Plan (IEP) to record skill levels and/or aptitudes or interests. The results will be used to assist in planning employment and training services.

WorkKeys, an employability skills assessment, may be used to test individuals in reading, applied math and locating information in order to qualify for the Career Readiness Certificate (CRC) or the National CRC.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Dislocated Worker-Trade Co-enrollment Procedures	Policy #:	2.4
Effective Date:	7/1/2015	Revision Date:	10/18/18 10/22/20

Purpose: To establish procedures for ensuring the Trade Act and dislocated worker programs are well coordinated and delivered within the workforce investment system in a manner that is seamless to clients and responsive to their needs.

Policy:

Procedures:

1. When there is a layoff of 25 or more with Trade Act certified petition, state rapid response procedures are followed and can be found at <http://www.vwn.virginia.gov/rapidresponse.cfm> (For less than 25 employees, the flow begins with #2 below).

- Employer and employee briefings are scheduled and planned through the Business Service Team Point of Contact and the Rapid Response Coordinator.
- At the Employee Briefing or Rapid Response Mass Meeting, which is to provide basic career services and next steps, representatives from the VEC, WIOA, Virginia Career Works Center and other mandated and optional partners provide program information.
- Examples:
 - VEC – Job services and unemployment filing, documentation requirements and TAA services and training
 - Dislocated Worker -available career services, supportive services and training
 - Other WIOA partners – will vary according to employer’s requests and employee needs.

2. The Business Service Teams shall plan for Trade-affected employees to have an opportunity to:

- File Trade Eligibility Claim forms. Times and dates of the Trade Act claims taking sessions will be set by VEC. Notices will be mailed to employee addresses as provided by the employer layoff list (may be prior to or following layoff date).
- Register for Unemployment Insurance by telephone or online.
- Register for job services to begin job search.
- Attend Trade Act claim taking session which includes completing paperwork to establish Trade eligibility.
- WIOA orientation and application
- Complete WIOA enrollment process
- Receive initial assessment

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- **Conduct initial one-on-one interview with VEC Trade Representative**
- **Complete Partner Referral/Consent Form (which is a consent to exchange information)**
- **Receive WIOA assessments and determination of training needs for submission to VEC Trade Representative.**
- **Develop Individual Employment Plan (IEP)**

Co-enrollment and Shared Case Management:

- **At least 50% of the Trade customers must be co-enrolled in the Dislocated Worker program.**
- **Utilize assessments and training justification documentation from WIOA and determine appropriate training for client if training is determined to be needed.**
- **Give two (2) training cost estimate sheets to customer to be completed by selected training provider/s.**
- **Complete TAA enrollment**
- **Approve or disapprove training.**
- **If approved, a copy of the Training Request, Training Cost Estimate Sheet, Curriculum, class schedule for first semester (copy before **and** after the Add/Drop date) and Occupational Skills Training Agreement will be given to WIOA within 10 business days from the date it is completed.**
- **Provide current documentation, with regular updates to WIOA case manager throughout training activity to include the Curriculum; class schedules for each semester-(one copy before the Add/Drop date and one after); grades each semester and at completion showing grade average or other indication of success; credential upon completion and employment.**
- **Case notes in VOS will be updated at least monthly.**
- **If waiver is issued for training due to enrollment not available, health or training not available, a copy of the waiver will be given to the WIOA case manager.**
- **If client desires training or intensive services and has not met with WIOA case manager, VEC will make a referral to WIOA and await assessment results.**
- **WIOA case manager initiates one-on-one contact following Rapid Response Meeting (may be prior to, or following layoff date):**
 - **Those who signed up for intensive services or training.**
 - **Make an appointment for enrollment and assessment.**
 - **Group enrollment and assessment may be performed with an initial interview (explain WIOA program requirements, assessments and training relationship between Trade, WIOA and the client),**
 - **documentation of core services, creation of client folder, determination of eligibility, enrollment, and assessment.**
- **For Trade purposes, clients that are 50 years of age and older that DO NOT plan on entering training are not required to have an assessment**

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completed. The client will be issued a waiver and are required to look for work.

- **WIOA will meet one-on-one with client to discuss career and training services.**
- **WIOA will enroll client into VaWC**
- **Both case managers will update IEP and share copies each time it is updated.**
- **For purposes of eligibility, there must be a basic career service entered into the VaWC prior to dislocated worker program involvement. The sign-up sheet from the Rapid Response meeting plus the layoff letter provided by the company can serve as proof that a basic career service was provided to the client.**
- **If WIOA funds are used for any training activity, the WIOA eligible training provider list will be used. If Trade uses a training provider not on the WIOA state or local training provider list, WIOA case manager will ensure the client is made aware that WIOA funds cannot be used to pay for tuition and/or books should the need arise.**
- **Case notes will be entered by WIOA staff for clients that are receiving supportive services from WIOA.**
 - **Both case managers will print case notes for file.**
 - **Trade will enter case notes for those on waivers. ALL case notes will include detailed information on progress of training, job search, and other information.**
 - **Notify each other if client ceases or completes training activity and/or enters employment. Information will be entered into the VaWC.**
 - **Exit the client when appropriate and notify each other.**

Follow up:

WIOA case manager provides follow up for one year. Employment and credential status is entered in VaWC during follow up. WIOA staff will request employment information and wage reports from VEC Trade Representative each quarter during the follow-up period.

Signature of Executive Director: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Date: _____

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Title:	Priority of Service	Policy #:	2.5
Effective Date:	7-1-2015	Revision Date:	10/22/15 4/18/19

Purpose:

The priority of service policy defines the populations who are to receive priority of service in the Workforce Centers to include veterans, low income individuals, recipients of public assistance, and individuals who are basic skills deficient and those living and/or working out of the area. Priority of service applies after determination of eligibility for the WIOA Adult program.

Policy:

Priority for Eligible Adults

For programs that have existing statutory priorities that target certain groups, such as WIOA Adult and Youth programs, veterans' priority is applied to covered persons that meet program criteria. Thus, an individual meeting both the veterans and the program requirements would receive the highest priority for WIOA Youth or Adult services over a non-covered person satisfying the program requirements. The following sequence of services priority will apply:

First priority will be provided to recipients of public assistance, other low-income individuals and individuals who are basic skills deficient in the local workforce area who are covered persons with respect to veterans' priority;

Second priority will be provided to recipients of public assistance, other low-income individuals and individuals who are basic skills deficient in the local workforce area;

Third priority will be covered persons with respect to veterans' priority not considered to be recipients of public assistance, low-income or individuals who are basic skills deficient in the local workforce area;

Fourth priority will be those adults not considered to be recipients of public assistance, low income or individuals who are basic skills deficient in the local workforce area;

Those who live out of the workforce area are the lowest priority of services.

Priority for Dislocated Workers

For programs that do not target specific groups, such as WIOA Dislocated Worker program, the veteran's priority is given to those that first meet the program's existing eligibility requirements. Thus, a covered person would receive a priority for services over a non-covered individual only after satisfying the Dislocated Worker program's eligibility requirements.

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In cases where targeting of a particular group is discretionary and not required by law, such as in the case of local policy, veteran's priority takes precedence over the discretionary priority group.

Out of the area dislocated workers (those who do not live or work in the area will be placed on a waiting list due to the SCWDB priority of service, which gives higher order ranking to residents of the 10 member counties of Area 8.

Signature of SCWDB Executive Director _____ Date: _____

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WIOA Priority of Service Status Form

Purpose: This form is to be used to document the Priority of Service category of a Title I Adult participant.

Participant's Name: _____

State ID: _____

Participation Date: _____

PRIORITY OF SERVICE CATEGORY: (CHECK 1 OF THE FOLLOWING):

A. Veteran or Eligible Spouse:

- a. Veteran: Yes ___ No ___
- b. Eligible Spouse: Yes ___ No ___
- c. Meets Adult Priority Criteria:
 - i. Is currently receiving public assistance: Yes ___ No ___ or
 - ii. Is low income: Yes ___ No ___ or
 - iii. Is basic skills deficient: Yes ___ No ___

B. A non-veteran who:

- a. Meets Adult Priority Criteria:
 - i. Is currently receiving public assistance: Yes ___ No ___ or
 - ii. Is low income: Yes ___ No ___ or
 - iii. Is basic skills deficient: Yes ___ No ___

C. A veteran or eligible spouse of a veteran who is **not included in WIOA priority groups:**

- a. Yes ___
- b. No ___

D. A non-veteran who is not included in WIOA priority groups:

- a. Yes ___
- b. No ___

E. Other priority groups identified by the Governor or the Local Workforce Development Board. Any priority group identified must have been included in the Combined State Plan or the Local Workforce Development Area Plan.

- a. Yes ___
- b. No ___

Case Manager: _____

Date Completed: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Individual Training Accounts	Policy #:	2.6
Effective Date:	7/23/2015	Revision Date:	4/21/2016 10/17/19

Purpose:

To provide guidance for payment of training services for individuals who are eligible for WIOA training services through individual training accounts (ITA).

Policy:

An individual who seeks training services and who is eligible as a WIOA Adult and/or Dislocated Worker, may, in consultation with a case manager, select an eligible provider of training services from the approved Eligible Training Provider List (ETPL). Upon selection, the One-Stop Operator shall, to the extent practicable, refer the individual to the eligible provider of training services, and arrange for payment of such services through an Individual Training Account (ITA).

ITAs for Adults and Dislocated Workers:

- All other sources of funding must be explored and/or exhausted prior to using WIOA funds.
- ITAs may be issued for an amount up to \$8,500 covering a period up to two years. The funds may be used in less time; however, no more than \$8,500 may be issued in a two-year period. ITAs for Welding, Practical Nursing and Powerline Worker may be issued for an amount up to \$10,000 covering a period up to two years. Registered Nursing ITAs may be issued for up to \$12,000 covering a period of up to two years.
- ITAs may be issued for a lesser amount based upon assessment and customer choice of training vendor.
- The cap may be used for training and supportive services at the discretion of local case managers based on assessment of individual needs. No ITA is issued for supportive services—ITAs are only for training, however, supportive services are included in the cap amount.
- Additional funds, up to \$1,000, may be requested by the case manager, with approval of the SCWDB Executive Committee.

ITAs for Employed Individuals:

- ITAs will be issued for an amount up to \$8,000 for a two-year period. The money may be used in less time; however, only one ITA may be issued in the two-year period.
- It is anticipated that supportive services will not be needed on a regular basis for this population; however, if needed in extenuating circumstances, the amount is included in the ITA cap amount.

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Access to Training Vouchers:

Access to training vouchers will be provided at not less than one physical comprehensive workforce center and at the satellite centers in Area 8 for securing the following training services for eligible and qualified individuals (as defined by WIOA):

- Occupational skills training, including training for nontraditional employment;
- On-the-job training
- Incumbent worker training
- Programs that combine workplace training with related instruction, which may include cooperative education programs;
- Training programs operated by the private sector
- Skill upgrading and retraining
- Entrepreneurial training
- Transitional jobs
- Job readiness training provided in combination with other training services as listed;
- Adult education and literacy activities, including activities of English language acquisition and integrated education and training programs, provided concurrently or in combination with training services listed above;
- Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

(Stand-alone adult literacy, basic skills education and English as a second language classes and rudimentary computer lessons that prepare adults to enter occupational skills training may be considered pre-vocational services and may be provided as individualized career services.)

Occupations in Demand:

The use of vouchers must be linked to occupations in demand in the local area or to sectors of the economy that have a high potential for sustained demand or growth in the local area. If individuals are willing to relocate, they may receive training in occupations in demand in another area.

Issuing Training Vouchers:

Training vouchers shall be issued after a participant has been assessed and found to be in need of training. Vouchers shall be issued only in consultation with a skilled and knowledgeable case manager/career coach. Personnel responsible for providing career counseling and assessment to WIOA customers, either employed by the partners or the one stop operator, shall have the appropriate qualifications/training to provide such services.

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The Case Manager shall:

- **Determine that a customer is in need of training after an individual interview and assessment. The individual assessment shall identify barriers to successful employment, including the need for training, and to the completion of training and shall identify any need for supportive services.**
- **Assist with the development of a training plan and employment goals. Individual assessments shall also be used to indicate appropriateness of the training and employment goals based on skills, abilities and interests.**
- **In addition, the case manager shall provide career counseling to ensure that training and employment goals are realistic and achievable.**
- **In addition, the case manager shall provide labor market information, including current information on employment and wage trends and projections, to ensure that vouchers are used for training that is directly linked to employment opportunities in the local area or in an area to which the individual is willing to relocate.**
- **Assist the customer in objectively comparing and evaluating consumer reports of training providers.**
- **Ensure that necessary support services, such as childcare and reliable transportation, are in place subject to local policies and partnership efforts.**
- **Coordinate WIOA vouchers with all other sources of financial aid available to the customer so that duplication does not occur. (WIOA requires the coordination of training costs with funds available under other Federal programs). To avoid duplicate payment of costs when an individual is eligible for both WIOA and other assistance, including a Pell Grant, case managers shall consider all available sources of funds, excluding loans, in determining an individual's overall need for WIOA funds. The exact mix of funds shall be determined based on the availability of funding for either training costs or supportive services, with the goal of ensuring that the costs of the training program the participant selects are fully paid and that necessary supportive services are available so that the training can be completed successfully. The case manager shall also verify that there is no duplication of training vouchers provided by other local workforce investment areas in Virginia.**
- **Provide follow-up on a regular basis with customers that are in training programs, to develop retention strategies, if necessary, and to authorize or cancel continued training vouchers as appropriate. Payments may be made incrementally, through payment of a portion of the costs at different points in the training course.**

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Provision of Training Services:

Training services must be provided in a manner that maximizes informed consumer choice in selecting an eligible provider.

- The SCWDB, through the One-Stop system, must make available to customers the State list of eligible and certified providers of WIOA training services.
- Each One Stop Operator must make available information about on-the-job training and customized training, the expected outcomes, performance and cost information on that training.
- Each One Stop Operator must make available the consumer reports of any other adult training that is provided under contract in the local area. The customers must have enough information to understand fully all of the options available to them.
- Program specific factors include expected outcomes, expected wages for target jobs, overall performance, performance for significant customer groups (including wage replacement rates for dislocated workers), special accommodations or support services available and duration of training programs.
- If all the requirements for eligibility, qualification, priority of service and case management are met, and if the program has not exhausted funds for the program year, the operator can provide a voucher, in accordance with local policy, to pay for training.

ITA Limits:

Unemployed: The maximum amount that can be paid through a voucher for an Individual Training Account (ITA) is \$8500, (or \$10,000 if client is enrolled in welding, RN, Power Line or LPN training) which includes tuition and books. Even though supportive services, which include travel reimbursement, tools, uniforms, physicals and supplies, are not part of the ITA, the costs of such services are included in the maximum amount allowed per client. The ITA can be written for a maximum of two (2) years. A waiver for an additional \$1000 may be requested of the Executive Committee using the appropriate form.

Employed: The maximum amount that can be paid through a voucher for an ITA is \$8000, which includes tuition and books. Even though supportive services, which include travel reimbursement, tools, uniforms, physicals and supplies, are not part of the ITA, the costs of such services are included in the maximum amount allowed per client. The ITA can be written for a maximum of two (2) years. A waiver for an additional \$1000 may be requested of the Executive Committee using the appropriate form.

Student Loan Default

If a participant is not eligible for financial aid due to default of a federal student loan, the participant will be ineligible for federal WIOA assistance for tuition,

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books and supplies until the loan has been satisfied. The client will then be eligible to apply for financial aid and WIOA may pay based on those results.

Grade Point Average (GPA) Requirements

If a participant is not eligible for financial aid due to a low GPA (from an institution of higher education) that has been acquired in the recent past, the participant will be required to begin the semester without WIOA assistance until the GPA reaches at least a 2.0 (or shows significant progress toward that goal).

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Training Cap Waiver Requests	Policy #:	2.7
Effective Date:	July 1, 2015	Revision Date:	4/21/16 1/17/2019

Purpose:

To provide guidance for requesting waivers for the maximum amount of expenditures allowed for customers receiving training services.

Policy:

The Executive Committee of the SCWDB will hear waiver requests as follows:

- The requests must be submitted by the One-Stop Operator or Contractor using the appropriate form and must be in accordance with this policy.
- There will be no target populations considerations for waivers – all requests will be heard on a case-by-case basis in the same manner.
- Waivers will be considered for an amount up to \$1,000.00 over the maximum allowed. The maximum that a person may receive in WIOA funds within a 2-year period will be \$9,500.00 unless the person is in training for welding certification, power line, registered nurse or practical nurse, and then the maximum is \$11,000.
- In order to be considered for a waiver, the application must include documentation of satisfactory progress toward the participant achieving set goals.

Waivers will not be granted in the following instances:

- To any individual who has been in the program two years with no prospective end of training date or prospect of being hired.
- To any individual in training in an occupation in decline unless there is documentation supporting a likely job.
- To any individual who has already been granted one waiver within the 2-year time limit.
- To any individual not providing documentation of other funding sources.

Waiver requests submitted according to the policy will be heard by the Executive Committee and a decision returned to the One-Stop Operator or Contractor within 30 days.

Signature of Executive Director: _____

Date: _____

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Title:	Training Related Services	Policy #:	2.8
Effective Date:	7/23/2015	Revision Date:	10/18/18 10/17/19 1/24/2020

Purpose:

To provide guidance relating to available supportive and training related costs for WIOA customers who are in training and unable to obtain such services through other means.

Policy:

Training Related Services are:

- Available to qualified clients in WIOA Title I programs that are unable to obtain such services through other means.
- Not an entitlement and will be offered only on an as needed basis when documentation substantiates that need.
- To be used only when it is necessary to enable eligible individuals to participate in training WIOA Title I programs.
- Listed on the Cumulative Expenditures sheet and calculated as part of the client's cap total.
- Assessed every 30 days to establish continued need and will be documented in the client's file.
- Part of the total of the training cap therefore if the client has reached his/her cap, or there are insufficient funds remaining to support the service requested, then that service cannot be offered without an approved Training Cap Waiver Request.
- Determined individually according to the documentation of need and may be increased or decreased monthly.
- Property of the SCWDB in the cases of books, tools and equipment. The client must sign a consent form stating that if they stop attending training they will immediately return all items except clothing to their Local Virginia Career Works Case Manager.
- Counted toward the required 40% training expenditure requirement.

One Stop Centers will establish in-house procedures on how they will assess and regulate training related services. A copy of these procedures will be on file with the SCWDB Compliance Officer.

In the event monitoring reveals payments or reimbursement for unauthorized purchases made by a client, arrangements shall be made to reimburse the SCWDB for those expenses in question.

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Case Managers are responsible for determining the amount of training related services given to each client based on individual need.

- **Approved training related services may include but are not limited to:**
 - **Transportation;**
 - **Pre-physicals;**
 - **Immunizations;**
 - **Uniforms;**
 - **Professional pins;**
 - **Computers, which remain property of SCWDB if client drops out of the program (need must be documented and approved by WIOA Coordinator and Executive Director prior to purchase);**
 - **Other supplies required for training and/or employment.**
 - **Consumable supplies (such as pens, pencils, paper, notebooks, printer supplies, etc.) up to \$100 per semester or program (if short-term).**
- **Prohibited services may include but are not limited to:**
 - **Purchase of vehicle;**
 - **Child care, and**
 - **Payment of rent or utility bills.**

Documentation: A simple request from the client for these services may not be used.

- **Documents used to determine need may include income, household obligations necessary for persons to live and extenuating circumstances such as illness, accident, death, etc.**
- **Documents used to determine need for training related services along with a copy of the SCWDB Training Related Services Needs Statement will be kept in the client's file.**
- **Signed statement validating that all alternative sources have been explored and they are either not available or exhausted.**
- **Attendance records or any proof of active/continuous participation in an employment or training activity will be kept in the client's file.**

Covered Services:

- **Travel**
 - **Customers will be reimbursed on a scale of \$0.15 - \$0.35 per mile up to \$400.00 per month for participation in approved training programs. Waiver requests for an additional \$100.00 per month may be made to the Executive Director to cover extenuating circumstances. In addition, for job search activities and/or state board examinations, mileage will be reimbursed at the rate of up to \$0.35 per mile up to \$100.00 per month. These expenses are to be calculated as part of the client's cap total.**
 - **Documentation:**
 - **Appropriately signed attendance records covering each day for which service is requested.**
 - **Signed affirmation that job search activities were performed or interviews held.**

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- **Out of Area Training**
 - Out of Area Training that requires overnight lodging must be approved on a case-by-case basis and the same criteria for other supportive services should be used to determine client need.
 - A client may be reimbursed for meals while out of the area for overnight training up to \$30 per day.
 - Documentation:
 - Original itemized receipt (not credit card receipts or statements)
 - Original attendance sheet with client and instructor signatures.
 - The cost of alcoholic beverages will not be reimbursed.
- **Relocation:**
 - Relocation is only offered when adults, older youth, and dislocated workers have accepted positions that require them to move from their present residence. Three quotes must be obtained from moving van/trucking companies; the lowest bid will be honored.
 - Mileage, meals and lodging for customers will be handled as above (and only for the customer).
- **Needs Based Payments:**
 - Not available
- **Tools for Employment:**
 - Job related tools may be purchased only as a condition of employment. These tools will be a one-time only purchase not to exceed \$1500.00 after the following criteria have been met:
 - A signed document from the employer that these items are an absolute condition of employment.
 - There are no other provisions within the company to assist employees with the acquisition of tools.
 - The request for tools must be documented and approved by a One Stop Manager.
 - Client signs statement acknowledging that he/she is responsible for all maintenance, security and replacement of tools.
 - If client quits job or is fired prior to the end of follow-up, the tools shall be returned to the SCWDB.
- **Training Supplies:**
 - Training supplies are those that are used to assist qualified WIOA participants to successfully complete an approved training curriculum. The Case Manager has the discretion to offer these services once a documented statement of need has been established. Since these services are not an entitlement, they should be used only for training programs, including On the Job Training (OJT), that lead to a credential and subsequent job placement.
 - Training Supplies may include but are not limited to:
 - Stethoscopes
 - Calculators

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- Specialty shoes
 - Required uniforms
 - Supplies
 - Training related tools
- **Documentation:**
 - **A signed statement from the training provider that the supplies are required for the client to complete the training.**
 - **A statement of need from the Case Manager.**
 - **A signed form confirming attendance.**
 - **Original receipts, invoices etc., associated with the purchase of any item.**

Supportive services such as child care are not available.

Signature of Executive Director: _____

Date: _____

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Title:	On The Job Training	Policy #:	2.9
Effective Date:	7/1/2015	Revision Date:	10/22/2015; 10/20/2016; 10/19/2017; 10/22/2020

Purpose:

The term “on the job training: (OJT) means training that is provided to a paid employee while engaged in productive work in a job that:

- Provides knowledge or skills essential to the full and adequate performance of the job;
- Is made available through a program that provides reimbursement to the employer for a certain percentage of the wage rate of the participant ; and
- Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant.

Policy:

OJT contracts may be written for eligible clients when:

- the employed worker is not earning at or below 200% Lower Living Standard Income Level (LLSIL);
- the unemployed worker has total family income at or below poverty guidelines or 70% LLSIL.
- A need is determined for:
 - introduction of new technologies
 - introduction to new production or service procedures
 - upgrading to new jobs that require additional skills
 - workplace literacy or
 - other purposes identified by the SCWDB.
- The identified training needs of the customer are met according to the IEP.

Determination of Employer or Registered Apprenticeship Program Sponsor Eligibility: OJT Contracts may be utilized as a viable training option in partnership with employers who meet the following conditions:

- May be in the public, private non-profit or private sector;
- Must have the personnel to provide adequate supervision and training;
- Must have a training plan signed by the employer that describe the skills to be learned and the responsibilities of the supervisor or trainer.
- Must provide the required minimum of the employee’s wages throughout the training.

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- **Must compensate these employees at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and skills. Such rates must be in accordance with section 6(a) (1) of the Fair Labor Standards Act of 1938 or the applicable state or local wage law.**
- **Must provide benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work;**
- **Must not have a history or pattern of failing to provide OJT customers 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;**
- **Must not have relocated from any location in the United States within 120 days, if the location resulted in any employee losing his or her job at the or original location;**
- **Must not use OJT assignments to displace regular employees, or to replace any employee on layoff.**
Must provide a Federal Employer Identification number to demonstrate the business is a legitimate employer with full-time employees, and conducting trade or business at an appropriate worksite;
Must maintain workers compensation insurance and provide a Certificate of Insurance issued by the company's insurance carrier.

Determination of Participant Eligibility:

- **OJT participants are WIOA participants who, after objective assessment(s) have a documented plan indicating the participant is in need of, and can benefit from OJT.**
- **Employers may refer to a WIOA program an individual who has applied for employment to the company but are not yet job ready. This is called reverse referral. In reverse referral, an employer may refer a job applicant to a Workforce Center or WIOA program for career development. The job seeker, so referred, may then be enrolled in OJT contract with the employer who initially referred the job seeker. To participate in a subsidized OJT program, the referred job seeker must be determined eligible for WIOA services, and have completed assessment(s) and development of a plan determining OJT to be an appropriate training activity. Reverse referral for OJT can only occur if the employer has not hired an individual. An OJT participant may also be one who is referred to an employer by a Workforce Center or WIOA program.**
- **When a Workforce Center refers an OJT candidate to a business, the employer will assess the participant based on the requirements of the business and will have the opportunity to review the participant's assessment results. The employer will also interview a participant before entering into an OJT contract.**

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OJT Contracts for Employed Workers

While traditionally, an OJT contract is written to support skills development and employment of a dislocated or unemployed worker, an OJT contract and WIOA funds may also support a worker who is already employed provided that the conditions listed below are met.

- The employee is not earning a self-sufficient wage as determined by the SCWDB policy.
- The OJT relates to the introduction of new technologies, new production or services procedures, or a new job that requires additional literacy or numeracy or occupational and technical skills.
- The OJT is provided through a contract with an employer or registered apprenticeship program sponsor.

OJT Contracts for Registered Apprentices

An OJT contract, and reimbursement of a percentage of a participant's wages, may be entered into with the entity providing the OJT component of a registered apprenticeship program. Generally, this is the employer of the registered apprentice, but it may also be a union or an intermediary.

Registered apprenticeships consist of two components: OJT and related instruction. Related instruction may be classroom based, on line, or a hybrid of the two. OJT contracts only apply and can only be used to fiscally support reimbursement of a percentage of the apprentice's wages to the registered apprenticeship sponsor. However, a WIOA funded Individual Training Account (ITA) may be used to support the related instruction component of a registered apprenticeship. There is no federal prohibition on using both WIOA ITA and OJT funds when supporting a WIOA participant in a registered apprenticeship program. ITA funds can be used to support apprenticeship related instruction and OJT funds can support a percentage of the participant's wages. The registered apprenticeship sponsor must be on the Eligible Training Provider List.

If the WIOA participant is unemployed and begins the registered apprenticeship program as a new hire, OJT employer eligibility provisions apply.

If the individual is employed as a registered apprentice at the time of enrollment in WIOA and OJT participation, OJT contracts for employed workers apply.

Reimbursement Rates:

- If wage rate is at least \$9.00 per hour and the employer has less than 50 employees, the contract may be written to reimburse the employer up to 75% of the wage rate.

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- If the wage rate is less than \$9.00 per hour and/or has 50 or more employees, the contract may be written to reimburse the employer up to 50% of the wage rate.
- Contracts may only be written for full-time employees (working at least 30 hours per week with benefits).
- If employees work overtime, the reimbursement rate will be based on the base pay and will count towards the total hours of the contract, thus shortening the anticipated end date of the contract.

Payments to employers:

- Are deemed to be compensation for the extraordinary training costs associated with training customers including additional supervision and the costs associated with the lower productivity of the customers, and those extraordinary costs need not be documented by the employer; and
- Must not be in excess of the approved contract amount or the wage rate of the OJT customer.

Duration:

- An OJT contract must be limited to the period of time required for a customer to become proficient in the job for which the training is designed based on the skill requirements of the occupation, academic and skill level of the participant and prior work experience.
- The OES (Occupational Employment Services) codes will be used to determine the length of time for specific occupations as well as the skills of the OJT customer.
- No contract may exceed 6 months.
- The training plan shall describe a timeline for completion of the training
- The length of the contract shall be included in the participant's Individual Employment Plan (IEP).

Limits:

- In any given year, the amount of no more than 30% of the total dollars designated for training by a Workforce Center may be used for OJT; no single employer may receive more than 30% of this calculated amount.
- The Workforce Center may apply for a waiver in circumstances where employees have a justified need for additional contracts.
- If, by April 1 of any given year, the amount of money designated for OJT has not been used, the limitation by employer is lifted for the remainder of the program year.
- The Executive Director has the authority to reduce the reimbursement rate in equal amounts for small and large employers due to funding constraints.

Supportive Services

- Supportive services costs will be handled like any other eligible participant.

