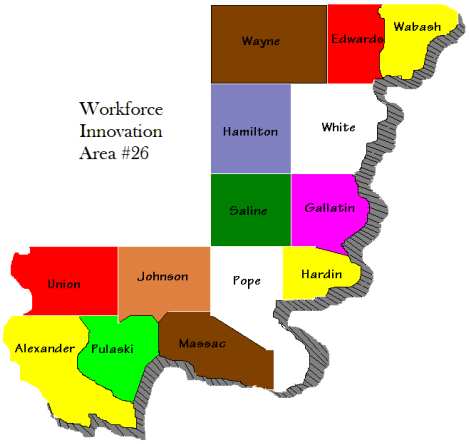



# Local Policies

***So 14 LWIB Approved December 8, 2026***

**So. 14 LWIB, Inc. – Local Policies**

1. Requirements for Local Workforce Innovation Board Policies (Set by E-Policy)
2. 1.2 CEO Agreement-LWIA 26
3. 1.3 CEO Acknowledgement and Designation Form
4. 1.5 WIOA LWIB Bylaws
5. 1.7 and 8.3.6 So 14 Fiscal and Procurement Policy Procedure Manual
6. 1.5 Local Policy 1 - Conflict of Interest
7. 4.2 Local Policy 2 - Career Planning
8. 4.3 Local Policy 3 - Follow Up Services
9. 5.1.1 Local Policy 4 - Selective Service Registration Requirements
10. 5.1.1. Local Policy 4 - Selective Service Registration Requirements - Selective Service Verification Form OET SS #001
11. 5.1.1. Local Policy 4 - Selective Service Registration Requirements - Selective Service Waiver Form #002
12. 5.2 Local Policy 5 - Adult Eligibility
13. 5.3 Local Policy 6 - Dislocated Worker Eligibility
14. 5.4 Local Policy 7 - Youth Eligibility
15. 5.6 Local Policy 8 - Service Priorities
16. 5.7 Local Policy 9 - Veteran's Priority of Service Requirements
17. 7.1.2 Local Policy 10 - WEX 1. Work Experience
18. 7.1.2 Local Policy 10 - WEX 1.1 Service Provider WEX Procedure and File Checklist
19. 7.1.2 Local Policy 10 - WEX 2. Work Experience and OJT Pre-Award Survey
20. 7.1.2 Local Policy 10 - WEX 3. Work Experience Contract*
21. 7.1.2 Local Policy 10 - WEX 4. Supervisor Orientation
22. 7.1.2 Local Policy 10 - WEX 4.1 WEX Supervisor Handbook
23. 7.1.2 Local Policy 10 - WEX 5. Participant Orientation
24. 7.1.2 Local Policy 10 - WEX 6. Work Experience (WEX) Outline-Plan*
25. 7.1.2 Local Policy 10 - WEX 7. Work Experience (WEX) Progress Report*
26. 7.1.2 Local Policy 10 - WEX 8. On The Job (OJT)-Work Experience (WEX) Local Monitoring Report
27. 7.1.2 Local Policy 10 - WEX 9. LWIA Request for Work Experience Increase
28. 7.1.2 Local Policy 10 - WEX 10. LWIB WEX File Monitoring
29. 7.2.1 Local Policy 11 – ITA
30. 7.2.2.1 Local Policy 12- OJT 1. On the Job Training
31. 7.2.2.1 Local Policy 12- OJT 1.1 Service Provider OJT Procedure and File Checklist
32. 7.2.2.1 Local Policy 12- OJT 2. Work Experience and OJT Pre-Award Survey
33. 7.2.2.1 Local Policy 12- OJT 3. OJT Contract*
34. 7.2.2.1 Local Policy 12- OJT 4. Participant Orientation
35. 7.2.2.1 Local Policy 12- OJT 5. OJT Training Outline-Plan*
36. 7.2.2.1 Local Policy 12- OJT 6. OJT Progress Report and Invoice*
37. 7.2.2.1 Local Policy 12- OJT 7. LWIA Request for OJT Increase
38. 7.2.2.1 Local Policy 12- OJT 8. On The Job (OJT)-Work Experience (WEX) Local Monitoring Report
39. 7.2.2.1 Local Policy 12- OJT 9. LWIB OJT File Monitoring
40. 7.2.2.3 Local Policy 13 - Incumbent Worker Training
41. 7.2.2.3 Local Policy 13 Attachment B Required Employer Information Form
42. 7.2.2.3 Local Policy 13 Attachment C IWTS Participant Form