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Documentation Required for Reimbursement to Employer

- **Employer or Supervisor Signature**
- **Employee Signature (If Employee has been terminated, resigned or quit job and is not currently employed when the reimbursement is submitted, the case manager will attempt to contact the former employee to get the employee signature by telephone to schedule a meeting or mail a copy with a self-addressed stamped envelope. If these attempts fail, the actual payroll records from the employer are attached to the reimbursement request).**
- **Timesheet and**
- **Copies of the pay stub/pay roll for the participant**

Documentation of Case Notes

- **OJT case notes should provide an adequate depiction of the participants' progress in training on the job.**
- **Case notes should be written monthly for each participant. The contact should be with the employer and/or employee at least monthly.**

Signature of Executive Director: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Customized Training	Policy #:	2.10
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The term “customized training” means:

- Training designed to meet the special requirement of an employer (including a group of employees) to employ, or in case of employed workers, to continue to employ an individual on successful completion of the training and
- For which the employer pays for not less than 50% of the cost of the training targeted at groups of employees.

Policy:

Customized training contracts may be written for eligible WIOA clients when:

- The employed worker is earning at or below the 150% LLSIL.
- The unemployed worker has total family income at or below poverty guidelines or 70% LLSIL.
- A need is determined for:
 - Introduction of new technology;
 - Introduction to new production or service procedures;
 - Upgrading to new jobs that require additional skills;
 - Short-term training projects for business-specific purposes.
 - Workplace literacy; or
 - Other purposes identified by the SCWDB.

Eligible Employers:

- May be in the public, private non-profit or private sector.
- Must sign a training contract that describes the skills to be learned.
- Must provide at least 50% of the training costs throughout the training for all enrolled whether training is completed or not.
- Must commit to employ all those who complete the training.
- Must stipulate that the company currently plans to retain the employee and that as economic conditions permit, employer will commit to a specified level of appropriate wage increases determined solely by the employer upon successful application of the training by the employee.

Limits:

No more than 10% of WIOA Customized training match funds can be used by an employer.

Supportive services costs will be handled like any other eligible participant.

Signature of Executive Director: _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Local Incumbent Worker Training	Policy #:	2.11
Effective Date:	10/22/2015	Revision Date:	10/19/2017

Purpose:

To improve the education and skill levels of the current workforce, to improve state and local economies and increase the ability of businesses to effectively compete in the global market.

Policy:

WIOA funds may be available to a single firm or a group of firms that share similar workforce needs, using a sector strategy approach to meet the skills training needs of their incumbent workforce.

Statewide rapid response and local funds are available to provide incumbent worker training. Up to 20% of the WIOA Title I Adult and Dislocated Worker funds allocated to the local area may be reserved and used to pay for the Federal share of the cost of providing a training program for incumbent workers.

- **Incumbent Worker Employee Eligibility**
All employees participating in incumbent worker training must meet the eligibility below. An incumbent worker is:
 - At least 18 years of age;
 - A citizen of the United States or a non-citizen whose status permits employment in the United States;
 - Males born on or after January 1, 1960 must register with the selective service system within 30 days after their 18th birthday or at least before they reach the age of 26;
 - Meet the Fair Labor Standards Act requirements for employer-employee relations and have an established history with the employer for 6 months or more;
 - An employee to be trained that works at a facility located in Virginia or working for a staffing agency and placed at a Virginia facility.
 - A paid, full-time employee of the applicant's business working at a facility located in Virginia.

- **Employer Eligibility**
The Virginia Board of Workforce Development (VAWD) defines the criteria for employer eligibility. The Governor and the VAWD may make recommendations to the local board for providing incumbent worker training that has statewide impact. WIOA Rapid Response funds may also

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

be used for incumbent worker training to avoid layoff situations through early intervention.

- Demonstration of linkages of the training activity to demand occupations and/or regionally targeted industries;
- The positive relationship of the training to the competitiveness of a participant and the employer;
- The relative wage and benefit levels of those employees (pre-training and anticipated upon completion of the training); and
- The potential state and regional economic impact, if any, of the training project.
- Current on all federal, Virginia tax obligations, including all applicable county, city and local taxes;
- A standardized pre-award review must be completed and documented jointly between the local area and the business establishment as a prerequisite to training.
- Proposed training costs must be reasonable and necessary and clearly relate to the purposes and activities of the project as described.

The pre-award review must be approved by the Business Services Coordinator and the Executive Director of the Workforce Development Board prior to awarding of an Incumbent Worker Training contract.

- **Non-Federal Share of Costs**

Employers participating in the program are required to pay the non-Federal share of the cost of providing the training to incumbent workers of the employers. The non-Federal share shall not be less than:

- 10% of the cost, for employers with not more than 50 employees
- 25% of the cost, for employers with more than 50 employees but not more than 100 employees; and
- 50% of the cost, for employers with more than 100 employees.
- The non-Federal share provided by an employer may include the amount of wages paid by the employer to a worker while the worker is participating in the training activity (if that is the case). The employer may provide that share in cash or in-kind, fairly evaluated.

- **Examples of allowable activities and expenses**

- Training for participants for productive, high demand employment;
- Work-site-based learning strategies using cutting-edge technology and equipment;
- Training programs incorporating technological changes in the workplace;
- Training programs designed to impart learning to meet employer-specified or industry-specific skills;
- Train-the trainer instruction to build the capacity of businesses to effectively respond to the challenges of an increasingly diverse workforce

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- Consumable training materials and supplies
- Textbooks
- Off-site facility rental expense directly related to an necessary for the training
- Rental of tools and equipment critical to the project
- Travel expense and per diem of instructor
- Instructor/trainer fees

- **Prohibitions and Restrictions**
 - No funds provided shall be used, or proposed for use, to encourage or induce the relocation of a business or part of a business if such relocation would result in a loss of employment for any employee of such business at the original location and such location is within the United States.
 - No funds provided under this title for an employment or training activity shall be used for customized or skill training, on-the-job training, incumbent worker training, transitional employment, or company-specific assessments of job applicants or employees, for any business or part of a business that has relocated, until the date that is 120 days after the date on which such business commences operations at the new location, if the relocation of such business or part of a business results in a loss of employment for any employee of such business at the original location and such original location is within the United States.
 - A business that has a history or pattern of failing to provide WIOA participants with continued 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 are not eligible.

- **Business Services**

Incumbent worker training is an important business services initiative that is designed to benefit business and industry by assisting with existing employees' skill development and by increasing employee productivity and company growth. Incumbent worker training shall be detailed in the business services plan, will be tracked in the business engagement report and reported to the VBWD.

- **Outcomes**

Strategies for developing new workforce skills in the existing workforce shall be designed to benefit business and industry in ways that encourage and support the integration of new technology and business processes, increase employee productivity and support the competitiveness of the company. Outcomes include:

 - Improving the alignment of existing workers' skills with new job requirements;

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- Providing individuals access to new career opportunities within a business;
 - Encouraging the retention of existing personnel who otherwise may become dislocated because of skill deficiencies;
 - Increasing the wages of newly trained workers;
 - Creating new opportunities for entry-level workers through the promotion of existing workers;
 - Supporting the overall enhancement of local and regional economic development efforts, and
 - Employer and industry-recognized credentials and certificates.
- **Documentation**

The SCWDB is required to maintain all documentation received and reviewed for the minimum required retention period of three years. Documents that must be retained include:

 - completed and signed application;
 - completed and signed contract;
 - documentation or certification of employee eligibility;
 - training plans if separate from the application;
 - copies of credentials received or employer certification of training completion;
 - a copy of the employer's payment made to the training provider;
 - a completed reimbursement request form;
 - a signed form indicating that the employer has been made aware of the local area's Grievance and Equal Opportunity Policies;
 - all documentation regarding Incumbent Worker Training related complaints and actions taken on those complaints.
 - notation of the location of the participant file for each individual co-enrolled in a WIOA Adult or Dislocated Worker Program.
 - **Reporting**

Individuals receiving Incumbent Worker Training are not subject to the same eligibility criteria that apply to participants in the adult or dislocated worker programs, unless they are also receiving other services under these programs. Therefore, individuals who only receive incumbent worker training and no other WIOA Title I service do not fall within the definition of "participant" in 20 CFR 677.150(a). As such, those that are receiving only incumbent worker training shall be reported as an "individual" and not a WIOA "participant" for purposes of reporting.

Signature of Executive Director: _____

Date : _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Exhaustion of Funds	Policy #:	2.12
Effective Date:	7/1/2015	Revision Date:	

Purpose:

To provide guidance for serving customers if funds available for services are insufficient to meet the demand.

Policy:

Emergency Policy for Service to Dislocated Workers/Adults:

- All customers shall be eligible for basic and individualized career services that do not require expenditures above those offered by staff of the Workforce Centers.
- No ITA's shall be written to cover the cost of training (PELL/TRADE or other assistance may continue to be used for tuition costs for enrolled customers).
- Customers enrolled who are targeted for OJT will have contracts negotiated at 35% reimbursement rate or less by the SCWDB.
- Customers already enrolled into the program but not enrolled into training that hold an associate, bachelor or higher degree will not be offered occupational skills training at the expense of the SCWDB.
- Transportation will be allowed but offered only to those who require it in order to attend training and need must be documented.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	General Education Diploma (GED)	Policy #:	2.13
Effective Date:	7/1/2015	Revision Date:	

Purpose:

It is the policy of the South Central Workforce Development Board (SCWDB) to encourage participants receiving WIOA funds who have not obtained a high school diploma or its equivalent to actively pursue one. The SCWDB realizes the importance of this achievement and its relevance to employment opportunities in the future, as well as the present.

Policy:

In order to continue receive WIOA funds for training, Out of School Youth, Adults, and Dislocated Workers must be actively enrolled, participating in, and showing progress in obtaining their GED. Failure to do so may result in the termination of training services.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Custody of Records	Policy #:	2.14
Effective Date:	7/1/2015	Revision Date:	4/19/18

Purpose:

To provide guidance relating to custody of records and to protect the confidentiality and integrity of data.

Policy:

File Transfers from Contractor to SCWDB:

- The contractor must provide a list indicating all active participants by full name, state identification number, program and location.
- The contractor must provide a list indicating the inactive participants (in follow-up and exited) by full name, state identification number, program and location.
- The contractor must provide an updated VaWC Client Listing Report that indicates all the participants who should be active in the program at the time of the transfer.
- The contractor must indicate in writing an explanation of any missing files.
- A Chain of Custody document must be completed indicating the date of transfer, the recipient entity and any problems incurred during the transfer, i.e., missing files. The chain of custody must be signed by all parties representing the contractor and the SCWDB.
- The contractor will retain the signed original Chain of custody document and the SCWDB will maintain a copy.

File Transfers from SCWDB to contractors:

- The SCWDB must provide a list of all the participant files (active, follow-up and exited) that are to be transferred to the contractor including full name, state identification number and program.
- The SCWDB must print out and provide a current client listing report with all active participants as of the date of transfer and give the contractor a copy.
- The client listing report will be compared with the actual files to be transferred and any missing or unaccounted for files should be indicated on the chain of custody report.
- Complete the chain of custody document indicating the date of transfer, the recipient, the number of files being transferred and an explanation for any missing or unaccounted for files.
- The chain of custody must be signed by the SCWDB and recipient contractor with the SCWDB retaining the original and a copy going to the contractor.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Record Security

- **All files must be stored in locked file cabinets when not in use.**
- **Any information that describes an individual's medical condition or disability must be maintained in a separate locked file consistent with policies and procedures.**
- **Policy 1.1 Confidentiality and Personally Identifiable Information (PII) shall be followed.**
- **All records must be maintained from the date of acquisition through final disposition. The SCWDB will retain those records for a period of 3 years from the date of the last expenditure report submitted to VCCS, unless otherwise specified by the grant. If any litigation, claim, or audit is started before the expiration of the 3 year period, all records must be retained until all findings have been resolved and final action taken.**

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Employed Worker Training	Policy #:	2.15
Effective Date:	7/23/2015	Revision Date:	4/20/17 10/18/18

Purpose:

To provide guidance to serve individuals using WIOA funds who are employed. Career and training services may be provided to individuals who are underemployed.

Policy:

Underemployed individuals include:

Individuals employed less than full-time who are seeking full-time employment;
Individuals who are employed in a position that is inadequate with respect to their skills and training;

Individuals who are employed who meet the definition of a low-income individual in WIOA sec. 3(36); and

Individuals who are employed, but whose current job's earnings are not sufficient compared to their previous job's earnings from their previous employment.

Individuals who are underemployed and meet the definition of a low-income individual may receive career and training services under the Adult program on a priority basis. Individuals who meet the definition of an individual with a barrier to employment (see WIOA sec. 3(24)) who are underemployed may also be served in the Adult program; however, unless they are a recipient of public assistance, a low-income individual, or are basic skills deficient, they are not eligible for service on a priority basis. Individuals who were determined eligible for the Dislocated Worker program who are determined to be underemployed, may still be considered eligible to receive services under the Dislocated Worker program.

WIOA funds may be used to serve individuals already employed as follows:

Customized Training

Contracts may be made with specific employers to train employees who need the training in order to retain their jobs, who meet the WIOA eligibility and are not at a self-sufficient wage as defined by the SCWDB (See Policy 2.1-Criteria for Registration and 2.10-Customized Training)

The employer must match at least half of the cost of training and have the intent to continue employing the individual. A form of commitment of employers to raise wages after training needs to be established.

- **Individualized Training-**
 - A customer who is employed but not at a self-sufficient wage as defined by the SCWDB, can document he/she needs training to obtain or retain employment that will lead to self-sufficiency, and meets the

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

criteria for eligibility under WIOA. One hundred percent of the costs will be paid by WIOA.

The SCWDB has adopted 200% of the lower living standard income level as a level of self-sufficiency for Adults and Dislocated Workers in Workforce Area 8. Priority will be given to those who are at or below the lower living standard, recipients of public assistance or basic skills deficient.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Career Readiness Certification (State or National)	Policy #:	2.16
Effective Date:	7/1/2015	Revision Date:	

Purpose:

To encourage employment enhancement and certification for career readiness.

Policy:

Tests for Career Readiness Certificates (CRC) may be administered by Southside Virginia Community College (SVCC) staff or Workforce Center staff who have been trained by SVCC. SVCC shall score and issue the appropriate certificates for all customers.

Forms for career readiness testing will be made available to the Workforce Centers. Customers who are self-pay for the assessment will be referred to SVCC for testing, scoring and issuance of the appropriate certificate. The customer will be responsible for the payment of fees for this service.

Workforce Centers may refer WIOA customers to SVCC for testing, scoring and issuance of the appropriate certificate or the trained Center staff person may administer the assessment and SVCC will score and issue the certificate. The WIOA Case Manager will authorize payment for this service out of WIOA funds based on the negotiated fee structure.

Enhancement training will be offered by SVCC or online through Work Keys for those customers who do not receive certification, and for those customers that wish to increase the level of their certification.

WIOA funds may be used to pay for one additional testing, scoring and issuance of certification for those customers who did not receive certification the first time. WIOA funds cannot be used after the second testing to pay for additional testing. The customer must be receiving training to be eligible for this service.

WIOA funds may be used to pay for a second testing, scoring and issuance of certification for those customers who possess a certificate and wish to increase their level of certification. WIOA funds cannot be used after the second testing to pay for additional testing. The customer must be receiving training to be eligible for this service.

The Virginia Board of Workforce Development requires attainment of the Career Readiness Certificates for Adult, Dislocated Worker and Out of School Youth programs. Attainment levels are negotiated annually.

Signature of Executive Director: _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Follow-Up	Policy #:	2.17
Effective Date:	7/1/2015	Revision Date:	10/20/2016

Purpose:

WIOA requires that follow up services must be made available to adults and dislocated workers for up to 12 months following the first day of employment and/or case closure. The goals of follow-up services are to ensure job retention, wage gains and career progress for participants who have been referred to unsubsidized employment.

Policy:

Services:

Follow-up services include, but are not limited to:

- Additional career planning;
- Counseling regarding the workplace;
- Contact with the participant's employer, including assistance with work-related problems that may arise;
- Peer support groups;
- Information about additional educational opportunities; and
- Referral to supportive services available in the community.

Scope and Intensity:

- **Must be based on the needs of the individual participant with a minimum contact of**
 - Once each month of the first quarter following closure;
 - Once during the first month of the 2nd quarter following closure;
 - Once during the 3rd quarter following closure;
 - Once during the first month of the 4th quarter following closure.
- **Supportive services are allowed with proper documentation of need prior to the client's first paycheck.**

Participant must be provided services for job search, career planning, job retention or workplace counseling if he/she is no longer employed.

Documentation:

- **Follow-up case notes should be maintained in the Virginia Workforce Connection (VWC) and in the file to document all contacts and efforts made on behalf of the customer during the twelve-month follow-up period.**
- **Should verify the complete status of the client, including place of employment, wage, hours per week, and information regarding any lapses in employment.**

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- **Should assess if additional services are needed.**
- **Must update follow-up screen in the VWC quarterly to document that follow-up has occurred.**
- **Document diligent effort to secure/upgrade employment for the client when he/she is unemployed or has received a cut in hours or wages during the twelve months following exit.**
- **While unemployment insurance wage records are the primary source of information in the calculation of performance rates, supplemental data is acceptable for calculating performance rates when wage data is unavailable (with the exception of average earnings measure). Supplemental data must be recorded quarterly after exit in VWC using the Follow Up section.**
- **In order to ensure the accuracy of customer employment status at the time of closure and during the follow-up periods, the SCWDB requires that one of the following supplemental sources be used to verify employment:**
 - **employment verification signed by employer**
 - **documentation of phone conversation with employer indicating period of time client was employed ,name and title of employer representative who verified information, date and time of conversation.**
(reasonable efforts to obtain the signed employment verification must be documented in case notes before using telephone documentation)
 - **copy of paycheck stub covering the period required by the applicable measure. .**
 - **Self-attestation can be used only as a last resort if case manager had documented unsuccessful other attempts.**
 - **For those self- employed, self-attestation covering the period of time required is permitted.**
- **Data entry of performance information should occur in VWC at the time performance verifications are obtained.**
- **Follow-up screens must be updated quarterly to indicate that follow-up has occurred.**
- **Performance data must be entered in VWC as supplemental data will be used to determine performance outcomes.**

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Documentation of Unlikely to Return Status	Policy #:	2.18
Effective Date:	7/1/2015	Revision Date:	

Purpose:

It is the policy of the SCWDB to consider an individual's previous occupation(s) and skills in relation to the individual's current career goal(s). The Workforce Center Specialist has the responsibility for determining if an individual is unlikely to return to a previous occupation or industry prior to enrollment in a training program.

Policy:

Procedure:

- During the intake process, the Workforce Center Specialist will consider the client's present job skills and past work experience to make the determination of unlikely to return using the following criteria.
 - Does the client have job skills that are associated with demand occupation?
- This would be based on the Occupations in Demand listing and the client's past job experience.
- A client having marketable skills/experience would be required to search for employment within the range of occupations requiring these skills. The search would be for not less than 30 calendar days before or after receiving WIOA Career Services. The job searches must be well documented and a copy placed in the client's file.
- At the end of the job search period, if no job has been secured, the client may be considered for further training. This training should be in line, if possible, with their past skills/experience and enable them to move into a demand occupation.
- The Labor Market Analysis Statement Form must be completed by the Workforce Center Specialist, signed by the client and filed in the client's folder.
- The client has a choice of training providers (provided their vendor of choice is on the state vendor's list) but must be in a demand occupation.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Fraud Policy	Policy #:	2.19
Effective Date:	7/1/2015	Revision Date:	

Purpose:

To outline customer responsibilities for documentation, review and verification of eligibility or payment through WIOA.

Policy:

Each client registered for WIOA will be required to sign a statement outlining his/her responsibilities for documentation, review and verification of information provided for WIOA eligibility and/or payment of services.

In the event of a suspected intentional act by the client to forge, change or defraud documentation that results in eligibility or payment, reimbursement will be withheld during the investigation. Every effort should be made to carry out the investigation in approximately 30 business days. After the investigation, if fraud is found, the client will be terminated from the program and an incident report will be sent to the WIOA Division of the Virginia Community College System for possible prosecution.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Transitional Jobs	Policy #:	2.20
Effective Date:	7/1/2015	Revision Date:	10/20/16

Purpose:

WIOA defines transitional jobs as time-limited work experiences that are subsidized and are in the public, private, or nonprofit sectors for individuals with barriers to employment who are chronically unemployed or have an inconsistent work history. Transitional jobs should be combined with comprehensive employment and supportive services as described in the customer's individual employment plan. Transitional jobs are designed to establish a work history, demonstrate success in the workplace, and develop the skills that lead to entry into and retention in unsubsidized employment. When employers have internship programs that pay for a portion or 100% of the cost of the training, these should be utilized.

Policy:

Program Standards:

The One Stop Contractor shall ensure that transitional jobs are appropriate based on the needs identified by the individual's comprehensive assessment. Transitional jobs should be based on a service strategy identified in the Individual Employment Plan and combined with other services. These services will be of limited duration based on the needs of the individual participant.

Because transitional jobs are pre-vocational services, the relationship between the WIOA participant and the employer that volunteers to provide the site for the activity for the WIOA program does not constitute an employee/employer relationship. WIOA payments to participants in transitional jobs are incentives for progress and attendance not compensation for work performed for an employer.

The Board will monitor and evaluate the effectiveness of transitional jobs in responding to the needs of participants and the results of participant outcomes.

Program Design:

The SCWDB approves the local One Stop Service Provider to offer and provide work based learning activities in the form of transitional jobs to eligible adult customers.

Any customer receiving this service will receive an hourly rate of pay comparable to minimum wage and will participate no more than 20 hours per week for a maximum of 6 months. A maximum of 10% of funds allocated to the area may be used for transitional jobs.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Customers participating in this activity are not employees of the program operator or the work site. Therefore, no withholdings will be taken from the customer's compensation to participate in this service. Worker Compensation Insurance will be provided by the Program Service Provider.

Process:

- Contractor must provide Worker's Compensation Insurance.
- Determine eligibility for the adult program.
- Determine need for program and service.
- Once eligibility is determined, customer will need to be assessed academically and for career interests and aptitudes.
- The Individual Employment Plan should be completed with the customer. The plan should reflect the customer is in need of a work based learning/intensive service based on the assessment results. The Plan should also outline the specific duration of the short-term process and indicate how this activity is going to help the customer move from the work experience to employment. Whenever possible, participants should be placed in a work experience that complements their field of vocational study and/or career interests and aptitudes.
- The Plan should show the customer has no skills or a mismatch of skills and how the customer will be learning a new skill and experience for work experiences/internship activities.
- The client file must contain Labor Market Information on the occupation the customer had previous experience in and show the decline in the industry. Labor Market Information must also be provided on the occupation the customer is being referred to for a work experience to show that jobs are in demand.
- Once the determination of need for this service has been established, the Case Manager will consult with the Business Services Specialist to check the availability of work sites for the customer.
- Once the worksite availability has been established, the client must participate in orientation by Workforce Center staff and must interview for the service with the business. The business may accept or reject the client.
- After the business has accepted the client to perform the transitional job at his/her site, all paperwork must be completed for the customer and business with copies given to all parties which includes a worksite manual, worksite agreement, training plan and participant manual.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Coordination with Other Grants	Policy #:	2.21
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The Workforce Innovation and Opportunity Act limits the use of WIOA funds for training services to instances when there is no or insufficient grant assistance from other sources available to pay for those costs. WIOA funds cannot be used to pay for the costs of training when Pell Grant funds or grant assistance from other sources are available to pay those costs. WIOA funds will be used for activities that are in addition to those already available in the local area. Services are to be made available to eligible adults and dislocated workers who are unable to obtain grant assistance from other sources. The One-Stop Operator/Youth Case Manager will have knowledge of additional resources and will coordinate WIOA services with those of other partner programs.

Policy:

WIOA funding for training is limited to participants who:

- Are unable to obtain grant assistance from other sources to pay the cost of training; OR
- Require assistance beyond that available under grant assistance from other sources to pay the costs of such training.

Coordination of funds available to pay for training is described below:

- Program Operators must coordinate funds that are available for training and make funding arrangements with One Stop Partners and other entities so that WIOA is the payer of last resort.
- Training providers must consider the availability of other sources of grants to pay for training costs such as Welfare to Work, State-funded training funds and Federal Pell Grants, so that WIOA funds supplement other sources of training grants.
- A WIOA participant may enroll in WIOA-funded training while his/her application for a Pell Grant is pending as long as the One Stop Operator/Youth Case Manager has made arrangements with the training provider and the WIOA participant regarding allocation of the Pell Grant, if it is subsequently awarded. In that case, the training provider must reimburse the One-Stop Operator/Youth Program the WIOA funds used to underwrite the training for the amount the Pell Grant covers. Reimbursement is not required from the portion of Pell Grant assistance disbursed to the WIOA participant for education-related expenses.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Veteran Priority of Service & Dishonorable Discharge Services	Policy #:	2.22
Effective Date:	7/1/2015	Revision Date:	1/24/2020

Purpose:

The Jobs for Veterans Act calls for priority of service for ‘covered persons’ for DOL-funded programs. A ‘covered person,’ as defined below, is entitled to and must be given priority of service over non-covered persons for the receipt of employment, training and placement services if the person otherwise meets the eligibility requirements of a particular program. Covered individuals (as defined below) are given priority over non-veterans for all available services if they otherwise meet the eligibility requirements of a particular program.

Policy:

The term ‘covered person’ includes anyone who is a veteran and also includes spouses of veterans that fall into the following categories:

- any veteran who died of a service-connected disability;
- any member of the armed forces on active duty who, at the time of the spouse’s application, is listed in one or more of the categories and has been so listed for more than 90 days:
 - missing in action,
 - captured in the line of duty by a hostile force, or
 - forcibly detained or interned in the line of duty by a foreign government or power;
- any veteran who has a total disability resulting from a service-connected disability; or
- any veteran who died while a disability so evaluated was in existence. For programs that have existing statutory priorities that target certain groups, such as WIOA Adult and Youth programs, veterans’ priority is applied to covered persons that meet program criteria. Thus, an individual meeting both the veterans and the program requirements would receive the highest priority for WIOA Youth or Adult services over a non-covered person satisfying the program requirements.

For programs that do not target specific groups, such as WIOA Dislocated Worker program, the veterans priority is given to those that first meet the program’s existing eligibility requirements. Thus, a covered person would receive a priority for services over a non-covered individual only after satisfying the Dislocated Worker program’s eligibility requirements. In cases where targeting of a particular group is discretionary and not required by law, such as in the case of local policy, veterans priority takes precedence over the discretionary priority group.

Local programs are not required to change their allocations among services to reserve funds for veterans, but are required to ensure that eligible veteran

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workers (covered persons) are given priority over non-veterans for available services.

Services to Applicants with a Dishonorable Discharge from the Armed Forces
Persons who have received a “dishonorable discharge” can be served by WIOA Title I funds and are considered a “non-covered person” in regard to veteran priority of service. However, it does not preclude them from receiving WIOA services in accordance with local eligibility policies.

Adult Programs

All service provided under the adult funding stream will provide for priority of service to covered persons. Currently, WIOA requires that priority of services funded with Title I must be given to recipients of public assistance, other low-income individuals and those persons who are basic skills deficient in the local area. The application of the veterans’ priority, however, requires that veterans’ priority as well as priority for public assistance recipients, low-income and basic skills deficient individuals will be considered. Thus, the following sequence of services priority will apply:

1. First priority will be provided to recipients of public assistance, low-income and basic skills deficient individuals in the local area who are covered persons with respect to veterans’ priority;
2. Second priority will be provided to recipients of public assistance, low-income and basic skills deficient individuals in the local area;
3. Third priority will be covered persons (these would be covered persons not considered to be recipients of public assistance, low-income and basic skills deficient individuals);
4. Other local discretionary target population groups.

Dislocated Worker Programs

All services provided under the dislocated worker funding stream will provide for priority of service to covered persons. The WIOA and its accompanying regulations hold that dislocated worker funds are not subject to the same requirement as adult funds with regard to priority of service to public assistance recipients or low-income individuals. However, the veterans’ priority must be considered. Thus, covered individuals will receive priority over non-covered individuals for the provisions of services funded under the dislocated worker funding stream.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Limited English Proficiency	Policy #:	2.23
Effective Date:	10/18/18	Revision Date:	

Purpose:

National origin discrimination includes Limited English Proficiency (LEP) under 29 CFR Section 38.9 and specifically states that in providing any aid, benefit, service or training under a WIOA Title I-financially assisted program or activity, a recipient must not, directly or through contractual, licensing, or other arrangements, discriminate on the basis of national origin, including LEP. Additionally, 29 CFR Section 38.41 added “LEP and preferred language” to the list of categories of information that each recipient must record about each applicant, registrant, eligible applicant/registant, participant and terminee.

Definitions:

For the purpose of this policy, the following definitions apply:

- 1) **Babel Notice**-A short notice included in a document or electronic medium (e.g. web site, “app”, email) in multiple languages informing the reader that the communication contains vital information and explaining how to access language services to have the contents of the communication provided in other languages (29 CFR Section 38.4[i]).
- 2) **Employment-related training**-Training that allows or enables an individual to obtain skills, abilities and/or knowledge that are designed to lead to employment (29 CFR Section 38.4[t]).
- 3) **LEP Individual**-An individual whose primary language for communication is not English and who has a limited ability to read, speak, write, and/or understand English. An LEP individual may be competent in English for certain types of communication (e.g., speaking or understanding), but still be LEP for other purposes (e.g., reading or writing) (29 CFR Section 38.4 [hh]).
- 4) **LEP Plan**-A written language access plan which assists in ensuring that LEP individuals have meaningful access to WIOA Title I-financially assisted programs and activities (29 CFR Section 38.9 Appendix).
- 5) **Meaningful Access**-Language assistance that results in accurate, timely, and effective communication at no cost to the LEP individual. For LEP individuals, meaningful access denotes access that is not significantly restricted, delayed or inferior as compared to programs or activities provided to English proficient individuals.

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6) Primary Language-An individual's primary language is the language in which an individual most effectively communicates, as identified by the individual.

Policy:

1) Reasonable Steps to Ensure Meaningful Access for LEP Individuals- Reasonable steps are required to ensure that LEP individuals have meaningful access to programs and activities. Reasonable steps may include, but are not limited to the following:

- Conducting an assessment of an LEP individual to determine their language assistance needs.
- Providing oral interpretation or written translation of both hard-copy and electronic materials, in the appropriate non-English languages, to LEP individuals.
- Conducting outreach to LEP communities to improve service delivery in needed languages.

Reasonable steps for providing meaningful access to training programs may include, but are not limited to the following:

- Written training materials in appropriate non-English languages by written translation, or by oral interpretation, or summarization.
- Oral training content in appropriate non-English languages through in-person or telephone translation.

Every program delivery method, whether it be in person, electronic, or by phone, conveys in the appropriate language how an LEP individual may effectively learn about, participate in, and/or access any aid, benefit, service, or training available to them. As new methods for the delivery of information or assistance are developed, reasonable steps will be taken to ensure that LEP individuals remain able to learn about, participate in, and/or access any aid, benefit, service or training available to them.

2) Language Assistance Services-Language assistance generally comes in two forms: oral interpretation or written translation. Language assistance services are free of charge and provided in a timely manner. An LEP individual must be given adequate notice about the existence of interpretation and translation services and that they are available free of charge. Language assistance is considered timely when it is provided at a place and time that ensures equal access and avoids the delay or denial of any aid, benefit, service or training.

3) Interpreter Services-An LEP individual is not required to provide their own interpreter nor shall the Area rely on an LEP individual's minor child or adult family or friend to interpret or facilitate communication, except for the following circumstances:

- In emergency situations while awaiting a qualified interpreter.
- When the information conveyed is of minimal importance to the services to be provided.

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- **When an LEP individual specifically requests that an accompanying adult provide language assistance and they agree to provide assistance to the individual. A record of the individual's decision to use their own interpreter must be made and retained.**

Where precise, complete and accurate interpretations or translation of information and/or testimony are critical for adjudicatory or legal reasons, the Area can provide an independent interpreter, even if the LEP individual wants to use their own interpreter as well. This may also be applied if the competency of the interpreter requested by the LEP individual is not established.

4) Vital Information-For languages spoken by a significant portion of the population eligible to be served or likely to be encountered, vital information must be translated in written materials into these languages. The translations will be readily available upon request in hard copy or electronically. Written training materials offered or used within employment-related training programs are excluded from these translation requirements, but reasonable steps must be taken to ensure meaningful access for LEP individuals.

For languages not spoken by a significant portion of the population eligible to be service or likely to be encountered, the Area will take reasonable steps to meet the particular language needs of the LEP individuals who seek to learn about, participate in, and/or access the aid, benefit, service or training that is available to them. Vital information may be conveyed orally.

A Babel Notice must be included in all communication of vital information indicating that language assistance is available, including letters or decisions, in hard-copy or electronic formats. Once the Area becomes aware of the non-English preferred language of an LEP beneficiary, participant, or applicant for aid, benefit, service or training, the Area must convey vital information in that language.

5) Developing a Written LEP Plan-In order to ensure that reasonable steps are taken to allow meaningful access for LEP individuals, a written LEP plan will be developed, implemented and reviewed regularly. The plan provides staff with a roadmap for establishing and documenting compliance with nondiscrimination obligations and ensures that LEP individuals receive the necessary assistance to participate in the programs and activities of the Area. The following elements will provide a clear framework that will ensure meaningful access to LEP individuals:

- **The process to determine the language needs of individuals who may seek to participate in programs and activities (self-assessment or needs-assessment) that receive financial assistance under WIOA Title I.**
- **The results of assessments to identify the LEP populations to be served)**
- **Timelines for implementing the LEP plan.**

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- All language services to be provided to LEP individuals.
- The manner in which LEP individuals will be advised of available services.
- Steps LEP individuals should take to request language assistance.
- The manner in which staff will provide language assistance services.
- What steps must be taken to implement the LEP plan(e.g., creating or modifying policy documents, employee manuals, employee training materials, posters, web sites, outreach materials, contracts, and electronic and information technologies, applications or adaptations).
- The manner in which staff will be trained.
- Steps that will be taken to ensure quality control, including monitoring implementation, establishing a complaint process, timely addressing of complaints, and obtaining feedback from stakeholders and employees
- How to document the provision of language services.
- Schedule for revising the LEP plan.
- Individual(s) assigned to oversee implementation of the LEP plan.
- Allocation of resources to implement the LEP plan.

The steps of a successful plan are not fixed and must be tailored to the specific programs and elements of the area. Over time, the LEP plan will need to be revised to reflect the following:

- New recommendations and guidance.
- Changes in operations as well as experiences and lessons learned.
- Changing demographics.
- Stakeholder and beneficiary feedback.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Accessibility and Reasonable Accommodation	Policy #:	2.24
Effective Date:	10/18/18	Revision Date:	

Purpose:

As set forth in the regulations (29 CRF Part 38) implementing Section 188 of WIOA, American Job Center (AJC) system entities have an obligation to make reasonable modifications to policies, practices, and procedures to ensure equal opportunity for individuals with disabilities, unless it can be demonstrated that making modifications would fundamentally alter the nature of the service, program or activity. Further, any entity that receives financial assistance under Title I of WIOA is a recipient obligated to ensure nondiscrimination and equal opportunity. This includes state and local Workforce Development Boards, AJC operators, service providers, vendors and subrecipients. This policy is directed toward ensuring that the programs, services (including services using technology and the Internet), and facilities of the AJC delivery system are accessible to all.

Policy:

individual is to be excluded from participation in, denied benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any program or activity, funded in whole or in part under WIOA, because of race, color, religion, sex, national origin, disability, political affiliation or belief. This policy reflects all aspects of the AJC's program, including: registration and orientation; initial screening, assessment, testing; and service delivery.

1) Prohibition on the Basis of Disability-The SCWDB is obligated to provide physical and programmatic accessibility and reasonable accommodation/modification in regard to the WIOA program, as required by Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, and Section 188 of WIOA.

- AJCs are required to provide reasonable accommodation for individuals with disabilities to ensure equal access and opportunity. The term "reasonable accommodation" is defined in the current Section 188 regulations as:
 - Modifications or adjustments to an application/registration process that enables a qualified applicant/registrant with a disability to be considered for the aid, benefits, services,

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training or employment that the qualified applicant/registrant desires; or

- Modifications or adjustments that enable a qualified individual with a disability to perform the essential functions of a job, or receive aid, benefits, services, or training equal to that provided to qualified individuals without disabilities; or
 - Modifications or adjustments that enable a qualified individual with a disability to enjoy the same benefits and privileges of the aid, benefits, services, training or employment as are enjoyed by other similarly situated qualified individuals without disabilities.
- The ADA defines a “disability” with respect to an individual to mean a physical or mental impairment that substantially limits one or more of the major life activities of such individual, a record of such impairment, or being regarded as having such an impairment.

2) **WIOA Program Accessibility**-When providing aid, benefits, or services under a Title I financially assisted program or activity, a recipient must not directly or through contractual, licensing or other arrangements, on the grounds of a disability:

- Deny a qualified individual with a disability the opportunity to participate in or benefit from the aid, benefits, services or training;
- Afford a qualified individual with a disability an opportunity to participate in or benefit from the aid, benefits, services or training that is not equal to that afforded to others;
- Provide a qualified individual with a disability with an aid, benefit, service or training that is not as effective in affording equal opportunity to obtain the same result, to gain the same benefit, or to reach the same level of achievement as that provided to others;
- Provide different, segregated or separate aid, benefits, services or training to individuals with disabilities, or to any class of individuals with disabilities, unless such action is necessary to provide qualified individuals with disabilities with aid, benefits, services or training that are as effective as those provided to others;
- Deny a qualified individual with a disability an opportunity to participate as a member of planning or advisory boards; or
- Otherwise limit a qualified individual with a disability in employment of any right, privilege, advantage or opportunity enjoyed by others receiving any aid, benefit, service or training.

Separate or different programs or services for individuals with disabilities are not prohibited under the ADA; however, individuals with disabilities cannot be forced to participate in these programs instead of WIOA Title I financially assisted programs or activities.

3) **Reasonable Accommodations**-With regard to aid, benefit, services, training and employment, the Area must provide reasonable accommodation to qualified

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individuals with disabilities who are applicants, registrants, eligible applicants/registrants, participants, employees, or applicants for employment unless providing the accommodation would cause undue hardship. Definition of the terms “reasonable accommodation” and “undue hardship” are specified in 29 CFR § 38.4. A reasonable accommodation is a change in the way the program is administered that enables an individual with a disability to receive benefits, services and training equal to those provided to individuals without disabilities. There are many forms of reasonable accommodations and the individual with the disability and the AJC should work together to identify the most effective reasonable accommodation for each individual through informal discussions known as the “interactive process” whereby the individual is provided the opportunity to articulate their needs and the AJC is able to determine how best to meet those needs. AJC staff shall not automatically refer job seekers with disabilities to the Department for Aging and Rehabilitative Services (DARS). Referrals must be based on whether the individual would benefit from such services, in addition to other programs and services available in the AJC. An individual with a disability is not required to use the term “reasonable accommodation” when seeking assistance.

4) Auxiliary Aids, Services and Assistive Technology-To afford individuals with disabilities an equal opportunity to participate in and enjoy the benefits of the WIOA Title I program or activity, a recipient must furnish appropriate auxiliary aids or services where necessary. In determining what type of auxiliary aid or service is appropriate and necessary, recipients must give primary consideration to the requests of the individual with a disability. Primary consideration means honoring the choice unless the agency can demonstrate that another equally effective means of communication is available, or that using the means chosen would result in a fundamental alternation in the service, program, activity, or undue financial and administrative burdens. A list of auxiliary aids and services can be found in 29 CFR § 38.4 and includes:

- Qualified interpreters, note-takers, transcription services, written materials, telephone handset amplifiers, assistive listening services, telephones compatible with hearing aids, closed caption decoders, open and closed captioning, telecommunications devices for deaf persons (TDD/TTY), videotext displays, or other effective means of making aurally delivered materials available to individuals with hearing impairments;
- Acquisition or modification of equipment or devices; and
- Other similar services and actions.

A surcharge may not be placed on a particular individual with a disability, or any group of individuals with disabilities, to cover the costs of measures associated with providing auxiliary aids, services, or assistive technology, that are required to provide that individual or group with the nondiscriminatory treatment required by WIOA Title I. This obligation does not require a recipient of WIOA Title I funds to provide personal devices, such as wheelchairs; prescribed

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devices such as prescription eyeglasses or hearing aids; or readers for personal use or study.

5) **Facility Accessibility**-In order to be ready and welcoming when persons with disabilities seek services, advance preparatory actions must be taken. Specific information on ADA accessibility guidelines for buildings and facilities is provided at <http://www.access-board.gov/guidelines-and-standards/buildings-and-sites/about-the-ada-standards/ada-standards>. Some areas to particularly note include:

- Signage
- Accessible Counters
- Automatic and Power-Assisted Doors
- Accessible Restrooms
- Accessible Workstations
- Obstacle Free Entrance
- Space in Waiting Room for People using Wheelchairs
- 32-inch Clear Opening on Door
- 36-inch Clear Path of Travel

ADA is an on-going process, however, all of the ADA technical requirements must be applied during the design, construction and alteration of buildings and facilities.

6) **Completion of Section 504 Self-Evaluation Form**-Under WIOA, recipients that receive Federal financial assistance must meet accessibility obligations under Section 504 of the Rehabilitation Act of 1973, and the implementing regulations at 29 CFR 38. This includes physical accessibility and programmatic accessibility. The SCWDB, AJC Operator, service providers and subrecipients of funds must complete the "Section 504 Self-Evaluation" form and submit it to the State EO Officer.

7) **Confidentiality**-Medical information obtained in connection with the reasonable accommodation process must be kept confidential. This means that all medical information that is obtained in connection with the request for a reasonable accommodation must be kept in a separate file from the individual's case file or personnel file. This includes the fact that a reasonable accommodation has been requested or approved and information about functional limitations. These confidentiality guidelines must be followed by all staff involved in the process.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Business Services	Policy #: 2. 25	
Effective Date:	October 17, 2019	Revision Date:	

Purpose: The South Central Workforce Development Board (SCWDB) is responsible for ensuring the coordination of business service delivery to businesses in the local area according to the local plan and the combined state plan. Coordinated efforts are focused on creating a streamlined business process and preventing duplicative services and contacts to businesses.

Policy: The SCWDB will convene business teams, as needed, to coordinate in an orderly manner, the following activities:

- Building relationships with business and business-focused organizations;
- Integrating and streamlining business services;
- Providing informational resources to businesses;
- Assisting businesses in the recruiting process;
- Assisting businesses with training needs;
- Providing customized services to businesses.

Per Virginia’s WIOA Combined State Plan, each local Workforce Development Area is required to have a Business Service Team (BST) whose responsibility is to drive sector strategies within a locality, provide local employers with human resources solutions, and identify methods to shrink regional skills gaps. BSTs are cross-agency, cross-programmatic groups, comprised of representatives of each of the core partner agencies, economic development, and other partners as appropriate. These teams are designed to ensure a comprehensive array of services are provided to businesses.

The SCWDB utilizes the “single point of contact” methodology to maximize the opportunities for businesses to create a relationship with the Virginia Career Works-South Central Region Centers. Each partner in the Center has statutory requirements for creating relationships with businesses and assisting clients receiving services through their funding in finding employment opportunities. The single point of contact is not intended to be “one individual” responsible for all relationships in the South Central Region through which all businesses must go to access workforce services. However, all members of the BSTs are expected to coordinate and target business relationships with the single point of contact.

Requirements for Business Services:

The following minimum standards are required and must be evident and practiced in the delivery of services to business customers.

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- 1. The SCWDB BST Agreement shall identify the role of each partner and reflect the strategic goals of the area for business services as identified in the local plan. The agreement must include:
 - a. Standardized timeframes to respond to business inquiries and subsequent contact, in order to deliver specialized and collaborative solutions to meet the needs of the business customer (alternate options must be provided if the area cannot provide an affirmative response to a business's initial request).**
 - b. Protocol for delivery of business services.**
 - c. A business satisfaction tool to assist in demonstrating continuous improvement.****
- 2. BSTs must have clear, convenient, integrated and easily accessible content and outreach materials (including web-based content) for business customers that provides:
 - a. A list of all integrated business products and services (for all partner agencies but not listed by agency); and**
 - b. Contact information for a business to contact through the identified "single point of contact" protocol.****
- 3. BSTs will document they are working and making progress towards shared goals.**
- 4. BSTs must brand all outreach materials according to the Virginia Career Works brand standards and other required EO and funding taglines and be approved by the SCWDB Executive Director prior to distribution.**
- 5. BST members must be referred for membership on the team by his/her supervisor and must be available to participate in meetings, job fairs, hiring events and other BST activities, including trainings. Team members must be knowledgeable and able to connect businesses to the full range of partner services, not just the program/agency he/she represents.**
- 6. All BST members must sign an agreement to abide by the SCWDB BST policies and procedures.**
- 7. BST members must adhere to confidentiality and ethics as it relates to business needs and partner statutory requirements.**
- 8. The notion of shared business client ownership and accountability is institutionalized across agencies and programs. Partners must buy into the notion that working collectively expands the breadth of services offered to business which is a positive for all.**
- 9. Business outreach representatives (across partners) share intelligence and coordinate and strategize follow-up.**
- 10. BST members regularly participate in local and state provided training, including cross-training.**
- 11. Coordinated business services represent "the whole" when in front of business and follow-up includes bringing in the partners/resources to address the solution.**

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Reporting:

The SCWDB and all programs serving business customers are required to track and report the number, type, size and services provided to businesses. Using a “report template”, each WIOA partner will collect the business data information and will send the information to the Virginia Employment Commission (VEC) on a quarterly basis. The VEC will aggregate and compile the information and report it to the Virginia Board of Workforce Development annually. Information collected includes:

- **Number of Businesses Served**
 - Tracked by establishment
- **Type of Business**
 - Tracked using the North American Industry Classification System (NAICS) Codes
- **Size of Business (for each location)**
 - Small (0-249 employees)
 - Other (250+ employees)
- **Types of Services Provided**
 - Assessments
 - Recruitment Services (job descriptions, job postings, candidate screenings, job fairs, recruiting events, hiring events, targeted candidate recruitment)
 - Labor Market Information
 - Consulting Services
 - Tax Incentives and Credits
 - Layoff Aversion
 - Registered Apprenticeship
 - Training (pre-employment training, on the job training, incumbent worker training, training in employment issues, etc.)

Evaluation of Business Services

Business Services will be evaluated annually using the following metrics:

- A shared vision and strategy for business services that is included in the BST Agreement and signed by all active partners.
- A single point of contact protocol documented in the BST Agreement.
- A Written Communication Plan included in the BST Agreement.
 - A unified approach and message that is focused on the workforce system instead of a program specific approach.
 - An outreach plan based on sector strategies identified in the local plan.
 - Identification of locally available resources and channels for outreach and how they will be used.
 - The role of each partner in performing outreach activities.

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- **A method for determining how effective outreach efforts have been locally.**
- **A description of additional partnerships to assist in communications and outreach to businesses including business roundtables, business advisory councils, or existing business visitation programs through economic development entities.**
- **Standardized timeframes to respond to business inquiries and subsequent contact, in order to deliver specialized and collaborative solutions to meet business customer needs.**
- **A policy or procedure shall be established to ensure partner staff with the Centers are aware of the procedure for business service referrals.**
- **A method to collect Business Services satisfaction data based on criteria and tool provided by the State WIOA Title I Administrator.**
- **The website must include Standard Point of Contact protocol including updated contact information for businesses and list of business services available.**

Signature of SCWDB Executive Director: _____ Date: _____

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Title:	Definitions Related to Dislocated Worker Eligibility	Policy #:	2.26
Effective Date:	1/24/2020	Revision Date:	10/22/2020

Purpose: To provide guidance for services to Dislocated Workers under Workforce Innovation and Opportunity Act (WIOA) Title I.

Policy:

1. General Announcement of a Plant Closing: A “general announcement” of a plant closing under WIOA sec. 3(15)(B)(iii) is a process by which a plant, facility, or enterprise makes the general public aware of its permanent closure. The announcement should include a projected closure date and should be verifiable. Documentation includes but is not limited to:

- Newspaper or other publication indicating the facility, plant or enterprise is closing.
- Television story or other media with a story about the closure.
- Signage on the business indicating the closure of the facility.
- Chamber of Commerce or other business organization information on the closure.
- WARN Notice

2. Unemployment as a Result of General Economic Conditions or Natural Disasters: One or more of the following conditions may be used as documentation that self-employed individuals, including family members and farm workers or ranch hands, are unemployed because of general economic conditions in the community in which the individual resides or because of natural disasters causing the following:

- Failure of on or more businesses to which the applicant supplied a substantial proportion of products or services.
- Failure of one or more businesses from which the applicant obtained a substantial proportion of products or services.
- Substantial layoff(s) from, or permanent closure(s) of, one or more plants or facilities that support a significant portion of the State or local economy.

The documentation of the business failure itself may include, but is not limited to, one or more of the following:

- Issuance of a notice of foreclosure or intent to foreclose.
- Documentation that the farm, ranch or business has failed to return a profit during the preceding 12 months.
- Entry of self-employed individual into bankruptcy proceedings.
- Inability to obtain capital necessary to continue operations.
- Inability to make loans secured by tangible business assets.
- Debt to asset ratio of 50% or more.
- Other events indicative of the likely insolvency of the farm, ranch or business.

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3. Unlikely to Return to Previous Industry or Occupation: To determine “unlikely to return” to previous industry or occupation, the applicant must fall into **ONE** of the following:

- The applicant worked in a declining industry or occupation as documented on a list developed by the state or local area.
- There are limited job orders in the area at the time of application.
- The applicant does not have the necessary skills for re-entry into his/her former occupation.
- The applicant has applied for positions, consistent with unemployment insurance qualification requirements, in their previous industry/occupation within the six months prior to application and has not been offered suitable employment.
- The applicant is unable to return to previous industry/occupation because of an injury, disability, or other physical limitation as documented by a medical professional.
- The applicant is unlikely to return to the previous industry or occupation due to a change in family circumstances that require higher income.
- Automation of previous job.
- Significant variance to normal seasonal employment patterns, including loss of wages due to a natural disaster.
- An applicant who is an “Unemployment Insurance Claimant” and who has been profiled as “likely to exhaust benefits” is to be considered as “unlikely to return”, such as an individual who has been required to attend a Reemployment Services and Eligibility Assessments (RESEA) meeting.
- Veterans transitioning from the military with a discharge that is anything other than dishonorable, are automatically considered “unlikely to return.”
- An applicant who has been furloughed or temporarily laid off for a minimum of 12 weeks with no return to work date provided by the employer.

4. Providing Services to Dislocated Workers Who Are Currently Underemployed:

- An individual who is dislocated from a full-time job, who has found part-time employment may still be considered a dislocated worker. For example, an individual who was working full-time in manufacturing who was laid off, but took a part-time job working in fast food to pay their bills may be considered a dislocated worker.
- These cases should be judged on a case-by-case basis to determine if the individual’s previous employment prior to being laid off constitutes their being underemployed. Factors to consider may include former compensation level or education and training required for the previous employment compared to current employment.

Signature of SCWDB Executive Director: _____ Date: _____

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Title:	Selective Service Registration Requirements-Males Over Age of 26 Who Failed to Register with Selective Service System	Policy #:	2.27
Effective Date:	07/23/2020	Revision Date:	

Purpose: To clarify the implementation of the Selective Service registration requirements of the Workforce Innovation and Opportunity Act (WIOA) of 2014 §189 (h), codified at 20 CFR 683.225, and the Military Selective Service Act (50 U.S.C. App. 453), codified at 32 CFR Part 1605.

Definitions:

1) Status Information Letter-A letter issued by the Selective Service System stating the facts regarding an individual's registration status with the Selective Service System. It states whether or not the individual is registered with the Selective Service and whether or not the individual was required to register with Selective Service or if they were exempt from the registration requirement.

Guidance:

All programs and services established by or receiving assistance under Title I of WIOA must comply with Selective Service registration requirements. In order to participate in a program established by or receiving assistance under Title I of WIOA, all males born on or after January 1, 1960, must present documentation showing compliance with the Selective Service registration requirement.

Acceptable documentation to determine a person's Selective Service registration status include:

- Selective Service Acknowledgement Letter;
- DD Form 214-Report of Separation;
- Screen printout of the Selective Service Verification site;
 - www.sss.gov/RegVer/wfVerification.apsx
 - For males already registered, this website can be used to confirm Selective Service number as well as the date of registration, by entering a last name, social security number and date of birth;
- Selective Service Registration Card;
- Selective Service Verification Form (Form 3A); and/or
- Stamped Post Office Receipt of Registration.

1) Registration Requirements for Males 26 Years and Over

Before enrolling in WIOA Title I-funded services, all males 26 years of age and older must provide:

- Documentation to support compliance with the Selective Service registration requirement;
- Documentation showing that they were not required to register; OR

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- If they were required to but did not register, documentation establishing that their failure to register was not knowing and willful.

The service provider who enrolls persons in WIOA Title I funded activities may require that males 26 years and older who fail to comply with Selective Service registration requirement request a Status Information Letter before making a determination that the failure to register was knowing and willful. Alternatively, an entity may initiate its process to determine if the failure to register was knowing and willful without first having the potential program participant request the Status Information Letter. The second option may be preferable for entities that have time limits for enrolling participants (e.g., persons recently released from incarceration).

2) Requesting a Status Information Letter

A person may obtain a Status Information Letter from Selective Service if he (1) believes he was not required to register; or (2) did register but cannot provide any of the documentation listed above. The Status Information Letter can be accessed at www.sss.gov/Portals/0/PDFs/Status.pdf

The person will need to describe in detail circumstances that prevented him from registering (e.g., hospitalization, institutionalization, incarceration, and/or military service from age 18 through 25) and provide documentation of those circumstances. The documentation must be specific as to the dates of the circumstances.

If the Status Information Letter indicates the individual was not required to register for the Selective Service, then he is eligible to enroll in services authorized and funded by Title I of WIOA. **If the Status Information Letter indicates the person was required to but did not register, he is presumed disqualified from participation in WIOA Title I-funded activities and services until it can be determined that his failure was not knowing and willful.** All costs associated with grant-funded services provided to non-eligible persons may be disallowed.

3) Determining Knowing and Willful Failure to Register

If the person was required but failed to register with Selective Service as determined by the Status Information Letter or by his own acknowledgement, the person may only receive services if he can establish by a preponderance of evidence that the failure to register was not knowing and willful. **The contractor that enrolls persons in WIOA Title I-funded activities is responsible for evaluating the evidence presented by the person and determining whether the failure to register was a knowing and willful failure.**

Evidence presented may include the person's written explanation and supporting documentation of his circumstances at the time of the required registration and the reasons for failure to register. The person should be encouraged to offer as much evidence and in as much detail as possible to

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support his case. The following are examples of documentation that may be of assistance in making a determination in these cases:

- **Service in Armed Forces-Evidence that a man has served honorably in the U. S. Armed Forces such as DD Form 214 or his Honorable Discharge Certificate. Such documents may be considered sufficient evidence that his failure to register was not willful or knowing.**
- **Third Party Affidavits-Affidavits from parents, teachers, employers, doctors, etc., concerning reasons for not registering may also be helpful to grantees in making determinations in cases regarding willful and knowing failure to register.**

To establish consistency regarding the implementation of the requirement, grantees should consider the following questions when determining whether a failure to register is knowing and willful.

In determining whether the failure was “knowing”, the grantees should consider:

- **Was the person aware of the requirement to register?**
- **If the person knew about the requirement, was he misinformed about the applicability of the requirement to him (e.g., veterans who were discharged before their 26th birthdays were occasionally told they did not need to register)?**
- **On what date did the person first learn he was required to register?**
- **Where did the person live when he was between the ages of 18 and 26?**
- **Does the Status Information Letter indicate that Selective Service sent letters to the person at that address and did not receive a response?**

In determining whether the failure was “willful” the grantees should consider:

- **Was the failure to register done deliberately and intentionally?**
- **Did the person have the mental capacity to choose whether to register and decided not to register?**
- **What actions, if any, did the person take when he learned of the requirement to register?**

If any grantee determines it was not a knowing and willful failure, and the person is otherwise eligible, services may be provided. If the grantees determine that evidence shows the person’s failure to register was knowing and willful, WIOA services must be denied. Persons denied services must be advised of available WIOA grievance procedures. Grantees must keep documentation related to evidence presented in determinations related to Selective Service.

Signature of Executive Director: _____ Date: _____

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Title:	Use of E-Verify for Right-to-Work Status	Policy #:	2.28
Effective Date:	07/23/2020	Revision Date:	

Purpose:

To provide guidance on the use of E-Verify to document an applicant's Right-to-Work under General Program Eligibility for the Workforce Innovation and Opportunity Act (WIOA) Title I Program.

Definitions:

E-Verify is an internet-based system that compares information from an employee's Form I-9 Employment Eligibility Verification to data from the U. S. Department of Homeland Security and Social Security Administration records to confirm employment eligibility.

Policy:

One of the three (3) general eligibility requirements under the WIOA Title I Adult, Dislocated Worker or Youth programs is United States citizenship or to be eligible to work in the United States. E-Verify can be used to confirm employment eligibility.

Process for accessing E-Verify:

- 1) Access the E-Verify site (<https://www.e-verify.gov/>). Select myE-Verify on the top bar. Scroll to Use Self Check. Select Visit myE-Verify. Select "I Agree". Select "Create an account".
- 2) Have the applicant complete the process and when the process is complete, a screen will appear with the following message: "Self-Check-Work Authorization Confirmed".
- 3) Print this page and add the following: (retain copy for participant's file)

Customer's Name (Printed)
Date of Birth
Customer's Signature
Date Completed
Staff Representative Name
Staff Representative Signature

The process may not work for all applicants. If this process is not used or is not successful, then traditional documentation procedures must be followed (excluding self-attestation).