43. 7.2.2.3 Local Policy 13 Attachment D Required Training Courses Session Information
44. 7.3 Local Policy 14 - Training Provider and Training Program Eligibility (ETPL)
45. 7.4 Local Policy 15 - 1. Supportive Services
46. 7.4 Local Policy 15 - 2. Request for Mileage Reimbursement Change
47. 7.4.1 Local Policy 16 - Adult Needs Related Payments
48. 7.4.1 Local Policy 17 - Dislocated Worker Needs Related Payments
49. 7.5 Local Policy 18 - Procurement Policy for Client Services
50. 8.2.2 Local Policy 19 - Privacy and Security
51. 8.3.2 Local Policy 20 - Monitoring Policy
52. 8.5 Local Policy 21- 1. Complaint and Grievance Policy
53. 8.5 Local Policy 21 2. Attachment A Complaint and Grievance Brochure
54. 8.5 Local Policy 21 3. Attachment B Complaint and Grievance Procedures Participant Acknowledgement Form-EO Is The Law
55. 8.5 Local Policy 21 4. Attachment C Participant Complaint Form*
56. 8.5 Local Policy 22 -Complaint Report Procedures Policy
57. 9 Local Policy 23 - Rapid Response
58. Local Policy 24 Fund Transfer, Reallocation and Deobligations
59. Local Policy 25 - Partnership Policy for Illinois WorkNet
60. Local Policy 26 - Trade Program Requirements
61. Local Policy 27 - Career Services
62. Local Policy 28 - WIOA Training Options
63. Local Policy 29 - Youth Bachelor's Degree
64. ~~Local Policy 31 - Incentive Allocation Policy~~

*All listed with an asterisk are a form found on Illinois WorkNet and not available to be added because they are a fillable form direct from the State of Illinois WIOA E-Policies

## REQUIREMENTS FOR LOCAL WORKFORCE INNOVATION BOARD POLICIES

**Separate Local Area Policy**: State policy specifically requires the local workforce innovation board (LWIB) to develop a policy for implementation in the local area. See relevant state policy for more details.
**May Use State Policy as Local Policy**: State policy does not specifically require an area-specific policy; however, the LWIB may adopt the state policy to ensure compliance in program implementation.
**No Need for Local Policy**: State policy establishes all necessary requirements for compliance.
**Link to State Policies**: - WIOA Policy (illinoisworknet.com)

| State Policy | State Policy Number | Requires Separate Local Policy/ Agreement | May Use State Policy as Local Policy | No Need for Local Policy/ Agreement |
|---|---|---|---|---|
| Designation and Redesignation of Local Workforce Innovation Areas and Planning Regions | Chapter 1.1 | | | X |
| CEO Functions and Agreement Between Multiple CEOs | Chapter 1.2 | X | | |
| *CEOs **must** enter into an agreement when multiple CEOs in the local area* | | | | |
| CEO Delegation of Authority | Chapter 1.3 | X | | |
| *CEOs **must** delegate authority* | | | | |
| Local Workforce Innovation Board Membership Requirements | Chapter 1.4 | | | X |
| Local Workforce Innovation Board Certification and Recertification Requirements | Chapter 1.5 | X | | |
| *LWIB **must** develop bylaws* | | | | |
| *LWIB **must** develop a conflict of interest policy* | | | | |
| One-Stop Operator Procurement | Chapter 1.7 | X | | |
| *LWIB **must** follow local procurement policy and procedures* | | | | |
| One-Stop Center Certification | Chapter 1.8 | | | X |
| Memorandum of Understanding | Chapter 1.9 | | | X |
| American Job Center Branding | Chapter 1.10 | | | X |
| Resource Room Utilization and Tracking | Chapter 1.11 | | | X |
| One-Stop Delivery System Under WIOA | Chapter 1.12 | | | X |
| Service Integration | Chapter 1.13 | | | X |
| Regional and Local Planning Requirements | Chapter 2.1 | | | X |
| Performance Accountability and Reporting | Chapter 3 | | | X |
| One-Stop Services Under WIOA | Chapter 4.1 | | | X |
| Career Planning | Chapter 4.2 | X | | |
| *LWIB **must** establish a mechanism to track services to reportable individuals* | | | | |
| Follow-Up Services | Chapter 4.3 | X | | |
| *LWIB **must** spell out Follow-Up expectations* | | | | |