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Citizenship or Right-to-Work Verification Sources

- Baptismal Certificate (if place of birth is shown)
- Birth Certificate
- DD-214 (if place of birth is shown)
- SNAP Award Letter from Department of Social Services
- Hospital Record of Birth (if place of birth is shown)
- Concealed Hand Gun Permit Along with Valid State Issued Photo I.D.
- Naturalization Certificate
- Public Assistance Records
- Social Security Card (work eligible) with Valid Photo I.D.
- Native American Tribal Document
- E-Verify-<https://www.e-verify.gov/mye-verify/self-check>
- U. S. Citizenship and Immigration Services (USCIS) Forms
(www.uscis.gov; from Home page click “Verification” in the left column, then click “Acceptable Documents” on the left column. The Acceptable Documents link lists the documents by name and includes illustrations of each document).
 - USCIS verification requires forms from List A, or a combination from List B and C. See complete list below:
 - Forms from List A
 - ✓ U. S. Passport or U. S. Passport Card, Permanent Resident Card, or Alien Registration Card (I-551).
 - ✓ Foreign Passport that contains a temporary I-551 stamp of Temporary I-551 printed notation on a Machine-Readable Immigrant Visa (MRIV).
 - ✓ Employment Authorization Document (Card) that contains a photograph (Form I-766)
 - ✓ Foreign Passport with Form I-94 or Form I-94A, Arrive/Depart Report bearing the same name as the passport and containing an endorsement of the alien’s non-immigrant status that authorizes such alien to work for a specific employer incident to this status. This document may only be used if the period of endorsement has not yet expired and the proposed employment has not yet expired and the proposed employment does not conflict with any restrictions or limitations listed on Form I-94 or Form I-94A, Arrival/Departure Report. Note: Some persons, who present a List A document, such as certain non-immigrant students and exchange visitors, must also present additional documentation in order to prove their work authorization in the United State.
 - Forms from List B
 - ✓ Driver’s license or identification (ID) card issued by a State or outlying possession of the United States,

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provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address.

- ✓ ID Card issued by federal, state, or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address.
- ✓ School ID card with a photograph.
- ✓ Voter's Registration Card
- ✓ U. S. Military Card or Draft Record.
- ✓ Military Dependent's ID Card
- ✓ U. S. Coast Guard Merchant Marines Document (MMD) Card.
- ✓ Native American Tribal Document
- ✓ Driver's License issued by a Canadian government authority.
- ✓ Under age of 18, who are unable to present a document listed above:
 - School record or report card
 - Clinic, doctor, or hospital record
 - Day-care or nursery school record
 - For minors under the age of 18 and certain persons with disabilities who are unable to produce any of the listed documents, special notations may be used in place of a List B document.
- Forms from List C
 - ✓ U. S. Social Security account number card that is restricted A card that includes any of the following restrictive wording is NOT an acceptable List C document:
 - Not Valid for Employment
 - Valid for Work Only with INS Authorization
 - Valid for Work Only with DHS Authorization
 - ✓ Certification of Birth Abroad issued by the U. S. Department of State (Form FS-1350).
 - ✓ Consular Report of Birth Abroad (Form FS-240)
 - ✓ Certification of Report of Birth issued by the U. S. Department of State (Form FS 1350)
 - ✓ Original or certified copy of a birth certificate issued by a state, county, municipal authority, or outlying possession of the United States bearing an official seal.
 - ✓ Native American Tribal Document
 - ✓ U. S. Citizen ID Card (Form I-179)
 - ✓ Identification Card for Use of Resident Citizen in the United States (Form I-197).

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- ✓ Employment authorization document issued by DHS. Some employment authorization documents issued by DHS include but are not limited to the Form I-94 issued to an asylee or work-authorized non-immigrant (e.g., H-1B non-immigrant) because of their immigration status, the unexpired Reentry Permit (Form I-327), the Certification of U. S. Citizenship (Form N-560 or N-561), or the Certificate of Naturalization (Form N-550 or N-570). A Form I-797 issued to a conditional resident may be an acceptable List C document in combination with his or her expired Form I-551 (Green Card).

✓

Signature of SCWDB Executive Director: _____ Date: _____

Title:	Supplemental Data	Policy #:	2.29
Effective Date:	07/23/2020	Revision Date:	

Purpose: The purpose of this guidance is to provide information to the Workforce Innovation and Opportunity Act (WIOA) system on the use of supplemental data in conjunction with Unemployment Insurance Wage Records and to provide additional information in the calculation of WIOA Title I Adult, Dislocated Workers, and Youth performance measures. The WIOA performance and reporting requirements went into effect on July 1, 2016.

BACKGROUND:

Wage records are the primary source for tracking the employment related measures for adults, dislocated workers, and youth. For purposes of wage record detail files, Virginia unemployment insurance wage records and Wage Record Interchange System (WRIS) are considered wage files. In order for a wage match to occur, the participant must provide his/her Social Security Number (SSN) to the WIOA Title I service provider.

There are limitations on the use of wage records when a participant does not disclose his/her Social Security Number or when the individual's employment (for example self-employed) is not covered by state or federal unemployment insurance programs. In these two cases, supplemental data can be used to collect data on employment and earnings.

Policy:

Supplemental data can be used to collect information on the employment and earnings of individuals for performance reporting in the 2nd and 4th quarters after exit.

When using supplemental data:

- Staff must collect employment status in the 2nd and 4th quarter after exit, and the quarterly earnings in the 2nd quarter after exit;
- Staff must use only one method to verify employment and wages within a quarter, per participant, for data validity purposes;
- Outcomes will count negatively in the performance indicators if the agency opts not to use supplemental information and the individual is not included in WRIS;
- Staff must ensure that wages reported are earned within the quarter.

Supplemental Wage Information Methods and Procedures

The acceptable forms of supplemental wage information relevant to the employment-related indicators for core programs include, but are not limited to, the following:

Tax documents, payroll and employer records dated in the quarter for which you are verifying data, such as:

- Copies of quarterly tax payment forms to the Internal Revenue Service, such as a Form 941 (Employer's Quarterly Tax Return);
- Copies of pay stubs (minimum of two pay stubs);
- Signed letter or other information from employer on company letterhead attesting to an individual's employment status and earnings;
- Follow-up survey (self-reported) from program participants;
- Record of income earned from commission in sales or other similar positions;
- Telephone verification form with information verified by the employer and signed by the case manager, if appropriate to the program;
- Automated database systems for data matching with other partners with whom data-sharing agreements exist;
- Current records of eligibility for programs with income-based eligibility (e.g., Temporary Assistance for Needy Families (TANF) or Supplemental Nutrition Assistance Program (SNAP)); or
- Self-employment worksheets signed and attested to by program participants. *

***Note: Earnings (or net profit) can be calculated by subtracting total expenses from gross receipts. Not all self-employed individuals receive a salary, but the funds that represent income over expenses that are available to be invested back into the business are considered earnings.**

Time Period for Collecting Supplemental Wage Information

The need for supplemental wage information for some individuals may not become apparent until it is determined that no match is found in Unemployment Insurance (UI) wage records.

When the provider determines that UI wage data will not be available for individuals (such as those participants who did not provide a SSN, or for participants not covered by UI wage data), the providers do not need to wait two quarters after the close of the second and fourth full quarters after exit to formally document that UI wage data are not available and begin collection of supplemental wage information. The optimal time to collect supplemental wage information is as soon as possible following the close of the second and fourth full quarters after exit. Participants should be reminded, before program exit, that they or their employers may be contacted to obtain confirmation of employment status and earnings, and to explain the expected timeframe for those follow-up contacts. While this reminder is

applicable to all participants, it is especially important for those participants for whom UI wage data are not available.

Timeline for Commencing Data Collection for Employment-Related Performance Indicator		
Performance Indicator	UI Wage Data Becomes Available	Collection of Supplemental Wage Information May Begin
Employment Rate-Second Quarter after Exit (including Title I Youth)	During third or fourth after exit	Beginning the third quarter after exit
Employment Rate –Fourth Quarter after Exit (including Title I Youth)	During the fifth or sixth quarter after exit (first or second quarter, next program year)	Beginning the fifth quarter after exit
Median Earnings – Second Quarter after Exit	During third or fourth quarter after exit	Beginning the third quarter after exit
Credential Attainment – within 1 Year after Exit**	During the second or third quarter after exit	Beginning second quarter after exit

**** Note:** For the credential rate: Credential attainment can occur while the participant is active in the program or within 1 year (365 days) from the date of exit. Employment related to the credential rate is based on the quarters after exit (Q1, Q2, Q3, and Q4).

After the two-quarter lag concludes, if the information is still not available, wages will be converted to \$0 permanently, and employment status will be reported as not employed. Wages reported as \$0 will indicate that the participant was unemployed in the second quarter after exit, counting as a negative outcome for purposes of calculating levels of performance for the Employment Rate Second Quarter after Exit indicator and excluding that participant from the calculations of levels of performance for the Median Earnings Second Quarter after Exit indicator. Likewise, if neither a wage record match nor supplemental wage information is available following a two-quarter lag after the end of the fourth quarter following program exit, then the participant will be reported as unemployed in the fourth quarter after exit.

The timeframes when employment-related information must be reported are shown in the following table.

Deadlines for Timely Collection of Data for Employment-Related Performance Indicators

Exit Quarter	Report Rate – 2nd Quarter (including Title I Youth (by End Of Year	Report Rate – 4th Quarter (including Title I Youth) by End of:	Report Median Earnings by End of:	Report Credential Attainment (Employment) – within 1 Year after Exit by End of:
First Quarter (Q1) (July 1 – September 30)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (four quarters later)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (four quarters later)
Second Quarter (Q2) (October 1 – December 31)	Q2, Next Program Year (four quarters later)	Q4, Next Program Year (four quarters later)	Q2, Next Program Year (four quarters later)	Q4, Next Program Year (four quarters later)
Third Quarter (Q3) (January 1 – March 31)	Q3, Next Program Year (four quarters later)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (four quarters later)	Q1, Next Program Year (four quarters later)
Fourth Quarter (4) April 1 – June 30)	Q4, Next Program Year (four quarters later)	Q2, Next Program Year (four quarters later)	Q4, Next Program Year (four quarters later)	Q2, Next Program Year (four quarters later)

To assist program staff conducting follow-up:

Summary of Supplemental Wage Information Follow-up Guidelines
1. Develop a method for identifying participants to contact for follow-up. Best practice tip: Have staff follow a uniform set of written procedures to collect data in a valid and reliable (i.e., accurate and repeatable) manner.
2. Ensure that the local area has a uniform way to conduct the follow-up.
3. Conduct follow-up as close to the reference period as possible.
4. Identify local resources available to conduct follow-up.
5. Implement procedures to improve the quantity and quality of participant responses. Best practice tip: Inform participants at program entry about the supplemental wage information follow-up process and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the participants’ whereabouts over time and employment information, if applicable.

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Performance Measure Type

Entered Employment Rate in the 2nd and 4th Quarters after Exit:

Wage detail files are the primary sources of information in the calculation of the entered employment rates and median earnings for the Adult and Dislocated Worker programs. However, other sources of information will be acceptable for calculating these measures when wage detail files are unavailable (e.g. uncovered employment, employment outside Virginia, incorrect or missing social security number, etc.). These sources include the same sources identified for quarterly wage data included above.

Regardless of the type of supplemental data obtained, the information is subject to monitoring, auditing and data validation.

Title I Youth Education and Employment Rates – 2nd and 4th Quarters after Exit - Wage detail files are also the primary sources of information in the calculation of the entered employment rates and median earnings for Youth programs.

However, other sources of information will be acceptable for calculating these measures when wage detail files are unavailable (e.g. uncovered employment, employment outside Virginia, incorrect or missing social security number, etc.). These sources include:

For the education and training component of this measure, verify for the 2nd and 4th quarters after exit:

- Enrollment in secondary education; or**
- Enrollment in postsecondary education; or**
- Enrollment in occupational skills training (including advanced training)**

Acceptable documentation for these items would be:

- 1. Cross-match with other agencies**
- 2. Apprenticeship verification**
- 3. Advanced training transcript or course enrollment documents**
- 4. Occupational skills training transcripts or course enrollment documents**
- 5. Transcripts**
- 6. Registration documents/forms**
- 7. Case notes that indicate the name of the training program, course enrollment(s), occupational title and dates of courses/training.**

Regardless of the type of supplemental data obtained, the information is subject to monitoring, auditing and data validation.

Median Earnings:

Under WIOA supplemental data can be used to obtain information of wage related measures. The wages collected in the second quarter must reflect

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earnings for the entire quarter. See Attachment A WIOA Wage Conversion Chart – this guide will assist in converting various wage and earning inputs to a quarterly wage as required by Participant Information Record Layout for the following PIRL data elements:

PIRL Element # 1703 – Wages 1st Quarter after Exit Quarter
PIRL Element # 1704 – Wages 2nd Quarter after Exit Quarter
PIRL Element # 1705 – Wages 3rd Quarter after Exit Quarter
PIRL Element # 1706 – Wages 4th Quarter after Exit Quarter

LWDAs, their service providers, and Virginia Community College System colleges (when providing participant services funded under WIOA Title I) should note that median earnings should reflect the earnings for the entire second quarter after exit.

Credentials:

Local Workforce Development Areas (LWDAs) have a number of sources that can be used to collect data needed to calculate the credential attainment standards. Credentials include the following:

1. Secondary School Diploma/or equivalency
2. AA or AS Diploma/Degree
3. BA or BS Diploma/Degree
4. Occupational Licensure
5. Occupational Certificate
6. Occupational Certification
7. Other Recognized Diploma, Degree, or Certificate

Recognized Credential Information is collected in the following PIRL Elements:

1800 – Type of Recognized Credential (WIOA)

1802 – Type of Recognized Credential #2 1804 – Type of Recognized Credential #3

The following items can be used to document credential attainment:

1. Actual evidence of the credential
2. The databases of the community college system or four-year state institutions (e.g. a computer printout documenting the award of the certification)
3. The database of private training providers (e.g. a computer printout documenting the awarding of the certification)
4. The databases of State licensing boards (e.g. a computer printout documenting the awarding of the certificate)

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5. **School districts (e.g. a computer printout documenting the awarding of the certificate)**
6. **Copy of the high school diploma (if the date of award is present)**
7. **Copy of results of General Educational Development (H.S. Diploma equivalency) examinations with passing scores or the GED certificate (with date of attainment)**
8. **Copy of high school transcript with date of graduation**
9. **School letter indicating date of high school graduation**
10. **Copy of graduation program, if participant's name is included along with date of graduation**
11. **In the event that none of the aforementioned sources can be obtained, an attestation from the former participant can be accepted that denotes that he/she has obtained a certification during the period(s) called for by the measure. This attestation preferably should be in writing from the participant, indicate the certification, the date it was received, the awarding authority's name and address and phone number, and must be signed by the participant. However, information obtained from telephone conversations is acceptable in the form of a Telephone Verification Form. This should be used as a last resort and other attempts should be documented prior to utilizing this method.**

For those who attained a high school diploma or the recognized equivalent, employment, or is enrolled in an education or training program leading to a postsecondary credential, the following are acceptable documentation sources:

1. **Copy of the high school diploma (if the date of award is present)**
2. **Copy of results of General Educational Development (H.S. Diploma equivalency) examinations with passing scores or the GED certificate (with date of attainment)**
3. **Copy of high school transcript with date of graduation**
4. **High School letter indicating date of graduation**
5. **Copy of graduation program, if participant's name is included along with date of graduation.**

The following are acceptable documentation sources for employment:

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- 1. A copy of at least two pay stub(s) covering the period(s) called for by the pertinent measure(s)**
- 2. An employer written statement or telephone conversation indicating that the individual was employed during the period(s) called for by the pertinent measure(s)**
- 3. In the event that neither of the aforementioned sources can be obtained, an attestation from the former participant can be accepted that denotes that (he/she) has been employed during the period(s) called for by the pertinent measure(s). This attestation preferably should be in writing, indicate the dates of employment and the employer's name and telephone number, and must be signed by the participant. However, information obtained from telephone conversations should be recorded using the Telephone/Document Inspection Verification form (included in Attachment G – Self-Certification and Telephone/Document Verification – Eligibility Guidance).**

The following are acceptable documentation for enrollment in an education or training program leading to a postsecondary credential:

- 1. Cross-match with other agencies**
- 2. Apprenticeship verification**
- 3. Advanced training transcript or course enrollment documents**
- 4. Occupational skills training transcripts or course enrollment documents**
- 5. Transcripts**
- 5. Registration documents/forms**
- 6. Telephone verification form verifying enrollment by education or training program provider and signed by the case manager.**

Regardless of the source used to collect the data, the information must be documented on the appropriate forms and is subject to monitoring, auditing, and data validation.

The Virginia Workforce Connection (VaWC) provides data fields where credentials/certificates/diploma can be captured for performance outcomes. Case managers should ensure that the supporting documentation is included in the participant file and the attainment status is updated in VaWC.

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A – WIOA WAGE CONVERSION CHART ATTACHMENT A

Wage Conversion Chart					
This is a guide to convert various wage and earnings inputs to a quarterly wage as required in PIRL data elements 1703, 1704, 1705, and 1706.					
Collect the hourly/weekly/bi-weekly/monthly/annual wages from the participant and enter that value in the appropriate cell. The example input values in bold must be replaced with the appropriate information collected from the participant to calculate the reportable quarterly wage.					
Convert Hourly Rate to Quarterly Wages					
Hourly Rate (\$xxx.xx/hour)		hours worked per week on average (xx.x)		13 weeks per quarter	Quarterly Wages
\$7.25	X	32.0	X	13	= \$3,016.00
Convert Weekly Wages to Quarterly Wages					
Weekly Wages (\$xxxxx.xx)		13 weeks per quarter			Quarterly Wages
\$290.00	X	13			= \$3,770.00
Convert Biweekly Wages to Quarterly Wages					
Biweekly Wages (\$xxxxx.xx)		6.5 biweekly pay periods per quarter			Quarterly Wages
\$580.00	X	6.5			= \$3,770.00
Convert Monthly Wages to Quarterly Wages					
Monthly Wages (\$xxxxx.xx)		3 months per quarter			Quarterly Wages
\$1,256.67	X	3			= \$3,770.01
Convert Annual Wages to Quarterly Wages					
Annual Wages (\$xxxxxx.xx)		4 quarters per year			Quarterly Wages
\$15,080.00	/	4			= \$3,770.00

Signature of SCWDB Executive Director: _____ Date: _____

Title:	Measurable Skill Gains (MSG)	Policy #:	2.30
Effective Date:	07/23/2020	Revision Date:	

Purpose: To provide Local Workforce Development Boards (LWDBs) and their service providers that receive Title I funds to serve adults, dislocated workers, and youth, with the requirements associated with the WIOA Title I Measurable Skill Gains performance indicator.

Definitions:

Measurable Skill Gains indicator is the percentage of participants who, during a program year, are in education or training programs that lead to a recognized post-secondary credential or employment and who are achieving measurable skill gains which is defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Measurable skill gains indicator measures progress and is not exit-based.

Participant

Adult and Dislocated Worker Program

For the WIOA Title I Adult and Dislocated Worker programs, a participant is a reportable individual who has received services other than the services described in 20 CFR 677.150 (a)(3). The individual must satisfy all applicable programmatic requirements related to eligibility determination.

As set forth in more detail in section 677.150, the following individuals are not participants:

- a. Individuals in an Adult Education and Family Literacy Act (AEFLA) program who have not completed at least 12 contact hours;
- b. Individuals who only use the self-service system; and
- c. Individuals who receive information-only services or activities, which provides readily available information that does not require an assessment by a staff member of the individual’s skills, education or career objectives.

Youth Program

For the WIOA Title I Youth program, a participant is a reportable individual who has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, the development of an individual service strategy, and received one of the 14 WIOA program elements:

- (2) **PROGRAM ELEMENTS**—In order to support the attainment of a secondary school diploma or its recognized equivalent, entry into postsecondary education, and career readiness for participants, the programs described in paragraph (1) shall provide elements consisting of—

A. tutoring, study skills training, instruction, evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential;

B. alternative secondary school services, or dropout recovery services, as appropriate;

C. paid and unpaid work experiences that have as a component academic and occupational education, which may include—

- (i) summer employment opportunities and other employment opportunities available throughout the school year;**
- (ii) pre-apprenticeship programs;**
- (iii) internships and job shadowing; and**
- (iv) on-the-job training opportunities;**

D. occupational skill training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in- demand industry sectors or occupations in the local area involved, if the local board determines that the programs meet the quality criteria described in section 123;

E. education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;

F. leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors, as appropriate;

G. supportive services;

H. adult mentoring for the period of participation and a subsequent period for a total of not less than 12 months;

I. follow-up services, for not less than 12 months after the completion of participation, as appropriate;

J. comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, as appropriate;

K. financial literacy education;

L. entrepreneurial skills training;

M. services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and

N. activities that help youth prepare for and transition to postsecondary education and training.

Reporting Period – for purposes of this policy, the reporting period is a Program Year (July 1 to June 30).

Policy:

Measurable Skill Gains are one of the WIOA Title I performance indicators. There are a number of different approaches to measuring the skill gains of an adult, dislocated worker, or youth participant. See the following options.

Documenting Progress for Types of Measurable Skill Gains:

- 1. Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary level – Programs may measure educational functioning level based on one of the following three criteria:**
 - a. States may compare the participant’s initial education functioning level, as measured by a pre-test, with the participant’s current educational functioning level, as measured by a post- test. Note: The approved pre- and post-tests must be selected from the list of tests the Secretary of Education determines to be suitable for use in the National Reporting System for Adult Education.**
 - b. States that offer adult high school programs that lead to a secondary school diploma or its recognized equivalent, may measure and report educational gain through the awarding of credits or Carnegie units; or**
 - c. States may report an education functioning level gain for participants who exit an education or training program below the postsecondary level and enroll in postsecondary education and training during the program year. A program below the postsecondary level applies to participants enrolled in a basic education program.**

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- 2. Documented attainment of a secondary school diploma or its recognized equivalent – Programs may document attainment of a secondary school diploma, or its recognized equivalent, if the participant obtains certification of attaining passing scores on all parts of a state-recognized high school equivalency test, or the completion of secondary studies, or an alternate diploma, including a high school or adult secondary school diploma.**
- 3. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the state unit's academic standards – For secondary education, this gain may be documented through receipt of a secondary transcript or report card for one semester showing that the participant is achieving the state unit's policies for academic standards. For postsecondary education, this gain must demonstrate a sufficient number of credit hours – which is at least 12 hours per semester or, for part-time students, a total of at least 12 hours over the course of two completed consecutive semesters during the program year – that shows a participant is achieving the state unit's academic standards (or the equivalent for other than credit hour programs). *Please note that clinicals or practicums that do not provide traditional academic credits but are considered as a component of counting towards an institution's definition of a full- or part-time student, should be followed. EX: if a student is taking 9 credit hours of classes and is taking a practicum that is considered by the institution towards the student's full-time status, then it should be counted the same towards their full-time status for the purposes of measureable skills gains.**
- 4. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training – Documentation for this gain may vary and programs should identify skills gains as appropriate, based upon the nature of services being provided, but progress reports must document substantive skill development that the participant has achieved. The gain may be documented by a satisfactory or better progress report from an employer or training provider. Progress reports may include training reports on milestones completed as the individual masters the required job skills, or steps to complete an OJT or apprenticeship program. Increases in pay resulting from newly acquired skills or increased performance also can be used to document progress.**
- 5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge-based exams – Documentation for this gain may include passage of a component exam in a Registered Apprenticeship program, employer-**

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required knowledge-based exam, satisfactory attainment of an element on an industry or occupational competency-based assessment, or other completion test necessary to obtain a credential.

Calculation Methodology:

Calculation includes the following participants:

The number of program participants during this reporting period who are in an education or training program that leads to a recognized secondary or postsecondary credential or employment and are achieving a measurable skill gain based on attainment of at least one type of gain, DIVIDED by the number of participants during the reporting period who are in an education or training program that leads to a recognized secondary or postsecondary credential or employment.

Participants who, during any point in the program year, are in an education or training program that leads to a recognized secondary or postsecondary credential or employment are included in the denominator. This includes participants who continue to receive services as well as those who have participated during the reporting period and have exited the program. Data for the denominator in this calculation is drawn from PIRL 1811: Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Credential or Employment.

The numerator is the number of program participants defined above who achieved at least one type of gain. A participant may have achieved more than one type of gain in a reporting period; however, only one gain per participant in a reporting period may be used to calculate success on the measureable skill gains indicator.

Operational Parameters:

All participants who, during a program year, are in an education or training program that leads to a recognized secondary or postsecondary credential or employment are counted in the calculation of this measure. Participants who exit for any of the reasons listed below are excluded from the measureable skill gains indicator:

- a. **Institutionalized**
- b. **Health/Medical**
- c. **Deceased**
- d. **National Guard/Reservists called to active duty**
- e. **Foster Care**

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The following participants in education and training programs are included:

- **Title I Adult and Dislocated Worker – All participants who are in a Title I Adult- or Dislocated Worker-funded training program are included in the measurable skills gains indicator (which includes funding a training program for a secondary school program equivalent). This includes all participants in work-based training.**
- **Title I Youth – All In-School Youth are included in the measurable skill gains indicator since they are attending secondary or postsecondary school. Only Out-of-School Youth who are in one of the following are included in the indicator:**
 - **the program element occupational skills training**
 - **secondary education during participation in the Title I Youth program**
 - **postsecondary education during participation in the Title I Youth program**
 - **Title II-funded adult education during participation in the Title I Youth program**
 - **The YouthBuild program during participation in the Title I Youth program**
 - **Job Corps during participation in the Title I Youth program**

Additional Operational Parameters:

- **Participants are only included in the denominator one time per reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given program year;**
- **A participant who exits from the program and re-enrolls in the program during the same program year and is in an education or training program will be in the indicator two times for that particular program year;**
- **The measurable skill gains indicator is different from the other indicators because it is not exit-based, meaning that a participant can achieve a measurable skill gain while still participating in a program; and**
- **Programs should not delay enrollment or services to participants until a new program year even if programs believe there is insufficient time for the participant to make any type of measurable skill gain by the end of that program year.**

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For performance accountability purposes, the measurable skill gains indicator calculated the number of participants who attain at least one type of gain during each period of participation within a given program year. Since this indicator is not exit-based, each unique program entry date (not exit date) triggers inclusion in the calculation. Participants will achieve a successful outcome if they attain one type of gain applicable to the core programs. All skills gains shall be recorded as they occur and must be documented.

ACTION REQUIRED:

All participants enrolled in an education or training program that leads to a recognized secondary or postsecondary credential or employment should have their progress assessed using the documentation and measurements as specified above.

Data Entry Requirements for Measurable Skill Gains in the Virginia Workforce Connection (VaWC)

The Measurable Skill Gain indicator requires that the WIOA Title I Adult, Dislocated Worker, or Youth participant:

- Must be a WIOA Title I program participant.
- Must be enrolled in an education or training program that leads to a recognized secondary or postsecondary credential or employment.
- Only one Measurable Skill Gains will be reported during a reporting period (Program Year), regardless of how many a participant attains during that reporting period.
- All Measurable Skill Gains must be documented (using the appropriate documentation sources as outlined in the Documenting Progress for Types of Measurable Skill Gains section of this document).
- If a participant has multiple periods of participation during a reporting period, the measurable skills gain will be counted in each period of participation.

Signature of SCWDB Executive Director: _____ Date: _____

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Title:	System of Record and Electronic Case Files	Policy #:	3.25
Effective Date:	December 1, 2020	Revision Date:	

Purpose: To provide Local Workforce Development Boards (LWDBs) and their service providers guidance regarding the uniform electronic documentation of participant records, required naming conventions for participant documents uploaded into the system of record, adding and removing of participant documents to the system, standards for case note quality, and timely data entry requirements.

Definitions:

- 1) **Virginia Workforce Connection (VaWC)** is the management system of record used for all data collection and reporting.

- 2) **The Participant Individual Record Layout (PIRL)** is a standard reporting format that contains the Workforce Innovation and Opportunity Act (WIOA) common data elements and is used to report participant characteristics to the United States Department of Labor (USDOL-ETA)

Policy:

- **System of Record**
The VaWC is the “System of Record” with regard to Federal reporting for local WIOA Title I programs (Youth, Adult, and Dislocated Worker) and other USDOL-ETA grant-funded programs in the Commonwealth of Virginia. Currently, the VaWC is used to capture information on enrollment, service delivery, and performance data. The required documentation used to verify program eligibility and support service provision must be maintained in the VaWc. A newly accessible feature in VaW, the electronic document imaging and storage system, will allow staff or local areas to facilitate the upload of supporting documentation and allow local areas to transition to paperless record keeping.

The use of electronic records will:

- Eliminate the need for storage areas and storage costs associated with paper files;
 - Save supply costs;
 - Provide for an easily accessible, single point of access for file review;
 - Reduce staff time accessing hard copy documentation;
 - Ensure more secure storage of sensitive information;
 - Eliminate lost or misfiled paper documents;
 - Improve the consistency of file documentation.
-
- **Electronic Case Files**
Beginning December 1, 2020, and moving forward, sub-grantees must record and document activities for all new participants enrolled in WIOA

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Title I (Youth, Adult, and Dislocated Worker) programs, and applicable discretionary grant programs, in the VaWC to ensure compliance with federal and state statutes, regulations, and policies.

The electronic records shall include the following in the appropriate section of the VaWC:

- Program applications;
- Eligibility determinations;
- Activity and service codes;
- Individualized Employment Plan (IEP) or Youth Individualized Service Strategy (ISS) utilizing the VaWC system generated planning module;
- Case notes;
- Case closure;
- Outcome (Exit) information;
- Follow-up;
- Documentation supporting eligibility, service delivery, and closure.

The electronic records will be made available to any staff from the USDOL-ETA, State auditor, or VCCS monitor and program staff who requires access to carry out their official duties. Information will be made available by granting access to the VaWC system or in paper format (if requested) after completing the system access form.

- **Timely Entry of Data and Documentation into the VaWC**
The VaWC serves as the basis for reporting to USDOL-ETA through the WIOA PIRL. Delays in data entry can adversely affect the quarterly and annual performance of the state and the local workforce areas, and result in inaccurate federal reports.

To address the impact of delayed data entry, **all transactions (eligibility, receipt of services, outcomes, exit, and contact with participants) must be entered into the VaWC within five (5) business days from the completion of the process.** For example, once the customer has been determined eligible and has received their first service, the participation information must be entered into VaWC within 5 business days. The Primary Indicators of Performance are based on the exit outcomes of these individuals. It is imperative that accurate information is entered into the States' data management system in a timely manner in order to generate appropriate reports at the State and Federal levels, as well as Local Area Reporting; (including documentation to support credentials or employment attainment).

LWDB Compliance with the 5-business day rule will be reviewed by the Local Monitors and instances of noncompliance will be included in the monitoring report as a finding.

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- **Documentation Uploads**

Starting December 1, 2020, and moving forward, all documentation for new program participants shall be uploaded into the VaWC to create electronic records. Document uploads shall be within the 5-business day timely data entry requirement. Documents may also be uploaded from the files of current active participants.

Local area staff will select the appropriate verification item, type, and document description from a drop down-menu for each document. Staff shall also “tag” uploaded documents with keywords, which will allow documents to be found using keyword search. To ensure consistency, local area staff shall follow the naming/tagging conventions outlined in Attachment A: WIOA Title I VaWC Document Naming Conventions of the Virginia Workforce Letter No. 20-07.

- **Case Notes**

Case notes add context to elements in the electronic case file that are not clearly evidenced, such as participant factors affecting eligibility, important details about services provided to customers, and to inform the reader about the customer’s progress, lack of progress and/or obstacles associated with the services and/or referrals provided. Case notes compliment entries made in VaWC, to provide further explanations of service provided. Therefore, all case notes must be keyed in VaWC.

Case notes do not take the place of entering data in the appropriate sections of VaWC. For example, a case manager should not enter service information (service codes, start, and end dates) in a Case Note rather than in the Create Activity section. Performance related information should be entered in the appropriate sections, such as Services, Measurable Skills Gains, Credential Attainment, and/or Follow-up sections.

Case notes are a planning tool and a source of documentation and information that can be used by case managers, supervisors, and monitors. WIOA files can be chosen for review by multiple entities such as the Virginia Board of Workforce Development (VBWD), the USDOL-ETA, Virginia Community College System (VCCS), and other organizations; therefore, accuracy and completeness in case notes are very important.

Case notes should tell the “who, what, where, when, and why” of the customer’s needs and services. Case notes describe the actions taken and the reasons behind those actions, along with the expected results. Consider the use of case notes as the means to tell a factual story of the customer. No opinions or comments of the case manager should be included. Anyone, including the customer, should be able to pick up the file and follow the story of what is happening with the customer.

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- **Medical/Disability Records**

Medical and disability related information, also known as protected health information (PHI) under the Health Insurance Portability and Accountability Act (HIPA) of 1996 must be kept confidential and separate from the VaWC electronic case record. Such information shall be kept in a paper file in a secure, locked location. A case note in VaWC shall contain a generic explanation of the information, how it is related to eligibility, employment, and/or training opportunities, and identify the secure location of the information. (i.e., “participant wants to be a mechanic, but needs to pursue other employment or training. See confidential file.” Or “individual meets local adult eligibility priority of service group. See confidential file.”)

- **Records Correction and Deleting Documents**

Records in the VaWC that contain errors must be corrected to ensure accurate reporting to USDOL-ETA. Requests for data correction shall first be submitted to the Local Area System Administrator for review and completion utilizing the approved data correction form from the WIOA Title I Administrator. Any corrections that cannot be completed by the Local Area System Administrator should be communicated to the State System Administrator for review. The State System Administrator shall review the validity of the correction and communicate the appropriate action or outcome to the Local Area System Administrator. Record corrections in third-party systems are the responsibility of the local area staff using those systems and are processed according to the local board’s policies or procedures manuals.

Only under limited circumstances will staff be allowed to delete documents from an applicant’s electronic file. The process of deleting a document will be performed by the Local Area System Administrator or State System Administrator. Program staff shall submit a request for the deletion along with the reason for the deletion. The State System Administrator reviews requests for deletion of documents and if determined appropriate will perform the deletion.

The WIOA Title I Administrator will work with the vendor of the VaWC software to ensure that participant documents that are stored in the system are appropriately deleted after the required retention period for he documents has expired.

- **Confidentiality of Data or Information and Required Release Forms**

Data or information acquired by an agency under a confidentiality agreement, to be used exclusively for statistical purposes, shall not be disclosed by an agency in identifiable form for any use other than an

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exclusively statistical purpose. The use of this information is prohibited except with the informed consent of the respondent. (Public Law 107-347 Title V Section 512 [b][1]). All providers will have a release information form signed and dated by the participant and the case manager. The form shall state that the participant's information may be used for reporting purposes because of federal regulations associated with the benefit of federal funds and that the participant's personal information will remain confidential. The release form will be uploaded into the participant's file in **VaWC** to validate that the participant agrees to the release of information for reporting purposes. The standardized form will also be made available by the LWDA staff and may be used as a stand-alone form or incorporated into other release forms used by the LWDA's.

- **Legal Status of Electronic Documents**

Electronic records submitted or maintained in accordance with procedures developed under this title, or electronic signatures or other forms of electronic authentication used in accordance with such procedures, shall not be denied legal effect, validity, or enforceability because such records are in electronic form.

Signature of SCWDB Executive Director: _____ Date: _____

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Title:	Criteria for Registration/5% Income Exception	Policy #:	3.1
Effective Date:	7/1/2015	Revision Date:	4/20/2017

Purpose: To provide eligibility guidance for the youth programs under the Workforce Innovation and Opportunity Act (WIOA).

Policy:

Eligibility determination includes the completion of a WIOA application, documentation of the information provided for the application, and determining if the individual who has applied meets the criteria established by the WIOA. These application forms, and all other participant forms, are standardized and are the responsibility of the Case Manager to maintain and enter into the Virginia Workforce Connection (VaWC).

Youth Eligibility Requirements

An individual who is not less than 14 and not more than 24 shall be eligible to participate in the WIOA Title I Youth Program if such individual:

- Meets General Eligibility, which consists of providing a verification source for each applicable category:
 - Citizenship or Eligible to Work
 - Selective Service Registrant (if applicable)

AND

For Out of School Youth meets the definition and provides a verification source for one or more of the following barrier categories:

- Not attending any school (as defined under State law);
- Not younger than age 16 or older than age 24; and
- One or more of the following:
 - A school dropout.
 - A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter.
 - A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is—
 - i. basic skills deficient; or
 - ii. an English language learner.
 - An individual who is subject to the juvenile or adult justice system.
 - A homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C 14043e-2(6))), a homeless child or youth (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2))), a runaway, in foster care or has aged out of the foster care system, a

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child eligible for assistance under section 477 of the Social Security Act (42 U.S. C. 677), or in an out of home placement.

- An individual who is pregnant or parenting.
- A youth who is an individual with a disability.

For In School Youth meets the definition and provides a verification source for one or more of the following barrier categories:

- Attending school (as defined by State law);
- Not younger than age 14 or (unless an individual with a disability who is attending school under State law) older than age 21;
- Low-income individual; and
- One or more of the following:
 - Basic skills deficient.
 - An English language learner.
 - An offender.
 - A homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C 14043e-2(6))), a homeless child or youth (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2))), a runaway, in foster care or has aged out of the foster care system, a child eligible for assistance under section 477 of the Social Security Act (42 U.S. C. 677), or in an out of home placement.
- Pregnant or parenting.
- A youth who is an individual with a disability.

OR

5% Income Exception

The 5% low-income exception under WIOA is calculated based on youth enrolled in a given program year who would ordinarily be required to meet the low-income criteria (all in-school youth and those out of school youth with a high school diploma/GED). No more than 5% of these eligible youth shall be enrolled.

Process for Monitoring: The case manager must request in writing the case for the income exception. The WIOA Youth Coordinator will take action on the request(s). If approved, those requests will be forwarded to the SCWDB Executive Director for action. The WIOA Youth Coordinator and Executive Director will document those youth enrolled as such against those youth enrolled who are subject to the income requirement and will monitor numbers and performance quarterly.

The SCWDB has not identified any additional barriers under youth who require additional assistance.

Signature of Executive Director: _____

Date: _____

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Title:	Supportive Services and Training Related Services	Policy #:	3.2
Effective Date:	7/12015	Revision Date:	10/20/2016 10/18/2018 10/17/19

Purpose:

To provide guidance on the provision of supportive services and training related services when it is necessary to enable eligible individuals to participate in training and follow up in WIOA Title I programs.

Policy:

Supportive services and training related services are:

- Available to qualified clients in WIOA Title I programs that are unable to obtain such services through other means.
- Not an entitlement and will be offered only on an as needed basis when documentation substantiates that need.
- To be used only when it is necessary to enable eligible individuals to participate in training and follow up services in WIOA Title I programs.
- May be continued up to twelve (12) months after case closure to enhance the client's ability for continued success in employment.
- Listed on the Cumulative Expenditures sheet and calculated as part of the client's cap total.
- Assessed every 30 days to establish continued need and will be documented in the client's file.
- Part of the total of the training cap therefore if the client has reached his/her cap, or there are insufficient funds remaining to support the service requested, then that service cannot be offered without an approved Training Cap Waiver Request.
- Determined individually according to the documentation of need and may be increased or decreased monthly.
- Property of the SCWDB in the cases of books, tools and equipment. The client must sign a consent form stating that if they stop attending training they will immediately return all items except clothing to their Local Youth Case Manager.

Training related services count towards the 40% training related expenditure requirement.

The Youth Contractor will establish in-house procedures on how they will assess and regulate supportive services and training related services. A copy of these procedures will be on file with the SCWDB Compliance Officer.

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In the event monitoring reveals payments or reimbursement for unauthorized purchases made by a client, arrangements shall be made to reimburse the SCWDB for those expenses in question.

Case Managers are responsible for determining the amount of supportive services and training related services given to each client based on individual need.

- **Approved training related services may include but are not limited to:**
 - **Transportation;**
 - **Pre-physicals;**
 - **Immunizations;**
 - **Uniforms;**
 - **Computers, which remain property of SCWDB if client drops out of the program (need must be documented and approved by WIOA Coordinator and Executive Director prior to purchase);**
 - **Professional pins;**
 - **Tools, and**
 - **Other supplies required for training and/or employment.**
- **Approved supportive services may include but are not limited to:**
 - **Childcare;**
 - **Eyeglasses;**
 - **One-time vehicle repair;**
 - **One-time rent payment.**
- **Prohibited services may include but are not limited to:**
 - **Purchase of vehicle.**
- **Documentation to be maintained in file: (A simple request from the client for these services is not sufficient).**
 - **Documents used to determine need may include income, household obligations necessary for persons to live and extenuating circumstances such as illness, accident, death, etc.**
 - **The SCWDB Supportive Services/Training Related Services Needs Assessment.**
 - **Signed statement validating that all alternative sources have been explored and they are either not available or exhausted, if permissible.**
 - **Attendance records or any proof of active/continuous participation in an employment or training activity.**

Covered Services:

- **Transportation**
 - **Customers will be reimbursed on a scale of \$0.35 per mile up to \$300.00 per month for participation in approved training programs. Waiver requests for an additional \$100.00 per month may be made to the Executive Director to cover extenuating circumstances. In addition, for job search activities and/or state board examinations, mileage will be reimbursed at the rate of \$0.35 per mile up to \$100.00**

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per month. These expenses are to be calculated as part of the client's cap total.

- Documentation:
 - Appropriately signed attendance records covering each day for which service is requested.
 - Signed affirmation that job search activities were performed or interviews held.
- **Out of Area Training**
 - Out of Area Training that requires overnight lodging must be approved on a case-by-case basis and the same criteria for other supportive services should be used to determine client need.
 - A client may be reimbursed for meals while out of the area for overnight training up to \$30 per day.
 - Documentation:
 - Original itemized receipt (not credit card receipts or statements)
 - Original attendance sheet with client and instructor signatures.
 - The cost of alcoholic beverages will not be reimbursed.
- **Relocation:**
 - Relocation is only offered when older youth have accepted positions that require them to move from their present residence. Three quotes must be obtained from moving van/trucking companies; the lowest bid will be honored.
 - Mileage, meals and lodging for customers will be handled as above (and only for the customer).
- **Needs Based Payments:**
 - Not available
- **Tools for Employment:**
 - Job related tools may be purchased only as a condition of employment. These tools will be a one-time only purchase not to exceed \$1500.00 after the following criteria have been met:
 - A signed document from the employer that these items are an absolute condition of employment.
 - There are no other provisions within the company to assist employees with the acquisition of tools.
 - The request for tools must be documented and approved by the Case Manager and WIOA Coordinator.
 - Client signs statement acknowledging that he/she is responsible for all maintenance, security and replacement of tools.
 - If client quits job or is fired prior to the end of follow-up, the tools shall be returned to the SCWDB.
- **Training Supplies:**
 - Training supplies are those that are used to assist qualified WIOA participants to successfully complete an approved training curriculum. The Case Manager has the discretion to offer these services once a documented statement of need has been established. Since these services are not an entitlement, they should be used only for training

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programs, including On the Job Training (OJT), that lead to a credential and subsequent job placement.

- Training Supplies may include but are not limited to:
 - Stethoscopes
 - Calculators
 - Specialty shoes
 - Required uniforms
 - Supplies
 - Training related tools
- Documentation:
 - A signed statement from the training provider that the supplies are required for the client to complete the training.
 - A statement of need from the Case Manager.
 - A signed form confirming attendance.
 - Original receipts, invoices etc., associated with the purchase of any item.
- Child Care: (Adopted 5-16-02, Revised 3-27-03, 1-22-04)
 - The costs of childcare services are to be negotiated between the client and their selected service provider for days the client is in a training/transitional job. The maximum amount allowed by this policy for childcare will not be disclosed to the client unless their negotiated price exceeds that amount. A contract (WIOA Contract for Child Care Services) between the client and the provider must be properly signed and a copy placed in the client's file. Childcare payments will be made directly to the childcare provider for those in an approved training program. Job search activities and interviews may be approved at the discretion of the Case Manager based on a statement of need. All other sources for day care must be exhausted before WIOA money may be used. If other sources only pay a portion, then WIOA may pay the remainder not to exceed the maximum amount approved. Listed below are the maximum allowable daily childcare charges.
 - Infants and Toddlers: Up to \$15.00 per day
 - Students: Up to \$12.00 per day
 - In the event that a child is kept less than 4 hours, the rate of reimbursement shall be \$2.50 per hour unless the institution charges for a full day, regardless of hours. This must be properly documented.
 - Documentation:
 - Appropriately signed attendance records for payment requested.
 - A signed contract with the childcare provider.
- Out of Area Job Search: (Revised 5-27-04) (Revised 1-26-06)
 - Out of area job reimbursements must be approved on a case-by-case basis and the same criteria for other supportive service should be used to determine client need. These reimbursements may be

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provided for out of school youth who have job interviews scheduled out of the area as follows:

- If the individual has to travel more than 100 (one-way) miles for the interview, it is considered out of area.
- The individual will be reimbursed mileage at the rate of up to \$0.25 per mile.
- A completed travel voucher must be submitted with request of payment.
- If an individual has to travel more than 2 1/2 hours (one-way) for an interview, mileage will be reimbursed as above and in addition, lodging and meals may occur.
- Meals may not exceed \$30.00 per day including tip (no alcohol).
- Lodging is at the discretion of the Case Manager and must be reasonable.
- Meals and lodging will only be paid when documented with receipts.
- Documentation:
 - Out of Area/Relocation Service Authorization form, receipts, travel vouchers.
- Relocation: (Revised 5-27-04)
 - Relocation is only offered when out of school youth have accepted positions that require them to move from their present residence. Three quotes must be obtained from moving van/trucking companies; the lowest bid will be honored.
 - Mileage, meals and lodging for customers will be handled as above (and only for the customer).
- Vehicle Repairs: (Adopted 7-21-2004)
 - Must be pre-approved by the Case Manager and WIOA Program Coordinator and the following conditions must be met before approval of the car repairs can be obtained:
 - Three (3) estimates are to be submitted for each requested repair. If unable to obtain the required estimates, then documentation must be attached as for the reason.
 - The repair must be deemed critical to the Participant's ability to continue their WIOA training.
 - The vehicle must be registered to the Participant and/or their spouse.
 - If the repair expense is granted, it can only be for a one-time repair, per qualified participant.
 - The one time repair will not exceed \$500.00. A waiver may be requested and approved by the WIOA Program Coordinator, with the amount not to exceed a maximum \$1000.00.
 - A copy of the DMV Title or Registration showing the Vehicle Identification Number (VIN) must be presented prior to approval of repair. The vendor performing the repair must submit the VIN of the repaired vehicle with their bill for payment.

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- The repairperson must agree, if necessary, to wait up to 45 days for processing of the payment.
- **Training Supplies: (Adopted 5-27-04)**
 - Training supplies are those that are used to assist qualified WIOA participants to successfully complete an approved training curriculum. The Case Manager has the discretion to offer these services once a documented statement of need has been established. Since these services are not an entitlement, they should be used only for training, including On the Job Training (OJT), that lead to a credential and subsequent job placement.
 - Training Supplies may include but are not limited to: Stethoscopes, calculators, specialty shoes, required uniforms, supplies, and training related tools.
 - Clients enrolled in a full time curriculum may be reimbursed at 100%.
 - These expenses are to be considered as part of the client's training cap.
 - Documentation:
 - A signed statement from the training provider that these supplies are required for the client to complete the training.
 - A statement of need from the Case Manager.
 - A signed form confirming attendance.
 - Original receipts, invoices etc., associated with the purchase of any item.
 - The client must sign a consent form stating that if they stop attending training, they will immediately return all items except clothing to the case manager.
- **Pre-Paid Vouchers**
 - The purpose of this policy is to clarify local procedures for providing pre-paid vouchers to youth participants needing emergency transportation assistance. This policy is meant to provide temporary assistance to participants. The pre-paid voucher can be utilized in instances where a participant has shown an inability to attend classes and/or training programs without immediate financial assistance. The ultimate goal is for the participant to be transitioned to the reimbursement of funds system of payment as quickly as possible.
 - Procedures
 - Prior approval to use a voucher for gasoline assistance must be received from the WIOA Program Coordinator. The emergency transportation supportive service must be documented in the participant's file and include the following:
 1. Justification for fuel assistance supportive services.
 2. Proof of non-availability of supportive services through other agencies.
 3. Budget worksheet to justify planned funding.
 4. Dollar amount and anticipated duration of planned funding.
 5. Signed WIOA Supportive Services Agreement (contractor and participant must sign).

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- 6. All other forms of monetary support must be shown to be exhausted prior to usage of this payment system.**
- 7. Case Managers must conduct a monthly needs assessment in order to determine that pre-paid funding (voucher) is still necessary.**
- 8. The Case Manager must document fully the participants' continued need of a pre-paid voucher rather than the regular reimbursement of funds.**
- 9. If documentation shows that the participant can continue classes and/or training programs without the issuance of a pre-paid voucher, then the Case Manager should begin using the regular reimbursement procedure.**
- 10. The youth contractor must follow the procurement law and obtain bids for fuel with as many vendors as possible within the participant's local area.**
- 11. The participant must use only those gas stations that have a signed agreement to accept the voucher for payment for the purchase of gasoline. The participating service station must agree to accept reimbursement from the contractor for the services rendered by the contractor within a specified amount of time.**
- 12. The voucher must be calculated at the current mileage rate of 0.35/mile up to \$125.00/month. The voucher may be written prior to the participant attending a school or training program, however there must be documentation attached verifying that the training was attended during the time of the issuance of the voucher. No further vouchers may be approved until prior documentation of the previous voucher has been received.**
- 13. If a participant is seeking transportation assistance in order to begin a new job, a voucher may be considered and approved by the WIOA Program Coordinator until such time as the participant receives their first paycheck. Documentation verifying that the participant actually attended work must be received and retained in the participant's case file.**
- 14. A copy of each approved voucher must be maintained in the participant's case file. Each case file must include the following:**
 - i. Signed and dated voucher to include the exact dollar amount of the services expected.**
 - ii. A gas station receipt showing the cost of the gasoline, amount disbursed and the initial or signature of the attendant.**
 - iii. A signed school/training agreement to include the signatures of the Case Manager and training site/ representatives.**
 - iv. A signed and verified school/training attendance sheet.**
 - v. Monthly budget worksheets to justify the need for continue voucher funding.**

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- vi. Verification of the number of miles traveled by the participant regarding the school/training assignment. Mileage calculation must be from the point of departure to the point of arrival.
- vii. The receipt from the vendor must contain the date of service.
- viii. The vendors' receipt must contain the make and model of the vehicle.
- ix. The mileage must be recorded on the receipt.
- x. The receipt must be reviewed and initialed by the Case Manager who authorized the voucher.
- xi. The participant must prove they have vehicle insurance.
- xii. The vehicle identification number must show registration to the participant.
- xiii. A signed letter of agreement with the participant indicating that should they not attend the scheduled school/training or employment assignment, they will reimburse the contractor for the allocated funds.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Training Cap	Policy #:	3.3
Effective Date:	7/1/2015	Revision Date:	7/20/2017 10/17/19

Purpose:

To set a limit for the amount of WIOA funds that can be expended for a customer.

Policy:

The \$8,500 cap may be used for training and supportive services at the discretion of local case managers based on assessment of individual needs. Supportive services are included in the cap. For those youth enrolled in training for Practical Nursing, Welding and Powerline Worker, the cap is \$10,000. The cap is \$12,000 for those enrolled in Registered Nursing programs.

A request for up to an additional \$1,000 may be submitted to the Executive Director and the Executive Committee with approval from the WIOA Program Coordinator using the Training Cap Waiver Request form.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Training Cap Waiver Requests	Policy #:	3.4
Effective Date:	7/1/2015	Revision Date:	7/20/2017

Purpose:

To provide guidance for the process of requesting additional training funds for a customer.

Policy:

The Executive Committee will hear waiver requests as follows:

- The requests must be submitted to the WIOA Coordinator using the SCWDB Waiver Request form and be in accordance with this policy.
- If approved by the WIOA Coordinator, the request is forwarded to the Executive Director of the SCWDB for inclusion on the SCWDB Executive Committee agenda.
- There will be no target population considerations for waivers – all requests will be heard on a case-by-case basis in the same manner.
- Waivers will be considered for an amount up to \$1,000.00 over the cap of \$8,500.00 or \$10,000 (nursing, welding or power line ITA) as appropriate. The maximum that a person may receive in WIOA funds within a 2-year period will be \$9,500.00 or \$11,000, as appropriate.
- In order to be considered for a waiver, the application must include documentation of satisfactory progress toward the participant achieving set goals.

Waivers will not be granted in the following instances:

- To any individual who has been in the program two years with no definitive end of training date or prospect of being hired.
- To any individual in training in an occupation in decline unless there is documentation supporting a job upon completion of training.
- To any individual who has already been granted one waiver within the 2-year time limit.
- To any individual not providing documentation showing no other funding source is available for training.

Waiver requests submitted correctly will be heard by the Executive Committee and a decision returned to the Contractor within 30 days.

Signature of SCWDB Executive Director _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Tools For Employment	Policy #:	3.5
Effective Date:	7/1/2015	Revision Date:	

Purpose:

To provide guidance for purchase of required tools for customers entering employment.

Policy:

Job related tools may be purchased only as a condition of employment. These tools will be a one-time only purchase not to exceed \$1500.00 after the following criteria have been met:

- A signed document from the employer that these items are an absolute condition of employment.
- Confirmation that there are no other provisions within the company to assist employees with the acquisition of tools.
- The request for tools must be documented and approved by the WIOA Coordinator or Youth Program Coordinator.

The client is responsible for all maintenance, security and replacement of tools.

All supportive service expenditures affect the training cap total. If the client has reached his/her cap, or there are insufficient funds to support the service requested, then the service cannot be offered without an approved Training Cap Waiver Request.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Training Supplies	Policy #:	3.6
Effective Date:	7/1/2015	Revision Date:	1/24/2020

Purpose:

To define training supplies as supportive services for WIOA customers.

Policy:

Training supplies are those that are used to assist qualified WIOA participants to successfully complete an approved training curriculum.

- The Case Manager has the discretion to offer these services once a documented statement of need has been established. Since WIOA services are not an entitlement, they should be used only for programs, including On the Job Training (OJT), that lead to a credential and subsequent job placement.

Training Supplies may include but are not limited to:

- Stethoscopes,
- Calculators,
- Specialty shoes,
- Required uniforms,
- School supplies, and
- Training related tools.

Consumable supplies (such as pens, pencils, paper, notebooks, printer supplies, etc.) up to \$100 per semester or program (if short-term) are allowed.

Clients enrolled in a full time curriculum may be reimbursed at 100%.

Clients enrolled in intensive services may be reimbursed at 50% with the remainder paid by the client.

These expenses are to be considered as part of the client's training cap.

Documentation:

- A signed statement from the training provider that these supplies are required for the client to complete the training.
- A statement of need from the Case Manager.
- A signed form confirming attendance.
- Original receipts, invoices etc., associated with the purchase of any item.
- The client must sign a consent form stating that if they stop attending training they will immediately return all items except clothing to the Contractor.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	On The Job Training	Policy #:	3.7
Effective Date:	7/1/2015	Revision Date:	10/22/2015 10/20/2016 10/22/2020

Purpose:

The term “on the job training: (OJT) means:

- training that is provided to a paid employee while engaged in productive work in a job;
- knowledge or skills training that is essential to the full and adequate performance of the job; and
- training that provides reimbursement to the employer for a certain percentage of the wage rate of the customer, or the extraordinary costs of providing the training and additional supervision related to the training.

Policy:

OJT contracts may be written for eligible clients when:

- the employed worker is not earning at or below 200% Lower Living Standard Income Level (LLSIL);
- the unemployed worker has total family income at or below poverty guidelines or 70% LLSIL.
- A need is determined for:
 - introduction of new technologies
 - introduction to new production or service procedures
 - upgrading to new jobs that require additional skills
 - workplace literacy or
 - other purposes identified by the SCWDB.
- The identified training needs of the customer are met according to the IEP.

Eligible Employers:

- May be in the public, private non-profit or private sector;
- Must have the personnel to provide adequate supervision and training;
- Must have a training plan signed by the employer that describe the skills to be learned and the responsibilities of the supervisor or trainer.
- Must provide the required minimum of the employee’s wages throughout the training.
- Must compensated these employees at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and skills. Such rates must be in accordance with section 6(a) (1) of the Fair Labor Standards Act of 1938 or the applicable state or local wage law.

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- **Must provide benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work;**
- **Must not have a history or pattern of failing to provide OJT customers 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;**
- **Must not have relocated from any location in the United States within 120 days, if the location resulted in any employee losing his or her job at the or original location;**
- **Must not use OJT assignments to displace regular employees, or to replace any employee on layoff.**

Reimbursement Rates:

- **If wage rate is at least \$9.00 per hour and the employer has less than 50 employees, the contract may be written to reimburse the employer up to 75% of the wage rate.**
- **If the wage rate is less than \$9.00 per hour and/or more than 50 employees, the contract may be written to reimburse the employer up to 50% of the wage rate.**
- **Contracts may only be written for full-time employee (working at least 30 hours per week with benefits.**
- **If employees work overtime, the reimbursement rate will be based on the base pay and will count towards the total hours of the contract, thus shortening the anticipated end date of the contract.**

Payments to employers:

- **Are deemed to be compensation for the extraordinary training costs associated with training customers including additional supervision and the costs associated with the lower productivity of the customers, and those extraordinary costs need not be documented by the employer; and**
- **Must not be in excess of the approved contract amount or the wage rate of the OJT customer.**

Duration:

- **An OJT contract must be limited to the period of time required for a customer to become proficient in the job for which the training is designed.**
- **The OES (Occupational Employment Services) codes will be used to determine the length of time for specific occupations as well as the skills of the OJT customer.**
- **No contract may exceed 6 months.**
- **The training plan shall describe a timeline for completion of the training.**

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Limits:

- In any given year, the amount of no more than 30% of the total dollars designated for training may be used for OJT; no single employer may receive more than 30% of this calculated amount.
- The Youth Provider may apply for a waiver in circumstances where employees have a justified need for additional contracts.
- If, by April 1 of any given year, the amount of money designated for OJT has not been used, the limitation by employer is lifted for the remainder of the program year.
- The Executive Director has the authority to reduce the reimbursement rate in equal amounts for small and large employers due to funding constraints.

Supportive Services

- Supportive services costs will be handled like any other eligible participant.

Documentation Required for Reimbursement to Employer

- Employer or Supervisor Signature
- Employee Signature (If Employee has been terminated, resigned or quit job and is not currently employed when the reimbursement is submitted, the case manager will attempt to contact the former employee to get the employee signature by telephone to schedule a meeting or mail a copy with a self-addressed stamped envelope. If these attempts fail, the actual payroll records from the employer are attached to the reimbursement request).
- Timesheet and
- Copies of pay stub/pay roll for the participant.

Documentation of Case Notes

- OJT case notes should provide an adequate depiction of the participants' progress in training on the job.
- Case notes should be written monthly for each participant. The contact should be with the employer and/or employee at least monthly.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	General Education Diploma (GED)	Policy #:	3.8
Effective Date:	7/1/2015	Revision Date:	

Purpose:

It is the policy of the South Central Workforce Development Board (SCWDB) to encourage participants receiving WIOA funds who have not obtained a high school diploma or its equivalent to actively pursue one. The SCWDB realizes the importance of this achievement and its relevance to employment opportunities in the future, as well as the present.

Policy:

In order to continue receive WIOA funds for training, Out of School Youth must be actively enrolled, participating in, and showing progress in obtaining their GED. Failure to do so may result in the termination of training services.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Career Readiness Certification	Policy #:	3.9
Effective Date:	7/1/2015	Revision Date:	

Purpose:

To encourage employment enhancement and certification for career readiness.

Policy:

Tests for Career Readiness Certificates (CRC) may be administered by Southside Virginia Community College (SVCC) staff or Workforce Center staff who have been trained by SVCC. SVCC shall score and issue the appropriate certificates for all customers.

Forms for career readiness testing will be made available to the Workforce Centers. Customers who are self-pay for the assessment will be referred to SVCC for testing, scoring and issuance of the appropriate certificate. The customer will be responsible for the payment of fees for this service.

Workforce Centers may refer WIOA customers to SVCC for testing, scoring and issuance of the appropriate certificate or the trained Center staff person may administer the assessment and SVCC will score and issue the certificate. The WIOA Case Manager will authorize payment for this service out of WIOA funds based on the negotiated fee structure.

Enhancement training will be offered by SVCC or online through Work Keys for those customers who do not receive certification, and for those customers that wish to increase the level of their certification.

WIOA funds may be used to pay for one additional testing, scoring and issuance of certification for those customers who did not receive certification the first time. WIOA funds cannot be used after the second testing to pay for additional testing. The customer must be receiving training to be eligible for this service.

WIOA funds may be used to pay for a second testing, scoring and issuance of certification for those customers who possess a certificate and wish to increase their level of certification. WIOA funds cannot be used after the second testing to pay for additional testing. The customer must be receiving training to be eligible for this service.

The Virginia Board of Workforce Development requires attainment of the Career Readiness Certificate for the Out of School Youth program. Attainment levels are negotiated annually.

Signature of Executive Director: _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Custody of Records	Policy #:	3.10
Effective Date:	7/1/2015	Revision Date:	4/19/18

Purpose:

To provide guidance relating to custody of records to protect confidentiality and integrity of data.

Policy:

File Transfers from Contractor to SCWDB:

- The contractor must provide a list indicating all active participants by full name, state identification number, program and location.
- The contractor must provide a list indicating the inactive participants (in follow-up and exited) by full name, state identification number, program and location.
- The contractor must provide an updated VaWC Client Listing Report that indicates all the participants who should be active in the program at the time of the transfer.
- The contractor must indicate in writing an explanation of any missing files.
- A Chain of Custody document must be completed indicating the date of transfer, the recipient entity and any problems incurred during the transfer, i.e., missing files. The chain of custody must be signed by all parties representing the contractor and the SCWDB.
- The contractor will retain the signed original Chain of custody document and the SCWDB will maintain a copy.

File Transfers from SCWDB to contractors:

- The SCWDB must provide a list of all the participant files (active, follow-up and exited) that are to be transferred to the contractor including full name, state identification number and program.
- The SCWDB must print out and provide a current client listing report with all active participants as of the date of transfer and give the contractor a copy.
- The client listing report will be compared with the actual files to be transferred and any missing or unaccounted for files should be indicated on the chain of custody report.
- Complete the chain of custody document indicating the date of transfer, the recipient, the number of files being transferred and an explanation for any missing or unaccounted for files.
- The chain of custody must be signed by the SCWDB and recipient contractor with the SCWDB retaining the original and a copy going to the contractor.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Record Security

- **All files must be stored in locked file cabinets when not in use.**
- **Any information that describes an individual's medical condition or disability must be maintained in a separate locked file consistent with policies and procedures.**
- **Policy 1.1 Confidentiality and Personally Identifiable Information (PII) shall be followed.**
- **All records must be maintained from the date of acquisition through final disposition. The SCWDB will retain those records for a period of 3 years from the date of the last expenditure report submitted to VCCS, unless otherwise specified by the grant. If any litigation, claim, or audit is started before the expiration of the 3 year period, all records must be retained until all findings have been resolved and final action taken.**

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Youth Housing	Policy #:	3.11
Effective Date:	7/1/2015	Revision Date:	

Purpose:

To provide guidance for assisting youth with emergency housing payment as a supportive service.

Policy:

- Assistance with housing for youth participants is considered to be a supportive service.
- Must be pre-approved by the WIOA Program Coordinator and the following conditions must be met before approval of housing assistance can be obtained.
 - Housing assistance will be granted on a one-time basis and will be for a maximum of \$500.00
 - The youth participant must be 18 years of age or older or has received emancipation through a court of law.
 - Can be for rent payments only.
 - The participant must have an established rental agreement for at least six (6) months.

The contractor will be reimbursed for any housing assistance out of the participants deposit money should they relocate.

The contractor will get a signed letter of agreement from the participant that they will reimburse the contractor for the money spent should they vacate their rental property and receive reimbursement from a rental deposit.*

*This signed letter of agreement is not binding, but rather an attempt on the part of the contractor to establish a feeling of responsibility by the participant for the monies received. If reimbursement for the monies received by the participant for housing assistance proves to be unaffordable or a detriment to the participant's future success then the money will not have to be repaid.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Fraud Policy	Policy #:	3.12
Effective Date:	7/1/2015	Revision Date:	

Purpose:

To outline customer responsibilities for documentation, review and verification of eligibility or payment through WIOA.

Policy:

Each client registered for WIOA will be required to sign a statement outlining his/her responsibilities for documentation, review and verification of information provided for WIOA eligibility and/or payment of services.

In the event of a suspected intentional act by the client to forge, change or defraud documentation that results in eligibility or payment, reimbursement will be withheld during the investigation. Every effort should be made to carry out the investigation in approximately 30 business days. After the investigation, if fraud is found, the client will be terminated from the program and an incident report will be sent to the WIOA Division of the Virginia Community College System for possible prosecution.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Veteran Priority of Service & Dishonorable Discharge Services	Policy #:	3.13
Effective Date:	7/1/2015	Revision Date:	1/24/2020

Purpose:

The 'Jobs for Veterans Act' calls for priority of service for 'covered persons' for DOL-funded programs. A 'covered person,' as defined below, is entitled to and must be given priority of service over non-covered persons for the receipt of employment, training and placement services if the person otherwise meets the eligibility requirements of a particular program. Covered individuals (as defined below) are given priority over non-veterans for all available services if they otherwise meet the eligibility requirements of a particular program.

Policy:

The term 'covered person' includes anyone who is a veteran and also includes spouses of veterans that fall into the following categories:

- any veteran who died of a service-connected disability;
- any member of the armed forces on active duty who, at the time of the spouse's application, is listed in one or more of the categories and has been so listed for more than 90 days:
 - missing in action,
 - captured in the line of duty by a hostile force, or
 - forcibly detained or interned in the line of duty by a foreign government or power;
- any veteran who has a total disability resulting from a service-connected disability; or
- any veteran who died while a disability so evaluated was in existence. For programs that have existing statutory priorities that target certain groups, such as WIOA Adult and Youth programs, veterans' priority is applied to covered persons that meet program criteria. Thus, an individual meeting both the veterans and the program requirements would receive the highest priority for WIOA Youth or Adult services over a non-covered person satisfying the program requirements.

For programs that do not target specific groups, such as WIOA Dislocated Worker program, the veterans priority is given to those that first meet the program's existing eligibility requirements. Thus, a covered person would receive a priority for services over a non-covered individual only after satisfying the Dislocated Worker program's eligibility requirements. In cases where targeting of a particular group is discretionary and not required by law, such as in the case of local policy, veterans priority takes precedence over the discretionary priority group.

Local programs are not required to change their allocations among services to reserve funds for veterans, but are required to ensure that eligible veteran

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workers (covered persons) are given priority over non-veterans for available services.

Youth Programs

All service provided under the youth funding stream will provide for priority of service to covered persons. Currently, WIOA requires that priority of services funded with Title I must be given to recipients of public assistance, other low-income individuals and those persons who are basic skills deficient in the local area. The application of the veterans' priority, however, requires that veterans' priority as well as priority for public assistance recipients, low-income and basic skills deficient individuals will be considered. Thus, the following sequence of services priority will apply:

1. First priority will be provided to recipients of public assistance, low-income and basic skills deficient individuals in the local area who are covered persons with respect to veterans' priority;
2. Second priority will be provided to recipients of public assistance, low-income and basic skills deficient individuals in the local area;
3. Third priority will be covered persons (these would be covered persons not considered to be recipients of public assistance, low-income and basic skills deficient individuals);
4. Other local discretionary target population groups.

Services to Applicants with a Dishonorable Discharge from the Armed Forces
Persons who have received a "dishonorable discharge" can be served by Title I WIOA funds and are considered a "non-covered person" in regard to veteran priority of service.

Signature of Executive Director: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Coordination with Other Grants	Policy #:	3.14
Effective Date:	7/1/2015	Revision Date:	

Purpose:

The Workforce Innovation and Opportunity Act limits the use of WIOA funds for training services to instances when there is no or insufficient grant assistance from other sources available to pay for those costs. WIOA funds cannot be used to pay for the costs of training when Pell Grant funds or grant assistance from other sources are available to pay those costs. WIOA funds will be used for activities that are in addition to those already available in the local area. Services are to be made available to eligible adults and dislocated workers who are unable to obtain grant assistance from other sources. The One-Stop Operator/Youth Case Manager will have knowledge of additional resources and will coordinate WIOA services with those of other partner programs.

Policy:

WIOA funding for training is limited to participants who:

- Are unable to obtain grant assistance from other sources to pay the cost of training; OR
- Require assistance beyond that available under grant assistance from other sources to pay the costs of such training.

Coordination of funds available to pay for training is described below:

- Program Operators must coordinate funds that are available for training and make funding arrangements with One Stop Partners and other entities so that WIOA is the payer of last resort.
- Training providers must consider the availability of other sources of grants to pay for training costs such as Welfare to Work, State-funded training funds and Federal Pell Grants, so that WIOA funds supplement other sources of training grants.
- A WIOA participant may enroll in WIOA-funded training while his/her application for a Pell Grant is pending as long as the One Stop Operator/Youth Case Manager has made arrangements with the training provider and the WIOA participant regarding allocation of the Pell Grant, if it is subsequently awarded. In that case, the training provider must reimburse the One-Stop Operator/Youth Program the WIOA funds used to underwrite the training for the amount the Pell Grant covers. Reimbursement is not required from the portion of Pell Grant assistance disbursed to the WIOA participant for education-related expenses.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Youth Incentives	Policy #:	3.15
Effective Date:	7/1/2015	Revision Date:	7/21/2016 7/20/2017 7/23/2020

Purpose

Issuing incentives allows the SCWDB opportunities to improve employment, training, and education outcomes. Incentives do not include supportive services such as childcare, transportation, or reimbursement of work-related expenses and are not allowed for recruitment and entertainment

Incentives are a way to encourage workforce participants' participation or to reward participants for achieving specific elements in the employment plan.

Definition

Youth Incentives- Incentive payments are allowable to youth participants for recognition and achievement directly tied to training activities and work experience, such as a successful completion of a work experience.

Policy

South Central Workforce Development Board will ensure that the value of nonmonetary incentives:

- Is tied to the size and nature of the achievement for which they are awarded; and
- Scaled to inspire participants to work toward the associated achievements.

An incentive is a payment to a WIOA Youth registrant for the successful participation and achievement of expected outcomes as defined in the participant's VWC plan. The incentive must be linked to an achievement and must be tied to training and education, work readiness skills and/or an occupational skills attainment goal as identified in the Individual Service Strategy. Such achievements must be documented in the participants file as the basis for an incentive payment. Incentives will be compensation in the form of nonrefundable gift cards provided to a customer in exchange for meeting specified goals.

An incentive may be awarded for the following achievements by out of school youth:

- Attainment of Recognized Credential \$50
- Entered Employment, Enrolled in Post-Secondary Education, Advanced Training (including Apprenticeship), or Military \$25
- Achieving Measurable Skills Gain \$25

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- **Summer Academy Projects** **\$100**

Incentives may be awarded providing that the incentive is included in the participant's Individual Service Strategy. At a minimum, the following documentation must be maintained in the youth's file and entered into the VWC system:

- The Individual Service Strategy (ISS) must specify the goal that must be met in order to qualify for the incentive and;
- To qualify for high school diploma or GED incentive: copy of the high school diploma, GED or official transcripts verifying completion of a diploma or GED that includes required information for data validation;
- To qualify for a Measurable Skill Gain incentives: test scores indicating level of increase in Reading or Math; copy of work readiness pre and post-tests; transcript indicating completion of one year/minimum two semesters or certificate from post-secondary institution;
- To qualify for Recognized Credential incentive; copy of the certificate, degree or official transcript;
- To qualify for Entered Employment, Enrolled in Post-Secondary Education or Training incentive: copy employment information (i.e., check stub, letter of employment, etc.), school records, training records, military records.

INCENTIVE AWARD AMOUNTS-

Incentive awards are dependent upon the availability of funds.

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

WIOA YOUTH PERFORMANCE INCENTIVE TRACKING/RECEIPT FORM

Participant Name: _____

State ID#: _____

Service Provider: _____

Instructions: Please specify the performance outcome achieved to receive each performance incentive. All performance incentives must be recorded on this form and maintained in the participant's case file.

Date of Performance Attainment	Performance Outcome	Documentation	Performance Incentive Description (Card Number)	Incentive Amount	Sign upon disbursement/receipt	Date

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Work Experiences	Policy #:	3.16
Effective Date:	7/1/2015	Revision Date:	10/20/2016 1/19/2017 4/20/2017 4/18/19; 7/18/19; 7/23/2020

Purpose:

To provide guidance on the Work Experience (WEX) expenditure requirements under the Workforce Innovation and Opportunity Act (WIOA) Title I Youth Program.

Definitions:

1) Fair Labor Standards Act (FLSA)-FLSA establishes minimum wage, overtime pay, recordkeeping, and youth employment standards affecting employees in the private sector and in federal, state, and local governments. Covered nonexempt workers are entitled to a minimum wage of not less than \$7.25 per hour effective July 24, 2009.

2) Stipend-A stipend is an allowable payment for participation in activities such as work experience or classroom activities, including work readiness and employability skills training.

3) Wage-A wage is generally a payment for services rendered where an employer/employee relationship exists. This form of compensation is usually paid through a payroll system and subject to the taxes of the employer of record and participant.

4) Work Experience (WEX)/Internships-A work experience/internship is a (paid or unpaid) planned structured learning experience that takes place in a workplace for a limited period of time. Internships or work experience may be paid or unpaid to a particular participant and may be provided in the private for-profit sector, the non-profit, or the public sector.

5) Worksite Agreement Contract-A worksite agreement is a written document that details terms and conditions of paid and unpaid work experiences and the expectations of the parties to the agreement. The written agreement is between the participant, the site employer or host site, and the youth provider.

Guidance:

Program Standards:

WIOA places emphasis on serving youth within a comprehensive youth development approach that focuses on long-term services that provide the

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education, skills, work experience, and support that youth need to transition successfully to careers and productive adulthood. WIOA prioritizes work experiences with the requirement that local areas must spend a minimum of 20 percent of local area funds on WIOA youth work experiences.

The Youth Contractor shall ensure that work experiences are appropriate based on the needs identified by the individual's comprehensive assessment. Work experiences should be limited and based on a service strategy identified in the Individual Service Strategy and combined with other services. These services will be of limited duration based on the needs of the individual participant. Every effort should be made to match the work experience with the career interests of the youth participant. An academic component (before, during or after) must accompany the work experience.

Because work experiences are pre-vocational services, the relationship between the WIOA participant and the employer that volunteers to provide the site for the activity for the WIOA program does not constitute an employee/employer relationship. WIOA payments to participants in work experiences are stipends for progress and attendance, not compensation for work performed for an employer.

The Board will monitor and evaluate the effectiveness of work experiences in responding to the needs of participants and the results of participant outcomes.

Program Design:

The SCWDB approves the local Youth Provider to offer and provide work based learning activities in the form of work experiences or internships to eligible youth customers.

Any customer receiving this service will receive an hourly rate of pay of \$8.50 (maximum of 29 hours per week) and will participate no more than a total of 700 hours at all work experience sites (combined). Work experiences should not serve as a substitute for employment. Only those youth with substantial barriers to employment, as documented by the case manager, should use the total of 700 hours of work experience.

Customers participating in this activity are not employees of the program operator or the work site. Therefore, no withholdings will be taken from the customer's stipend to participate in this service. Worker Compensation Insurance will be provided by the Youth Provider.

Process:

- Contractor must provide Liability Insurance.
- Determine eligibility for the youth program.
- Determine need for program and service.

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- Once eligibility is determined, customer will need to be assessed academically and for career interests and aptitudes.
- The Individual Service Strategy (ISS) should be completed with the customer. The ISS should reflect the customer is in need of a work-based learning service based on the assessment results. The ISS should also outline the specific duration of the short-term process and indicate how this activity is going to help the customer move from the work experience to employment. Whenever possible, participants should be placed in a work experience that complements their field of vocational study and/or career interests and aptitudes.
- The ISS should show the customer has no skills or a mismatch of skills and how the customer will be learning a new skill and experience for work experiences/internship activities.
- The client file must contain Labor Market Information on the occupation in which the customer had previous experience and show the decline in the industry. Labor Market Information must also be provided on the occupation the customer is being referred to for a work experience to show that jobs are in demand.
- Once the determination of need for this service has been established, the Case Manager will consult with the Business Services Team to check the availability of work sites for the customer.
- Once the worksite availability has been established, the client must interview for the service with the business. The business may accept or reject the client.
- After the business has accepted the client to perform the work experience at his/her site, all paperwork must be completed for the customer and business with copies given to all parties which includes a worksite manual, worksite agreement, training plan and participant manual.
- WIOA youth program funds spent on paid and unpaid work experiences, including participant and staff costs, must be tracked and reported as part of the local WIOA youth financial reporting.
- Work experiences must include an educational/occupational component (e.g., workforce preparation activities, basic academic skills, and hands-on occupational skills training) with the work experience and the educational component must be stated in the ISS.
- The WEX and the educational/occupational component must be provided simultaneously (before, during or after the work experience), and the educational component must be related to the skills and knowledge needed in the WEX, or related occupation, a specific occupation, occupational cluster, or career pathway and stated in the ISS.
- Work experiences may be paid or unpaid, as appropriate. A work experience may take place in the private for-profit sector, the non-profit sector, or the public sector. Labor standards apply in any work experience where an employee/employer relationship, as defined by the Fair Labor Standards Act or applicable state law, exists.

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- Work experiences provide the youth participant with opportunities for career exploration and skill development and could include the following:
 - Summer employment opportunities and other employment opportunities available throughout the school year;
 - Pre-apprenticeship programs;
 - Internships and job shadowing; and
 - On-the-job training opportunities as defined in WIOA sec. 3(44) and in §680.700.

Administrative Monitoring of WEX Funds

Each local area must monitor and track all funds spent on WEX contracted activities (CFR 681.600-610). The SCWDB is responsible for ensuring oversight of the program. The local area must periodically monitor the participant and the worksite or a host site to ensure that goals are being met and adherence to local policy, WIOA law and regulations. To maintain administrative monitoring:

- Local WIOA youth programs must track program funds spent on paid and unpaid work experiences, including wages and staff costs for the development and management of work experiences, and report such expenditures as part of the local WIOA youth financial reporting.
 - The percentage of funds spent on work experience is calculated based on the total area youth funds expended for work experience rather than calculated separately for in-school and out-of-school youth.
 - Leveraged and in-kind resources cannot be used to fulfill this requirement.
 - The local area administrative costs are not subject to the 20 percent expenditure requirement .
- Local youth formula funds may be used for payments provided for WEX in the public, private, for-profit or non-profit sectors when the participants objective assessment and individual service strategy (ISS) indicate that a WEX is appropriate.
- The local area must specify the length or duration of time for each work experience assignment (no more than 700 hours total @ no more than 29 hours per week).
- The local area must specify the amount each youth participant will receive during the duration of the WEX contracted period (\$8.50 per hour X a maximum of 700 hours = \$5,950 maximum).
 - Participants enrolled in a paid WEX shall be compensated on an hourly stipend or hourly rate structure not less than the state or local minimum wage, whichever is higher.
- Each participant shall be paid only for hours worked during the WEX as documented on the participant's WEX contract or worksite agreement and participant timesheet and evaluation.

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Allowable WEX Program Expenditures

Allowable work experience expenditures include the following:

- Payments provided for participation in a work experience;
- Staff time working to identify and develop a work experience opportunity, including staff time spent working with employers to identify and develop the work experience;
- Staff time working with employers to ensure a successful work experience, including staff time spent managing the work experience;
- Staff time spent evaluating the work experience;
- Participant work experience orientation sessions;
- Employer work experience orientation sessions;
- Classroom training or the required academic education component directly related to the work experience;
- Incentive payments directly tied to the completion of the work experience; and
- Employability skills/job readiness training to prepare youth for a work experience.

WEX Written Agreements

The SCWDB must have a written agreement, which may be called a worksite agreement, job site agreement, or host site agreement. Each agreement must include at a minimum:

- Duration (number of hours);
- Remuneration (incentives and/or compensation);
- Academic and occupational education plan in conjunction with the WEX;
- Tasks;
- Duties;
- Supervision;
- Health and safety standards;
- Other conditions of the WEX, such as consequences of not adhering to the agreement;
- Termination clause;
- Progress reports (at the end of each pay period with monitoring performed by the youth case manager at least monthly);
- Signatures by all parties involved

Signature of Executive Director: _____

Date: _____

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Title:	Follow-Up	Policy #:	3.17
Effective Date:	7/1/2015	Revision Date:	10/20/2016 7/20/2017

Purpose:

WIOA requires that 12 month follow up services must be made available to youth for a minimum of 12 months following the first day of employment. The goal of follow-up services is to ensure job retention, wage gains and career progress for participants who have been referred to unsubsidized employment or successful participation in postsecondary training or the military.

Policy:

Services:

Follow-up services are limited to the following:

- Supportive services;
- Adult Mentoring;
- Financial literacy;
- Labor Market Information;
- Transition to post-secondary education.

Scope and Intensity:

- Must be based on the needs of the individual participant with a minimum contact of :
 - Once each month of the first quarter following closure;
 - Once during the first month of the 2nd quarter following closure;
 - Once during the 3rd quarter following closure;
 - Once during the first month of the 4th quarter following closure.
- Supportive services are allowed with proper documentation of need prior to the client's first paycheck.
- Participant must be provided services for job search, career planning, job retention or workplace counseling if he/she is no longer employed.

Documentation:

- Follow-up case notes should be maintained in the Virginia Workforce Connection (VWC) and in the file to document all contacts and efforts made on behalf of the customer during the twelve-month follow-up period.
- Should verify the complete status of the client, including place of employment, wage, hours per week, and information regarding any lapses in employment.

- Should assess if additional services are needed.
- Must update follow-up screen in the VWC quarterly to document that follow-up has occurred.
- Document diligent effort to secure/upgrade employment for the client when he/she is unemployed or has received a cut in hours or wages during the first nine months following exit.
- While unemployment insurance wage records are the primary source of information in the calculation of performance rates, supplemental data is acceptable for calculating performance rates when wage data is unavailable (with the exception of average earnings measure). Supplemental data must be recorded quarterly after exit in VWC using the Follow Up section.
- In order to ensure the accuracy of customer employment status at the time of closure and during the follow-up periods, the SCWDB requires that one of the following supplemental sources be used to verify employment:
 - employment verification signed by employer
 - documentation of phone conversation with employer indicating period of time client was employed ,name and title of employer representative who verified information, date and time of conversation.
 - Reasonable efforts to obtain the signed employment verification must be documented in case notes before using telephone documentation
 - copy of paycheck stub covering the period required by the applicable measure. Reasonable efforts to obtain information through #1 and/or #2 should be documented.
 - Self-attestation can be used only as a last resort if case manager had documented unsuccessful other attempts.
 - For those self- employed, self-attestation covering the period of time required is permitted.
- Data entry of performance information should occur in VWC at the time performance verifications are obtained.
- Follow-up screens must be updated quarterly to indicate that follow-up has occurred.
- Performance data must be entered in VWC as supplemental data will be used to determine performance outcomes.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Limited English Proficiency	Policy #:	3.18
Effective Date:	10/18/18	Revision Date:	

Purpose:

National origin discrimination includes Limited English Proficiency (LEP) under 29 CFR Section 38.9 and specifically states that in providing any aid, benefit, service or training under a WIOA Title I-financially assisted program or activity, a recipient must not, directly or through contractual, licensing, or other arrangements, discriminate on the basis of national origin, including LEP. Additionally, 29 CFR Section 38.41 added “LEP and preferred language” to the list of categories of information that each recipient must record about each applicant, registrant, eligible applicant/registant, participant and terminee.

Definitions:

For the purpose of this policy, the following definitions apply:

- 1) **Babel Notice**-A short notice included in a document or electronic medium (e.g. web site, “app”, email) in multiple languages informing the reader that the communication contains vital information and explaining how to access language services to have the contents of the communication provided in other languages (29 CFR Section 38.4[i]).
- 2) **Employment-related training**-Training that allows or enables an individual to obtain skills, abilities and/or knowledge that are designed to lead to employment (29 CFR Section 38.4[t]).
- 3) **LEP Individual**-An individual whose primary language for communication is not English and who has a limited ability to read, speak, write, and/or understand English. An LEP individual may be competent in English for certain types of communication (e.g., speaking or understanding), but still be LEP for other purposes (e.g., reading or writing) (29 CFR Section 38.4 [hh]).
- 4) **LEP Plan**-A written language access plan which assists in ensuring that LEP individuals have meaningful access to WIOA Title I-financially assisted programs and activities (29 CFR Section 38.9 Appendix).
- 5) **Meaningful Access**-Language assistance that results in accurate, timely, and effective communication at no cost to the LEP individual. For LEP individuals, meaningful access denotes access that is not significantly restricted, delayed or inferior as compared to programs or activities provided to English proficient individuals.

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6) Primary Language-An individual's primary language is the language in which an individual most effectively communicates, as identified by the individual.

Policy:

1) Reasonable Steps to Ensure Meaningful Access for LEP Individuals- Reasonable steps are required to ensure that LEP individuals have meaningful access to programs and activities. Reasonable steps may include, but are not limited to the following:

- Conducting an assessment of an LEP individual to determine their language assistance needs.
- Providing oral interpretation or written translation of both hard-copy and electronic materials, in the appropriate non-English languages, to LEP individuals.
- Conducting outreach to LEP communities to improve service delivery in needed languages.

Reasonable steps for providing meaningful access to training programs may include, but are not limited to the following:

- Written training materials in appropriate non-English languages by written translation, or by oral interpretation, or summarization.
- Oral training content in appropriate non-English languages through in-person or telephone translation.

Every program delivery method, whether it be in person, electronic, or by phone, conveys in the appropriate language how an LEP individual may effectively learn about, participate in, and/or access any aid, benefit, service, or training available to them. As new methods for the delivery of information or assistance are developed, reasonable steps will be taken to ensure that LEP individuals remain able to learn about, participate in, and/or access any aid, benefit, service or training available to them.

2) Language Assistance Services-Language assistance generally comes in two forms: oral interpretation or written translation. Language assistance services are free of charge and provided in a timely manner. An LEP individual must be given adequate notice about the existence of interpretation and translation services and that they are available free of charge. Language assistance is considered timely when it is provided at a place and time that ensures equal access and avoids the delay or denial of any aid, benefit, service or training.

3) Interpreter Services-An LEP individual is not required to provide their own interpreter nor shall the Area rely on an LEP individual's minor child or adult family or friend to interpret or facilitate communication, except for the following circumstances:

- In emergency situations while awaiting a qualified interpreter.
- When the information conveyed is of minimal importance to the services to be provided.

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- **When an LEP individual specifically requests that an accompanying adult provide language assistance and they agree to provide assistance to the individual. A record of the individual's decision to use their own interpreter must be made and retained.**

Where precise, complete and accurate interpretations or translation of information and/or testimony are critical for adjudicatory or legal reasons, the Area can provide an independent interpreter, even if the LEP individual wants to use their own interpreter as well. This may also be applied if the competency of the interpreter requested by the LEP individual is not established.

4) Vital Information-For languages spoken by a significant portion of the population eligible to be served or likely to be encountered, vital information must be translated in written materials into these languages. The translations will be readily available upon request in hard copy or electronically. Written training materials offered or used within employment-related training programs are excluded from these translation requirements, but reasonable steps must be taken to ensure meaningful access for LEP individuals.

For languages not spoken by a significant portion of the population eligible to be service or likely to be encountered, the Area will take reasonable steps to meet the particular language needs of the LEP individuals who seek to learn about, participate in, and/or access the aid, benefit, service or training that is available to them. Vital information may be conveyed orally.

A Babel Notice must be included in all communication of vital information indicating that language assistance is available, including letters or decisions, in hard-copy or electronic formats. Once the Area becomes aware of the non-English preferred language of an LEP beneficiary, participant, or applicant for aid, benefit, service or training, the Area must convey vital information in that language.

5) Developing a Written LEP Plan-In order to ensure that reasonable steps are taken to allow meaningful access for LEP individuals, a written LEP plan will be developed, implemented and reviewed regularly. The plan provides staff with a roadmap for establishing and documenting compliance with nondiscrimination obligations and ensures that LEP individuals receive the necessary assistance to participate in the programs and activities of the Area. The following elements will provide a clear framework that will ensure meaningful access to LEP individuals:

- **The process to determine the language needs of individuals who may seek to participate in programs and activities (self-assessment or needs-assessment) that receive financial assistance under WIOA Title I.**
- **The results of assessments to identify the LEP populations to be served)**
- **Timelines for implementing the LEP plan.**

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- All language services to be provided to LEP individuals.
- The manner in which LEP individuals will be advised of available services.
- Steps LEP individuals should take to request language assistance.
- The manner in which staff will provide language assistance services.
- What steps must be taken to implement the LEP plan(e.g., creating or modifying policy documents, employee manuals, employee training materials, posters, web sites, outreach materials, contracts, and electronic and information technologies, applications or adaptations).
- The manner in which staff will be trained.
- Steps that will be taken to ensure quality control, including monitoring implementation, establishing a complaint process, timely addressing of complaints, and obtaining feedback from stakeholders and employees
- How to document the provision of language services.
- Schedule for revising the LEP plan.
- Individual(s) assigned to oversee implementation of the LEP plan.
- Allocation of resources to implement the LEP plan.

The steps of a successful plan are not fixed and must be tailored to the specific programs and elements of the area. Over time, the LEP plan will need to be revised to reflect the following:

- New recommendations and guidance.
- Changes in operations as well as experiences and lessons learned.
- Changing demographics.
- Stakeholder and beneficiary feedback.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Accessibility and Reasonable Accommodation	Policy #:	3.19
Effective Date:	10/18/18	Revision Date:	

Purpose: As set forth in the regulations (29 CFR Part 38) implementing Section 188 of WIOA, American Job Center (AJC) system entities have an obligation to make reasonable modifications to policies, practices, and procedures to ensure equal opportunity for individuals with disabilities, unless it can be demonstrated that making modifications would fundamentally alter the nature of the service, program or activity. Further, any entity that receives financial assistance under Title I of WIOA is a recipient obligated to ensure nondiscrimination and equal opportunity. This includes state and local Workforce Development Boards, AJC operators, service providers, vendors and subrecipients. This policy is directed toward ensuring that the programs, services (including services using technology and the Internet), and facilities of the AJC delivery system are accessible to all.

Policy: No individual is to be excluded from participation in, denied benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any program or activity, funded in whole or in part under WIOA, because of race, color, religion, sex, national origin, disability, political affiliation or belief. This policy reflects all aspects of the AJC's program, including: registration and orientation; initial screening, assessment, testing; and service delivery.

1) Prohibition on the Basis of Disability-The SCWDB is obligated to provide physical and programmatic accessibility and reasonable accommodation/modification in regard to the WIOA program, as required by Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, and Section 188 of WIOA.

- AJCs are required to provide reasonable accommodation for individuals with disabilities to ensure equal access and opportunity. The term “reasonable accommodation” is defined in the current Section 188 regulations as:
 - Modifications or adjustments to an application/registration process that enables a qualified applicant/registrant with a disability to be considered for the aid, benefits, services, training or employment that the qualified applicant/registrant desires; or
 - Modifications or adjustments that enable a qualified individual with a disability to perform the essential functions of a job, or

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- receive aid, benefits, services, or training equal to that provided to qualified individuals without disabilities; or
- Modifications or adjustments that enable a qualified individual with a disability to enjoy the same benefits and privileges of the aid, benefits, services, training or employment as are enjoyed by other similarly situated qualified individuals without disabilities.
- The ADA defines a “disability” with respect to an individual to mean a physical or mental impairment that substantially limits one or more of the major life activities of such individual, a record of such impairment, or being regarded as having such an impairment.

2) **WIOA Program Accessibility**-When providing aid, benefits, or services under a Title I financially assisted program or activity, a recipient must not directly or through contractual, licensing or other arrangements, on the grounds of a disability:

- Deny a qualified individual with a disability the opportunity to participate in or benefit from the aid, benefits, services or training;
- Afford a qualified individual with a disability an opportunity to participate in or benefit from the aid, benefits, services or training that is not equal to that afforded to others;
- Provide a qualified individual with a disability with an aid, benefit, service or training that is not as effective in affording equal opportunity to obtain the same result, to gain the same benefit, or to reach the same level of achievement as that provided to others;
- Provide different, segregated or separate aid, benefits, services or training to individuals with disabilities, or to any class of individuals with disabilities, unless such action is necessary to provide qualified individuals with disabilities with aid, benefits, services or training that are as effective as those provided to others;
- Deny a qualified individual with a disability an opportunity to participate as a member of planning or advisory boards; or
- Otherwise limit a qualified individual with a disability in employment of any right, privilege, advantage or opportunity enjoyed by others receiving any aid, benefit, service or training.

Separate or different programs or services for individuals with disabilities are not prohibited under the ADA; however, individuals with disabilities cannot be forced to participate in these programs instead of WIOA Title I financially assisted programs or activities.

3) **Reasonable Accommodations**-With regard to aid, benefit, services, training and employment, the Area must provide reasonable accommodation to qualified individuals with disabilities who are applicants, registrants, eligible applicants/registrants, participants, employees, or applicants for employment unless providing the accommodation would cause undue hardship. Definition of the terms “reasonable accommodation” and “undue hardship” are specified in

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29 CFR § 38.4. A reasonable accommodation is a change in the way the program is administered that enables an individual with a disability to receive benefits, services and training equal to those provided to individuals without disabilities. There are many forms of reasonable accommodations and the individual with the disability and the AJC should work together to identify the most effective reasonable accommodation for each individual through informal discussions known as the “interactive process” whereby the individual is provided the opportunity to articulate their needs and the AJC is able to determine how best to meet those needs. AJC staff shall not automatically refer job seekers with disabilities to the Department for Aging and Rehabilitative Services (DARS). Referrals must be based on whether the individual would benefit from such services, in addition to other programs and services available in the AJC. An individual with a disability is not required to use the term “reasonable accommodation” when seeking assistance.

4) Auxiliary Aids, Services and Assistive Technology-To afford individuals with disabilities an equal opportunity to participate in and enjoy the benefits of the WIOA Title I program or activity, a recipient must furnish appropriate auxiliary aids or services where necessary. In determining what type of auxiliary aid or service is appropriate and necessary, recipients must give primary consideration to the requests of the individual with a disability. Primary consideration means honoring the choice unless the agency can demonstrate that another equally effective means of communication is available, or that using the means chosen would result in a fundamental alternation in the service, program, activity, or undue financial and administrative burdens. A list of auxiliary aids and services can be found in 29 CFR § 38.4 and includes:

- Qualified interpreters, note-takers, transcription services, written materials, telephone handset amplifiers, assistive listening services, telephones compatible with hearing aids, closed caption decoders, open and closed captioning, telecommunications devices for deaf persons (TDD/TTY), videotext displays, or other effective means of making aurally delivered materials available to individuals with hearing impairments;
- Acquisition or modification of equipment or devices; and
- Other similar services and actions.

A surcharge may not be placed on a particular individual with a disability, or any group of individuals with disabilities, to cover the costs of measures associated with providing auxiliary aids, services, or assistive technology, that are required to provide that individual or group with the nondiscriminatory treatment required by WIOA Title I. This obligation does not require a recipient of WIOA Title I funds to provide personal devices, such as wheelchairs; prescribed devices such as prescription eyeglasses or hearing aids; or readers for personal use or study.

5) Facility Accessibility-In order to be ready and welcoming when persons with disabilities seek services, advance preparatory actions must be taken. Specific

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information on ADA accessibility guidelines for buildings and facilities is provided at <http://www.access-board.gov/guidelines-and-standards/buildings-and-sites/about-the-ada-standards/ada-standards>. Some areas to particularly note include:

- Signage
- Accessible Counters
- Automatic and Power-Assisted Doors
- Accessible Restrooms
- Accessible Workstations
- Obstacle Free Entrance
- Space in Waiting Room for People using Wheelchairs
- 32-inch Clear Opening on Door
- 36-inch Clear Path of Travel

ADA is an on-going process, however, all of the ADA technical requirements must be applied during the design, construction and alteration of buildings and facilities.

6) Completion of Section 504 Self-Evaluation Form-Under WIOA, recipients that receive Federal financial assistance must meet accessibility obligations under Section 504 of the Rehabilitation Act of 1973, and the implementing regulations at 29 CFR 38. This includes physical accessibility and programmatic accessibility. The SCWDB, AJC Operator, service providers and subrecipients of funds must complete the “Section 504 Self-Evaluation” form and submit it to the State EO Officer.

7) Confidentiality-Medical information obtained in connection with the reasonable accommodation process must be kept confidential. This means that all medical information that is obtained in connection with the request for a reasonable accommodation must be kept in a separate file from the individual’s case file or personnel file. This includes the fact that a reasonable accommodation has been requested or approved and information about functional limitations. These confidentiality guidelines must be followed by all staff involved in the process.

Signature of Executive Director: _____

Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Out-of-School Youth 75% Expenditure Requirement	Policy #:	3.20
Effective Date:	7/23/2020	Revision Date:	

Purpose: To provide clarification regarding the definition of out-of-school youth and the applicability of the definition to the 75% expenditure requirements relative to the provision of WIOA Title I Youth Programs, which requires that at least 75% of state-wide and local youth funds be spent on services for out-of-school youth.

Definitions:

1) **High Poverty Area**-A youth who lives in a high poverty area is automatically considered to be a low-income individual. As determined by the US Census Bureau, “ A high-poverty area is a Census tract, a set of contiguous Census tracts, Indian Reservation, tribal land, or Native Alaskan Village or county that has a poverty rate of at least 30 percent as set every 5 years using American Community Survey 5-Year data.” All instructions are found on the Census Bureau’s American Fact Finder homepage at: <https://factfinder.census.gov>

2) **Low Income Individual:** The term “low-income individual” means an individual who:

- Receives, or in the past 6 months has received, or is a member of a family that is receiving or in the past 6 months has received, assistance through the Supplemental Nutrition Assistance Program (SNAP) established under the Food and Nutrition Act of 2008 (7 U.S. C. 2011 et seq.), the program of block grants to States for Temporary Assistance for Need Families program (TANF) under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.), or the Supplemental Security Income (SSI) program established under Title XVI of the Social Security Act (42 U.S. C. 1381 et seq.), or State or local income-based public assistance;
- Receives, or in the past 6 months has received, or is a member of a family that is receiving or in the past 6 months has received LEAP (Low-income Energy Assistance Program), Section 8 Housing, or CCAP (Child Care Assistance Program) payments;
- Is in a family with total family income that does not exceed the higher of—the poverty line or 70 percent of the lower living standard income level;
- Is a homeless individual (as defined in section 414-3(6) of the Violence Against Women Act of 1994 (42U.S.C. 14043e-2(6)), or a homeless child or youth (as defined under section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2));
- Receives or is eligible to receive a free or reduced price lunch under the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq.);

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- Is a foster child on behalf of whom state or local government payments are made; or
 - In an individual with a disability whose own income meets the income requirement of a low-income individual, but who is a member of a family whose income does not meet this requirement.
- 3) Out -of-School Youth-An out of school youth (OSY) in an individual who is:
- Not attending any school (as defined under state law);
 - Not younger than 16 or older than age 24 at time of program enrollment. For the reason that age eligibility is based on age at enrollment, participants may continue to receive services beyond the age of 24 once they are enrolled in the program; and

One or more of the following:

- A school dropout;
- A youth who is within the age of compulsory school attendance but has not attended school for at least the most recent complete school year calendar quarter. School year calendar quarters is based on how a local school district defines its school year quarters;
- A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is either basic skills deficient or an English language learner;
- An individual who is subject to the juvenile or adult justice system;
- A homeless individual (as defined in sec. 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2(6)), a homeless child or youth (as defined in sec. 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)), a runaway, in foster care or has aged out of the foster care system, a child eligible for assistance under sec. 477 of the Social Security Act (42 U.S.C. 667), or in an out-of-home placement;
- An individual who is pregnant or parenting;
- An individual with a disability;
- A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment as defined in the local area (WIOA secs. 3(46) and 129 (a)(1)(B)).

Policy:

Not less than 75 percent of funds available to the local area shall be used to provide youth workforce investment activities for out-of-school youth for any program year. The local area may spend up to 100 percent of youth funds on out-of-school youth annually. The local administrative expenses are not included in the 75 percent minimum expenditure calculation.

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The South Central Workforce Development Board (SCWDB) is required to track youth formula-fund expenditures and submit actual results through the Monthly Expenditure Detailed Report (MEDR) and Case Payment Schedule (CPS) expenditure requirements to the State. The Compliance Officer will monitor the formula-fund expenditures of the Youth Service Provider/Contractor, including participant file reviews, during the quarterly and annual monitoring review for compliance with federal and state laws, regulations and local policies.

If the SCWDB does not meet the 75 percent expenditure rate in a program year, the SCWDB must submit a corrective action plan to the WIOA Title I Administrator. The corrective action plan must describe how the SCWDB will achieve the 75 percent OSY expenditure rate with the consecutive Program Year (PY) funds and describe specific steps taken to comply with the 75 percent OSY expenditure requirement. Failure to comply may lead to sanctions.

Signature of SCWDB Executive Director: _____ Date: _____

SOUTH CENTRAL WORKFORCE DEVELOPMENT BOARD

Title:	Use of E-Verify for Right-to-Work Status	Policy #:	3.21
Effective Date:	07/23/2020	Revision Date:	

Purpose:

To provide guidance on the use of E-Verify to document an applicant's Right-to-Work under General Program Eligibility for the Workforce Innovation and Opportunity Act (WIOA) Title I Program.

Definitions:

E-Verify is an internet-based system that compares information from an employee's Form I-9 Employment Eligibility Verification to data from the U. S. Department of Homeland Security and Social Security Administration records to confirm employment eligibility.

Policy:

One of the three (3) general eligibility requirements under the WIOA Title I Adult, Dislocated Worker or Youth programs is United States citizenship or to be eligible to work in the United States. E-Verify can be used to confirm employment eligibility.

Process for accessing E-Verify:

- 1) Access the E-Verify site (<https://www.e-verify.gov/>). Select myE-Verify on the top bar. Scroll to Use Self Check. Select Visit myE-Verify. Select "I Agree". Select "Create an account".
- 2) Have the applicant complete the process and when the process is complete, a screen will appear with the following message: "Self-Check-Work Authorization Confirmed".
- 3) Print this page and add the following: (retain copy for participant's file)

Customer's Name (Printed)
Date of Birth
Customer's Signature
Date Completed
Staff Representative Name
Staff Representative Signature

The process may not work for all applicants. If this process is not used or is not successful, then traditional documentation procedures must be followed (excluding self-attestation).

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Citizenship or Right-to-Work Verification Sources

- Baptismal Certificate (if place of birth is shown)
- Birth Certificate
- DD-214 (if place of birth is shown)
- SNAP Award Letter from Department of Social Services
- Hospital Record of Birth (if place of birth is shown)
- Concealed Hand Gun Permit Along with Valid State Issued Photo I.D.
- Naturalization Certificate
- Public Assistance Records
- Social Security Card (work eligible) with Valid Photo I.D.
- Native American Tribal Document
- E-Verify-<https://www.e-verify.gov/mye-verify/self-check>
- U. S. Citizenship and Immigration Services (USCIS) Forms (www.uscis.gov; from Home page click “Verification” in the left column, then click “Acceptable Documents” on the left column. The Acceptable Documents link lists the documents by name and includes illustrations of each document).
 - USCIS verification requires forms from List A, or a combination from List B and C. See complete list below:
 - Forms from List A
 - ✓ U. S. Passport or U. S. Passport Card, Permanent Resident Card, or Alien Registration Card (I-551).
 - ✓ Foreign Passport that contains a temporary I-551 stamp of Temporary I-551 printed notation on a Machine-Readable Immigrant Visa (MRIV).
 - ✓ Employment Authorization Document (Card) that contains a photograph (Form I-766)
 - ✓ Foreign Passport with Form I-94 or Form I-94A, Arrive/Depart Report bearing the same name as the passport and containing an endorsement of the alien’s non-immigrant status that authorizes such alien to work for a specific employer incident to this status. This document may only be used if the period of endorsement has not yet expired and the proposed employment has not yet expired and the proposed employment does not conflict with any restrictions or limitations listed on Form I-94 or Form I-94A, Arrival/Departure Report. Note: Some persons, who present a List A document, such as certain non-immigrant students and exchange visitors, must also present additional documentation in order to prove their work authorization in the United State.
 - Forms from List B
 - ✓ Driver’s license or identification (ID) card issued by a State or outlying possession of the United States,

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provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address.

- ✓ ID Card issued by federal, state, or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color and address.
- ✓ School ID card with a photograph.
- ✓ Voter's Registration Card
- ✓ U. S. Military Card or Draft Record.
- ✓ Military Dependent's ID Card
- ✓ U. S. Coast Guard Merchant Marines Document (MMD) Card.
- ✓ Native American Tribal Document
- ✓ Driver's License issued by a Canadian government authority.
- ✓ Under age of 18, who are unable to present a document listed above:
 - School record or report card
 - Clinic, doctor, or hospital record
 - Day-care or nursery school record
 - For minors under the age of 18 and certain persons with disabilities who are unable to produce any of the listed documents, special notations may be used in place of a List B document.
- Forms from List C
 - ✓ U. S. Social Security account number card that is restricted A card that includes any of the following restrictive wording is NOT an acceptable List C document:
 - Not Valid for Employment
 - Valid for Work Only with INS Authorization
 - Valid for Work Only with DHS Authorization
 - ✓ Certification of Birth Abroad issued by the U. S. Department of State (Form FS-1350).
 - ✓ Consular Report of Birth Abroad (Form FS-240)
 - ✓ Certification of Report of Birth issued by the U. S. Department of State (Form FS 1350)
 - ✓ Original or certified copy of a birth certificate issued by a state, county, municipal authority, or outlying possession of the United States bearing an official seal.
 - ✓ Native American Tribal Document
 - ✓ U. S. Citizen ID Card (Form I-179)
 - ✓ Identification Card for Use of Resident Citizen in the United States (Form I-197).

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- ✓ Employment authorization document issued by DHS. Some employment authorization documents issued by DHS include but are not limited to the Form I-94 issued to an asylee or work-authorized non-immigrant (e.g., H-1B non-immigrant) because of their immigration status, the unexpired Reentry Permit (Form I-327), the Certification of U. S. Citizenship (Form N-560 or N-561), or the Certificate of Naturalization (Form N-550 or N-570). A Form I-797 issued to a conditional resident may be an acceptable List C document in combination with his or her expired Form I-551 (Green Card).

✓

Signature of SCWDB Executive Director: _____ Date: _____

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Title:	Selective Service Registration Requirements-Males Over Age of 26 Who Failed to Register with Selective Service System	Policy #:	3.22
Effective Date:	07/23/2020	Revision Date:	

Purpose: To clarify the implementation of the Selective Service registration requirements of the Workforce Innovation and Opportunity Act (WIOA) of 2014 §189 (h), codified at 20 CFR 683.225, and the Military Selective Service Act (50 U.S.C. App. 453), codified at 32 CFR Part 1605.

Definitions:

1) Status Information Letter-A letter issued by the Selective Service System stating the facts regarding an individual's registration status with the Selective Service System. It states whether or not the individual is registered with the Selective Service and whether or not the individual was required to register with Selective Service or if they were exempt from the registration requirement.

Guidance:

All programs and services established by or receiving assistance under Title I of WIOA must comply with Selective Service registration requirements. In order to participate in a program established by or receiving assistance under Title I of WIOA, all males born on or after January 1, 1960, must present documentation showing compliance with the Selective Service registration requirement.

Acceptable documentation to determine a person's Selective Service registration status include:

- Selective Service Acknowledgement Letter;
- DD Form 214-Report of Separation;
- Screen printout of the Selective Service Verification site;
 - www.sss.gov/RegVer/wfVerification.apsx
 - For males already registered, this website can be used to confirm Selective Service number as well as the date of registration, by entering a last name, social security number and date of birth;
- Selective Service Registration Card;
- Selective Service Verification Form (Form 3A); and/or
- Stamped Post Office Receipt of Registration.

1) Registration Requirements for Males 26 Years and Over

Before enrolling in WIOA Title I-funded services, all males 26 years of age and older must provide:

- Documentation to support compliance with the Selective Service registration requirement;
- Documentation showing that they were not required to register; OR

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- If they were required to but did not register, documentation establishing that their failure to register was not knowing and willful.

The service provider who enrolls persons in WIOA Title I funded activities may require that males 26 years and older who fail to comply with Selective Service registration requirement request a Status Information Letter before making a determination that the failure to register was knowing and willful. Alternatively, an entity may initiate its process to determine if the failure to register was knowing and willful without first having the potential program participant request the Status Information Letter. The second option may be preferable for entities that have time limits for enrolling participants (e.g., persons recently released from incarceration).

2) Requesting a Status Information Letter

A person may obtain a Status Information Letter from Selective Service if he (1) believes he was not required to register; or (2) did register but cannot provide any of the documentation listed above. The Status Information Letter can be accessed at www.sss.gov/Portals/0/PDFs/Status.pdf

The person will need to describe in detail circumstances that prevented him from registering (e.g., hospitalization, institutionalization, incarceration, and/or military service from age 18 through 25) and provide documentation of those circumstances. The documentation must be specific as to the dates of the circumstances.

If the Status Information Letter indicates the individual was not required to register for the Selective Service, then he is eligible to enroll in services authorized and funded by Title I of WIOA. **If the Status Information Letter indicates the person was required to but did not register, he is presumed disqualified from participation in WIOA Title I-funded activities and services until it can be determined that his failure was not knowing and willful.** All costs associated with grant-funded services provided to non-eligible persons may be disallowed.

3) Determining Knowing and Willful Failure to Register

If the person was required but failed to register with Selective Service as determined by the Status Information Letter or by his own acknowledgement, the person may only receive services if he can establish by a preponderance of evidence that the failure to register was not knowing and willful. **The contractor that enrolls persons in WIOA Title I-funded activities is responsible for evaluating the evidence presented by the person and determining whether the failure to register was a knowing and willful failure.**

Evidence presented may include the person's written explanation and supporting documentation of his circumstances at the time of the required registration and the reasons for failure to register. The person should be encouraged to offer as much evidence and in as much detail as possible to

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support his case. The following are examples of documentation that may be of assistance in making a determination in these cases:

- **Service in Armed Forces-Evidence that a man has served honorably in the U. S. Armed Forces such as DD Form 214 or his Honorable Discharge Certificate. Such documents may be considered sufficient evidence that his failure to register was not willful or knowing.**
- **Third Party Affidavits-Affidavits from parents, teachers, employers, doctors, etc., concerning reasons for not registering may also be helpful to grantees in making determinations in cases regarding willful and knowing failure to register.**

To establish consistency regarding the implementation of the requirement, grantees should consider the following questions when determining whether a failure to register is knowing and willful.

In determining whether the failure was “knowing”, the grantees should consider:

- **Was the person aware of the requirement to register?**
- **If the person knew about the requirement, was he misinformed about the applicability of the requirement to him (e.g., veterans who were discharged before their 26th birthdays were occasionally told they did not need to register)?**
- **On what date did the person first learn he was required to register?**
- **Where did the person live when he was between the ages of 18 and 26?**
- **Does the Status Information Letter indicate that Selective Service sent letters to the person at that address and did not receive a response?**

In determining whether the failure was “willful” the grantees should consider:

- **Was the failure to register done deliberately and intentionally?**
- **Did the person have the mental capacity to choose whether to register and decided not to register?**
- **What actions, if any, did the person take when he learned of the requirement to register?**

If any grantee determines it was not a knowing and willful failure, and the person is otherwise eligible, services may be provided. If the grantees determine that evidence shows the person’s failure to register was knowing and willful, WIOA services must be denied. Persons denied services must be advised of available WIOA grievance procedures. Grantees must keep documentation related to evidence presented in determinations related to Selective Service.

Signature of Executive Director: _____ Date: _____

Title:	Supplemental Data	Policy #:	3.23
Effective Date:	07/23/2020	Revision Date:	

Purpose: The purpose of this guidance is to provide information to the Workforce Innovation and Opportunity Act (WIOA) system on the use of supplemental data in conjunction with Unemployment Insurance Wage Records and to provide additional information in the calculation of WIOA Title I Adult, Dislocated Workers, and Youth performance measures. The WIOA performance and reporting requirements went into effect on July 1, 2016.

BACKGROUND:

Wage records are the primary source for tracking the employment related measures for adults, dislocated workers, and youth. For purposes of wage record detail files, Virginia unemployment insurance wage records and Wage Record Interchange System (WRIS) are considered wage files. In order for a wage match to occur, the participant must provide his/her Social Security Number (SSN) to the WIOA Title I service provider.

There are limitations on the use of wage records when a participant does not disclose his/her Social Security Number or when the individual's employment (for example self-employed) is not covered by state or federal unemployment insurance programs. In these two cases, supplemental data can be used to collect data on employment and earnings.

Policy:

Supplemental data can be used to collect information on the employment and earnings of individuals for performance reporting in the 2nd and 4th quarters after exit.

When using supplemental data:

- Staff must collect employment status in the 2nd and 4th quarter after exit, and the quarterly earnings in the 2nd quarter after exit;
- Staff must use only one method to verify employment and wages within a quarter, per participant, for data validity purposes;
- Outcomes will count negatively in the performance indicators if the agency opts not to use supplemental information and the individual is not included in WRIS;
- Staff must ensure that wages reported are earned within the quarter.

Supplemental Wage Information Methods and Procedures

The acceptable forms of supplemental wage information relevant to the employment-related indicators for core programs include, but are not limited to, the following:

Tax documents, payroll and employer records dated in the quarter for which you are verifying data, such as:

- Copies of quarterly tax payment forms to the Internal Revenue Service, such as a Form 941 (Employer's Quarterly Tax Return);
- Copies of pay stubs (minimum of two pay stubs);
- Signed letter or other information from employer on company letterhead attesting to an individual's employment status and earnings;
- Follow-up survey (self-reported) from program participants;
- Record of income earned from commission in sales or other similar positions;
- Telephone verification form with information verified by the employer and signed by the case manager, if appropriate to the program;
- Automated database systems for data matching with other partners with whom data-sharing agreements exist;
- Current records of eligibility for programs with income-based eligibility (e.g., Temporary Assistance for Needy Families (TANF) or Supplemental Nutrition Assistance Program (SNAP)); or
- Self-employment worksheets signed and attested to by program participants. *

***Note: Earnings (or net profit) can be calculated by subtracting total expenses from gross receipts. Not all self-employed individuals receive a salary, but the funds that represent income over expenses that are available to be invested back into the business are considered earnings.**

Time Period for Collecting Supplemental Wage Information

The need for supplemental wage information for some individuals may not become apparent until it is determined that no match is found in Unemployment Insurance (UI) wage records.

When the provider determines that UI wage data will not be available for individuals (such as those participants who did not provide a SSN, or for participants not covered by UI wage data), the providers do not need to wait two quarters after the close of the second and fourth full quarters after exit to formally document that UI wage data are not available and begin collection of supplemental wage information. The optimal time to collect supplemental wage information is as soon as possible following the close of the second and fourth full quarters after exit. Participants should be reminded, before program exit, that they or their employers may be contacted to obtain confirmation of employment status and earnings, and to explain the expected timeframe for those follow-up contacts. While this reminder is

applicable to all participants, it is especially important for those participants for whom UI wage data are not available.

Timeline for Commencing Data Collection for Employment-Related Performance Indicator		
Performance Indicator	UI Wage Data Becomes Available	Collection of Supplemental Wage Information May Begin
Employment Rate-Second Quarter after Exit (including Title I Youth)	During third or fourth after exit	Beginning the third quarter after exit
Employment Rate –Fourth Quarter after Exit (including Title I Youth)	During the fifth or sixth quarter after exit (first or second quarter, next program year)	Beginning the fifth quarter after exit
Median Earnings – Second Quarter after Exit	During third or fourth quarter after exit	Beginning the third quarter after exit
Credential Attainment – within 1 Year after Exit**	During the second or third quarter after exit	Beginning second quarter after exit

**** Note:** For the credential rate: Credential attainment can occur while the participant is active in the program or within 1 year (365 days) from the date of exit. Employment related to the credential rate is based on the quarters after exit (Q1, Q2, Q3, and Q4).

After the two-quarter lag concludes, if the information is still not available, wages will be converted to \$0 permanently, and employment status will be reported as not employed. Wages reported as \$0 will indicate that the participant was unemployed in the second quarter after exit, counting as a negative outcome for purposes of calculating levels of performance for the Employment Rate Second Quarter after Exit indicator and excluding that participant from the calculations of levels of performance for the Median Earnings Second Quarter after Exit indicator. Likewise, if neither a wage record match nor supplemental wage information is available following a two-quarter lag after the end of the fourth quarter following program exit, then the participant will be reported as unemployed in the fourth quarter after exit.

The timeframes when employment-related information must be reported are shown in the following table.

Deadlines for Timely Collection of Data for Employment-Related Performance Indicators

Exit Quarter	Report Rate – 2nd Quarter (including Title I Youth (by End Of Year	Report Rate – 4th Quarter (including Title I Youth) by End of:	Report Median Earnings by End of:	Report Credential Attainment (Employment) – within 1 Year after Exit by End of:
First Quarter (Q1) (July 1 – September 30)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (four quarters later)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (four quarters later)
Second Quarter (Q2) (October 1 – December 31)	Q2, Next Program Year (four quarters later)	Q4, Next Program Year (four quarters later)	Q2, Next Program Year (four quarters later)	Q4, Next Program Year (four quarters later)
Third Quarter (Q3) (January 1 – March 31)	Q3, Next Program Year (four quarters later)	Q1, Next Program Year (four quarters later)	Q3, Next Program Year (four quarters later)	Q1, Next Program Year (four quarters later)
Fourth Quarter (4) April 1 – June 30)	Q4, Next Program Year (four quarters later)	Q2, Next Program Year (four quarters later)	Q4, Next Program Year (four quarters later)	Q2, Next Program Year (four quarters later)

To assist program staff conducting follow-up:

Summary of Supplemental Wage Information Follow-up Guidelines
1. Develop a method for identifying participants to contact for follow-up. Best practice tip: Have staff follow a uniform set of written procedures to collect data in a valid and reliable (i.e., accurate and repeatable) manner.
2. Ensure that the local area has a uniform way to conduct the follow-up.
3. Conduct follow-up as close to the reference period as possible.
4. Identify local resources available to conduct follow-up.
5. Implement procedures to improve the quantity and quality of participant responses. Best practice tip: Inform participants at program entry about the supplemental wage information follow-up process and collect extensive contact information about them, such as addresses and phone numbers of relatives or others who may know the participants' whereabouts over time and employment information, if applicable.

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Performance Measure Type

Entered Employment Rate in the 2nd and 4th Quarters after Exit:

Wage detail files are the primary sources of information in the calculation of the entered employment rates and median earnings for the Adult and Dislocated Worker programs. However, other sources of information will be acceptable for calculating these measures when wage detail files are unavailable (e.g. uncovered employment, employment outside Virginia, incorrect or missing social security number, etc.). These sources include the same sources identified for quarterly wage data included above.

Regardless of the type of supplemental data obtained, the information is subject to monitoring, auditing and data validation.

Title I Youth Education and Employment Rates – 2nd and 4th Quarters after Exit - Wage detail files are also the primary sources of information in the calculation of the entered employment rates and median earnings for Youth programs.

However, other sources of information will be acceptable for calculating these measures when wage detail files are unavailable (e.g. uncovered employment, employment outside Virginia, incorrect or missing social security number, etc.). These sources include:

For the education and training component of this measure, verify for the 2nd and 4th quarters after exit:

- Enrollment in secondary education; or**
- Enrollment in postsecondary education; or**
- Enrollment in occupational skills training (including advanced training)**

Acceptable documentation for these items would be:

- 1. Cross-match with other agencies**
- 2. Apprenticeship verification**
- 3. Advanced training transcript or course enrollment documents**
- 4. Occupational skills training transcripts or course enrollment documents**
- 5. Transcripts**
- 6. Registration documents/forms**
- 7. Case notes that indicate the name of the training program, course enrollment(s), occupational title and dates of courses/training.**

Regardless of the type of supplemental data obtained, the information is subject to monitoring, auditing and data validation.

Median Earnings:

Under WIOA supplemental data can be used to obtain information of wage related measures. The wages collected in the second quarter must reflect

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earnings for the entire quarter. See Attachment A WIOA Wage Conversion Chart – this guide will assist in converting various wage and earning inputs to a quarterly wage as required by Participant Information Record Layout for the following PIRL data elements:

PIRL Element # 1703 – Wages 1st Quarter after Exit Quarter
PIRL Element # 1704 – Wages 2nd Quarter after Exit Quarter
PIRL Element # 1705 – Wages 3rd Quarter after Exit Quarter
PIRL Element # 1706 – Wages 4th Quarter after Exit Quarter

LWDAs, their service providers, and Virginia Community College System colleges (when providing participant services funded under WIOA Title I) should note that median earnings should reflect the earnings for the entire second quarter after exit.

Credentials:

Local Workforce Development Areas (LWDAs) have a number of sources that can be used to collect data needed to calculate the credential attainment standards. Credentials include the following:

1. Secondary School Diploma/or equivalency
2. AA or AS Diploma/Degree
3. BA or BS Diploma/Degree
4. Occupational Licensure
5. Occupational Certificate
6. Occupational Certification
7. Other Recognized Diploma, Degree, or Certificate

Recognized Credential Information is collected in the following PIRL Elements:

1800 – Type of Recognized Credential (WIOA)

1802 – Type of Recognized Credential #2 1804 – Type of Recognized Credential #3

The following items can be used to document credential attainment:

1. Actual evidence of the credential
2. The databases of the community college system or four-year state institutions (e.g. a computer printout documenting the award of the certification)
3. The database of private training providers (e.g. a computer printout documenting the awarding of the certification)
4. The databases of State licensing boards (e.g. a computer printout documenting the awarding of the certificate)

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5. **School districts (e.g. a computer printout documenting the awarding of the certificate)**
6. **Copy of the high school diploma (if the date of award is present)**
7. **Copy of results of General Educational Development (H.S. Diploma equivalency) examinations with passing scores or the GED certificate (with date of attainment)**
8. **Copy of high school transcript with date of graduation**
9. **School letter indicating date of high school graduation**
10. **Copy of graduation program, if participant's name is included along with date of graduation**
11. **In the event that none of the aforementioned sources can be obtained, an attestation from the former participant can be accepted that denotes that he/she has obtained a certification during the period(s) called for by the measure. This attestation preferably should be in writing from the participant, indicate the certification, the date it was received, the awarding authority's name and address and phone number, and must be signed by the participant. However, information obtained from telephone conversations is acceptable in the form of a Telephone Verification Form. This should be used as a last resort and other attempts should be documented prior to utilizing this method.**

For those who attained a high school diploma or the recognized equivalent, employment, or is enrolled in an education or training program leading to a postsecondary credential, the following are acceptable documentation sources:

1. **Copy of the high school diploma (if the date of award is present)**
2. **Copy of results of General Educational Development (H.S. Diploma equivalency) examinations with passing scores or the GED certificate (with date of attainment)**
3. **Copy of high school transcript with date of graduation**
4. **High School letter indicating date of graduation**
5. **Copy of graduation program, if participant's name is included along with date of graduation.**

The following are acceptable documentation sources for employment:

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- 1. A copy of at least two pay stub(s) covering the period(s) called for by the pertinent measure(s)**
- 2. An employer written statement or telephone conversation indicating that the individual was employed during the period(s) called for by the pertinent measure(s)**
- 3. In the event that neither of the aforementioned sources can be obtained, an attestation from the former participant can be accepted that denotes that (he/she) has been employed during the period(s) called for by the pertinent measure(s). This attestation preferably should be in writing, indicate the dates of employment and the employer's name and telephone number, and must be signed by the participant. However, information obtained from telephone conversations should be recorded using the Telephone/Document Inspection Verification form (included in Attachment G – Self-Certification and Telephone/Document Verification – Eligibility Guidance).**

The following are acceptable documentation for enrollment in an education or training program leading to a postsecondary credential:

- 1. Cross-match with other agencies**
- 2. Apprenticeship verification**
- 3. Advanced training transcript or course enrollment documents**
- 4. Occupational skills training transcripts or course enrollment documents**
- 5. Transcripts**
- 5. Registration documents/forms**
- 6. Telephone verification form verifying enrollment by education or training program provider and signed by the case manager.**

Regardless of the source used to collect the data, the information must be documented on the appropriate forms and is subject to monitoring, auditing, and data validation.

The Virginia Workforce Connection (VaWC) provides data fields where credentials/certificates/diploma can be captured for performance outcomes. Case managers should ensure that the supporting documentation is included in the participant file and the attainment status is updated in VaWC.

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A – WIOA WAGE CONVERSION CHART ATTACHMENT A

Wage Conversion Chart					
This is a guide to convert various wage and earnings inputs to a quarterly wage as required in PIRL data elements 1703, 1704, 1705, and 1706.					
Collect the hourly/weekly/bi-weekly/monthly/annual wages from the participant and enter that value in the appropriate cell. The example input values in bold must be replaced with the appropriate information collected from the participant to calculate the reportable quarterly wage.					
Convert Hourly Rate to Quarterly Wages					
Hourly Rate (\$xxx.xx/hour)		hours worked per week on average (xx.x)		13 weeks per quarter	Quarterly Wages
\$7.25	X	32.0	X	13	= \$3,016.00
Convert Weekly Wages to Quarterly Wages					
Weekly Wages (\$xxxxx.xx)		13 weeks per quarter			Quarterly Wages
\$290.00	X	13			= \$3,770.00
Convert Biweekly Wages to Quarterly Wages					
Biweekly Wages (\$xxxxx.xx)		6.5 biweekly pay periods per quarter			Quarterly Wages
\$580.00	X	6.5			= \$3,770.00
Convert Monthly Wages to Quarterly Wages					
Monthly Wages (\$xxxxx.xx)		3 months per quarter			Quarterly Wages
\$1,256.67	X	3			= \$3,770.01
Convert Annual Wages to Quarterly Wages					
Annual Wages (\$xxxxxx.xx)		4 quarters per year			Quarterly Wages
\$15,080.00	/	4			= \$3,770.00

Signature of SCWDB Executive Director: _____ Date: _____

Title:	Measurable Skill Gains (MSG)	Policy #:	3.24
Effective Date:	07/23/2020	Revision Date:	

Purpose: To provide Local Workforce Development Boards (LWDBs) and their service providers that receive Title I funds to serve adults, dislocated workers, and youth, with the requirements associated with the WIOA Title I Measurable Skill Gains performance indicator.

Definitions:

Measurable Skill Gains indicator is the percentage of participants who, during a program year, are in education or training programs that lead to a recognized post-secondary credential or employment and who are achieving measurable skill gains which is defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Measurable skill gains indicator measures progress and is not exit-based.

Participant

Adult and Dislocated Worker Program

For the WIOA Title I Adult and Dislocated Worker programs, a participant is a reportable individual who has received services other than the services described in 20 CFR 677.150 (a)(3). The individual must satisfy all applicable programmatic requirements related to eligibility determination.

As set forth in more detail in section 677.150, the following individuals are not participants:

- a. Individuals in an Adult Education and Family Literacy Act (AEFLA) program who have not completed at least 12 contact hours;
- b. Individuals who only use the self-service system; and
- c. Individuals who receive information-only services or activities, which provides readily available information that does not require an assessment by a staff member of the individual’s skills, education or career objectives.

Youth Program

For the WIOA Title I Youth program, a participant is a reportable individual who has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, the development of an individual service strategy, and received one of the 14 WIOA program elements:

- (2) **PROGRAM ELEMENTS**—In order to support the attainment of a secondary school diploma or its recognized equivalent, entry into postsecondary

education, and career readiness for participants, the programs described in paragraph (1) shall provide elements consisting of—

A. tutoring, study skills training, instruction, evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential;

B. alternative secondary school services, or dropout recovery services, as appropriate;

C. paid and unpaid work experiences that have as a component academic and occupational education, which may include—

- (i) summer employment opportunities and other employment opportunities available throughout the school year;**
- (ii) pre-apprenticeship programs;**
- (iii) internships and job shadowing; and**
- (iv) on-the-job training opportunities;**

D. occupational skill training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in- demand industry sectors or occupations in the local area involved, if the local board determines that the programs meet the quality criteria described in section 123;

E. education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;

F. leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors, as appropriate;

G. supportive services;

H. adult mentoring for the period of participation and a subsequent period for a total of not less than 12 months;

I. follow-up services, for not less than 12 months after the completion of participation, as appropriate;

J. comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, as appropriate;

K. financial literacy education;

L. entrepreneurial skills training;

M. services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and

N. activities that help youth prepare for and transition to postsecondary education and training.

Reporting Period – for purposes of this policy, the reporting period is a Program Year (July 1 to June 30).

Policy:

Measurable Skill Gains are one of the WIOA Title I performance indicators. There are a number of different approaches to measuring the skill gains of an adult, dislocated worker, or youth participant. See the following options.

Documenting Progress for Types of Measurable Skill Gains:

- 1. Documented achievement of at least one educational functioning level of a participant who is receiving instruction below the postsecondary level – Programs may measure educational functioning level based on one of the following three criteria:**
 - a. States may compare the participant’s initial education functioning level, as measured by a pre-test, with the participant’s current educational functioning level, as measured by a post- test. Note: The approved pre- and post-tests must be selected from the list of tests the Secretary of Education determines to be suitable for use in the National Reporting System for Adult Education.**
 - b. States that offer adult high school programs that lead to a secondary school diploma or its recognized equivalent, may measure and report educational gain through the awarding of credits or Carnegie units; or**
 - c. States may report an education functioning level gain for participants who exit an education or training program below the postsecondary level and enroll in postsecondary education and training during the program year. A program below the postsecondary level applies to participants enrolled in a basic education program.**

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- 2. Documented attainment of a secondary school diploma or its recognized equivalent – Programs may document attainment of a secondary school diploma, or its recognized equivalent, if the participant obtains certification of attaining passing scores on all parts of a state-recognized high school equivalency test, or the completion of secondary studies, or an alternate diploma, including a high school or adult secondary school diploma.**
- 3. Secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the state unit's academic standards – For secondary education, this gain may be documented through receipt of a secondary transcript or report card for one semester showing that the participant is achieving the state unit's policies for academic standards. For postsecondary education, this gain must demonstrate a sufficient number of credit hours – which is at least 12 hours per semester or, for part-time students, a total of at least 12 hours over the course of two completed consecutive semesters during the program year – that shows a participant is achieving the state unit's academic standards (or the equivalent for other than credit hour programs). *Please note that clinicals or practicums that do not provide traditional academic credits but are considered as a component of counting towards an institution's definition of a full- or part-time student, should be followed. EX: if a student is taking 9 credit hours of classes and is taking a practicum that is considered by the institution towards the student's full-time status, then it should be counted the same towards their full-time status for the purposes of measureable skills gains.**
- 4. Satisfactory or better progress report, towards established milestones, such as completion of OJT or completion of year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training – Documentation for this gain may vary and programs should identify skills gains as appropriate, based upon the nature of services being provided, but progress reports must document substantive skill development that the participant has achieved. The gain may be documented by a satisfactory or better progress report from an employer or training provider. Progress reports may include training reports on milestones completed as the individual masters the required job skills, or steps to complete an OJT or apprenticeship program. Increases in pay resulting from newly acquired skills or increased performance also can be used to document progress.**
- 5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge-based exams – Documentation for this gain may include passage of a component exam in a Registered Apprenticeship program, employer-**

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required knowledge-based exam, satisfactory attainment of an element on an industry or occupational competency-based assessment, or other completion test necessary to obtain a credential.

Calculation Methodology:

Calculation includes the following participants:

The number of program participants during this reporting period who are in an education or training program that leads to a recognized secondary or postsecondary credential or employment and are achieving a measurable skill gain based on attainment of at least one type of gain, DIVIDED by the number of participants during the reporting period who are in an education or training program that leads to a recognized secondary or postsecondary credential or employment.

Participants who, during any point in the program year, are in an education or training program that leads to a recognized secondary or postsecondary credential or employment are included in the denominator. This includes participants who continue to receive services as well as those who have participated during the reporting period and have exited the program. Data for the denominator in this calculation is drawn from PIRL 1811: Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Credential or Employment.

The numerator is the number of program participants defined above who achieved at least one type of gain. A participant may have achieved more than one type of gain in a reporting period; however, only one gain per participant in a reporting period may be used to calculate success on the measureable skill gains indicator.

Operational Parameters:

All participants who, during a program year, are in an education or training program that leads to a recognized secondary or postsecondary credential or employment are counted in the calculation of this measure. Participants who exit for any of the reasons listed below are excluded from the measureable skill gains indicator:

- a. **Institutionalized**
- b. **Health/Medical**
- c. **Deceased**
- d. **National Guard/Reservists called to active duty**
- e. **Foster Care**

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The following participants in education and training programs are included:

- **Title I Adult and Dislocated Worker – All participants who are in a Title I Adult- or Dislocated Worker-funded training program are included in the measurable skills gains indicator (which includes funding a training program for a secondary school program equivalent). This includes all participants in work-based training.**
- **Title I Youth – All In-School Youth are included in the measurable skill gains indicator since they are attending secondary or postsecondary school. Only Out-of-School Youth who are in one of the following are included in the indicator:**
 - **the program element occupational skills training**
 - **secondary education during participation in the Title I Youth program**
 - **postsecondary education during participation in the Title I Youth program**
 - **Title II-funded adult education during participation in the Title I Youth program**
 - **The YouthBuild program during participation n in the Title I Youth program**
 - **Job Corps during participation in the Title I Youth program**

Additional Operational Parameters:

- **Participants are only included in the denominator one time per reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given reporting period (i.e., program year), regardless of how many skill gains they achieve in a given program year unless the individual has more than one period of participation in a given program year;**
- **A participant who exits from the program and re-enrolls in the program during the same program year and is in an education or training program will be in the indicator two times for that particular program year;**
- **The measurable skill gains indicator is different from the other indicators because it is not exit-based, meaning that a participant can achieve a measurable skill gain while still participating in a program; and**
- **Programs should not delay enrollment or services to participants until a new program year even if programs believe there is insufficient time for the participant to make any type of measurable skill gain by the end of that program year.**

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For performance accountability purposes, the measurable skill gains indicator calculated the number of participants who attain at least one type of gain during each period of participation within a given program year. Since this indicator is not exit-based, each unique program entry date (not exit date) triggers inclusion in the calculation. Participants will achieve a successful outcome if they attain one type of gain applicable to the core programs. All skills gains shall be recorded as they occur and must be documented.

ACTION REQUIRED:

All participants enrolled in an education or training program that leads to a recognized secondary or postsecondary credential or employment should have their progress assessed using the documentation and measurements as specified above.

Data Entry Requirements for Measurable Skill Gains in the Virginia Workforce Connection (VaWC)

The Measurable Skill Gain indicator requires that the WIOA Title I Adult, Dislocated Worker, or Youth participant:

- Must be a WIOA Title I program participant.
- Must be enrolled in an education or training program that leads to a recognized secondary or postsecondary credential or employment.
- Only one Measurable Skill Gains will be reported during a reporting period (Program Year), regardless of how many a participant attains during that reporting period.
- All Measurable Skill Gains must be documented (using the appropriate documentation sources as outlined in the Documenting Progress for Types of Measurable Skill Gains section of this document).
- If a participant has multiple periods of participation during a reporting period, the measurable skills gain will be counted in each period of participation.

Signature of SCWDB Executive Director: _____ Date: _____

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Title:	System of Record and Electronic Case Files	Policy #:	3.25
Effective Date:	December 1, 2020	Revision Date:	

Purpose: To provide Local Workforce Development Boards (LWDBs) and their service providers guidance regarding the uniform electronic documentation of participant records, required naming conventions for participant documents uploaded into the system of record, adding and removing of participant documents to the system, standards for case note quality, and timely data entry requirements.

Definitions:

- 1) **Virginia Workforce Connection (VaWC)** is the management system of record used for all data collection and reporting.

- 2) **The Participant Individual Record Layout (PIRL)** is a standard reporting format that contains the Workforce Innovation and Opportunity Act (WIOA) common data elements and is used to report participant characteristics to the United States Department of Labor (USDOL-ETA)

Policy:

- **System of Record**
The VaWC is the “System of Record” with regard to Federal reporting for local WIOA Title I programs (Youth, Adult, and Dislocated Worker) and other USDOL-ETA grant-funded programs in the Commonwealth of Virginia. Currently, the VaWC is used to capture information on enrollment, service delivery, and performance data. The required documentation used to verify program eligibility and support service provision must be maintained in the VaWc. A newly accessible feature in VaW, the electronic document imaging and storage system, will allow staff or local areas to facilitate the upload of supporting documentation and allow local areas to transition to paperless record keeping.

The use of electronic records will:

- Eliminate the need for storage areas and storage costs associated with paper files;
 - Save supply costs;
 - Provide for an easily accessible, single point of access for file review;
 - Reduce staff time accessing hard copy documentation;
 - Ensure more secure storage of sensitive information;
 - Eliminate lost or misfiled paper documents;
 - Improve the consistency of file documentation.
-
- **Electronic Case Files**
Beginning December 1, 2020, and moving forward, sub-grantees must record and document activities for all new participants enrolled in WIOA

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Title I (Youth, Adult, and Dislocated Worker) programs, and applicable discretionary grant programs, in the VaWC to ensure compliance with federal and state statutes, regulations, and policies.

The electronic records shall include the following in the appropriate section of the VaWC:

- Program applications;
- Eligibility determinations;
- Activity and service codes;
- Individualized Employment Plan (IEP) or Youth Individualized Service Strategy (ISS) utilizing the VaWC system generated planning module;
- Case notes;
- Case closure;
- Outcome (Exit) information;
- Follow-up;
- Documentation supporting eligibility, service delivery, and closure.

The electronic records will be made available to any staff from the USDOL-ETA, State auditor, or VCCS monitor and program staff who requires access to carry out their official duties. Information will be made available by granting access to the VaWC system or in paper format (if requested) after completing the system access form.

- **Timely Entry of Data and Documentation into the VaWC**
The VaWC serves as the basis for reporting to USDOL-ETA through the WIOA PIRL. Delays in data entry can adversely affect the quarterly and annual performance of the state and the local workforce areas, and result in inaccurate federal reports.

To address the impact of delayed data entry, **all transactions (eligibility, receipt of services, outcomes, exit, and contact with participants) must be entered into the VaWC within five (5) business days from the completion of the process.** For example, once the customer has been determined eligible and has received their first service, the participation information must be entered into VaWC within 5 business days. The Primary Indicators of Performance are based on the exit outcomes of these individuals. It is imperative that accurate information is entered into the States' data management system in a timely manner in order to generate appropriate reports at the State and Federal levels, as well as Local Area Reporting; (including documentation to support credentials or employment attainment).

LWDB Compliance with the 5-business day rule will be reviewed by the Local Monitors and instances of noncompliance will be included in the monitoring report as a finding.

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- **Documentation Uploads**

Starting December 1, 2020, and moving forward, all documentation for new program participants shall be uploaded into the VaWC to create electronic records. Document uploads shall be within the 5-business day timely data entry requirement. Documents may also be uploaded from the files of current active participants.

Local area staff will select the appropriate verification item, type, and document description from a drop down-menu for each document. Staff shall also “tag” uploaded documents with keywords, which will allow documents to be found using keyword search. To ensure consistency, local area staff shall follow the naming/tagging conventions outlined in Attachment A: WIOA Title I VaWC Document Naming Conventions of the Virginia Workforce Letter No. 20-07.

- **Case Notes**

Case notes add context to elements in the electronic case file that are not clearly evidenced, such as participant factors affecting eligibility, important details about services provided to customers, and to inform the reader about the customer’s progress, lack of progress and/or obstacles associated with the services and/or referrals provided. Case notes compliment entries made in VaWC, to provide further explanations of service provided. Therefore, all case notes must be keyed in VaWC.

Case notes do not take the place of entering data in the appropriate sections of VaWC. For example, a case manager should not enter service information (service codes, start, and end dates) in a Case Note rather than in the Create Activity section. Performance related information should be entered in the appropriate sections, such as Services, Measurable Skills Gains, Credential Attainment, and/or Follow-up sections.

Case notes are a planning tool and a source of documentation and information that can be used by case managers, supervisors, and monitors. WIOA files can be chosen for review by multiple entities such as the Virginia Board of Workforce Development (VBWD), the USDOL-ETA, Virginia Community College System (VCCS), and other organizations; therefore, accuracy and completeness in case notes are very important.

Case notes should tell the “who, what, where, when, and why” of the customer’s needs and services. Case notes describe the actions taken and the reasons behind those actions, along with the expected results. Consider the use of case notes as the means to tell a factual story of the customer. No opinions or comments of the case manager should be included. Anyone, including the customer, should be able to pick up the file and follow the story of what is happening with the customer.

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- **Medical/Disability Records**

Medical and disability related information, also known as protected health information (PHI) under the Health Insurance Portability and Accountability Act (HIPA) of 1996 must be kept confidential and separate from the VaWC electronic case record. Such information shall be kept in a paper file in a secure, locked location. A case note in VaWC shall contain a generic explanation of the information, how it is related to eligibility, employment, and/or training opportunities, and identify the secure location of the information. (i.e., “participant wants to be a mechanic, but needs to pursue other employment or training. See confidential file.” Or “individual meets local adult eligibility priority of service group. See confidential file.”)

- **Records Correction and Deleting Documents**

Records in the VaWC that contain errors must be corrected to ensure accurate reporting to USDOL-ETA. Requests for data correction shall first be submitted to the Local Area System Administrator for review and completion utilizing the approved data correction form from the WIOA Title I Administrator. Any corrections that cannot be completed by the Local Area System Administrator should be communicated to the State System Administrator for review. The State System Administrator shall review the validity of the correction and communicate the appropriate action or outcome to the Local Area System Administrator. Record corrections in third-party systems are the responsibility of the local area staff using those systems and are processed according to the local board’s policies or procedures manuals.

Only under limited circumstances will staff be allowed to delete documents from an applicant’s electronic file. The process of deleting a document will be performed by the Local Area System Administrator or State System Administrator. Program staff shall submit a request for the deletion along with the reason for the deletion. The State System Administrator reviews requests for deletion of documents and if determined appropriate will perform the deletion.

The WIOA Title I Administrator will work with the vendor of the VaWC software to ensure that participant documents that are stored in the system are appropriately deleted after the required retention period for he documents has expired.

- **Confidentiality of Data or Information and Required Release Forms**

Data or information acquired by an agency under a confidentiality agreement, to be used exclusively for statistical purposes, shall not be disclosed by an agency in identifiable form for any use other than an

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exclusively statistical purpose. The use of this information is prohibited except with the informed consent of the respondent. (Public Law 107-347 Title V Section 512 [b][1]). All providers will have a release information form signed and dated by the participant and the case manager. The form shall state that the participant's information may be used for reporting purposes because of federal regulations associated with the benefit of federal funds and that the participant's personal information will remain confidential. The release form will be uploaded into the participant's file in **VaWC** to validate that the participant agrees to the release of information for reporting purposes. The standardized form will also be made available by the LWDA staff and may be used as a stand-alone form or incorporated into other release forms used by the LWDA's.

- **Legal Status of Electronic Documents**

Electronic records submitted or maintained in accordance with procedures developed under this title, or electronic signatures or other forms of electronic authentication used in accordance with such procedures, shall not be denied legal effect, validity, or enforceability because such records are in electronic form.

Signature of SCWDB Executive Director: _____ Date: _____