*Last updated April 11, 2024*

| | | | | | |
|---|---|---|---|---|---|
| General Eligibility Requirements | | Chapter 5.1 | | | X |
| Selective Service Registration Requirements | | Chapter 5.1.1 | X | | |
| | *LWIB **must** address compliance* | | | | |
| Individual and Program Approvals for Unemployment Insurance Recipients | | Chapter 5.1.2 | | | X |
| Adult Eligibility | | Chapter 5.2 | | X | |
| | *LWIB **may** define Self-Sufficiency standard* | | | | |
| Dislocated Worker Eligibility | | Chapter 5.3 | | X | |
| | *LWIB **may** establish additional criteria for an* individual requires additional assistance *under "unlikely to return to a previous industry or occupation" definition*. | | | | |
| | *LWIB **may** develop policies and procedures to specify what constitutes a "general announcement" for plant closings* | | | | |
| | *LWIB **may** develop policies and procedures to specify what constitutes "unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters" for individuals who are self-employed, including family members and ranch hands.* | | | | |
| | *LWIB **may** identify sectors and occupations that are substantial or significant to the regional or local workforce or economy.* | | | | |
| | *LWIB **may** define Self-Sufficiency standard* | | | | |
| Youth Eligibility | | Chapter 5.4 | X | | |
| | *LWIB **must** define an individual who requires additional assistance.* | | | | |
| Source Documentation for WIOA Eligibility | | Chapters 5.2 – 5.4 | | | X |
| Low-Income Individuals | | Chapter 5.5 | | | X |
| Service Priorities | | Chapter 5.6 | X | | |
| | *LWIB **must** establish written policies and procedures to ensure priority.* | | | | |
| Veterans' Priority of Service Requirements | | Chapter 5.7 | X | | |
| | *LWIB **must** develop and implement processes to identify veterans and eligible spouses.* | | | | |
| Basic Skills Deficiency Assessment Requirements | | Chapter 5.9 | | | X |
| Annual Allocation and Modification Requirements of WIOA Formula Grant Funds | | Chapter 6.1 | | | X |
| WIOA Rapid Response (1E) Grant Funds | | Chapter 6.2 | | | X |
| Additional Funding Opportunities | | Chapter 6.3 | | | X |
| Career Services | | Chapter 7.1 | | | X |
| Work Experience (WEX) and Transitional Jobs | | Chapter 7.1.2 | X | | |
| | *LWIB **must** set policy for implementing WEX* | | | | |

| | | | | | |
|---|---|---|---|---|---|
| | *LWIB **may** create an incentive policy* | | | | |
| Training | | Chapter 7.2 | | | X |
| Individual Training Accounts (ITAs) | | Chapter 7.2.1 | X | | |
| | *LWIB **must** develop a local ITA policy* | | | | |
| Class-Size Training | | Chapter 7.2.1.2 | | | X |
| On-the-Job Training (OJT) | | Chapter 7.2.2.1 | X | | |
| | *LWIB **must** set policy for implementing OJTs.* | | | | |
| Customized Training | | Chapter 7.2.2.2 | | | X |
| Incumbent Worker Training (IWT) | | Chapter 7.2.2.3 | X | | |
| | *LWIB **must** set policy for implementing OJTs.* | | | | |
| Training Provider and Training Program Eligibility – Eligible Training Provider List (ETPL) | | Chapter 7.3 | X | | |
| | *LWIB **must** set policies for introducing and discussing the ETPL with participants* | | | | |
| | *LWIB **must** establish local policies that provide sufficient consumer protection and oversight of training providers* | | | | |
| | *LWIB **may** establish area-specific requirements for ETPs to be used in the area* | | | | |
| | *LWIB **may** apply area-specific performance standards (or "targets') as part of its local ETP criteria* | | | | |
| Supportive Services | | Chapter 7.4 | X | | |
| | *LWIB **must** define available Supportive Services* | | | | |
| Needs Related Payments (NRPs) for Adults and Dislocated Workers | | Chapter 7.4.1 | | X | |
| | *LWIB **may** create an NRP policy* | | | | |
| Youth Services and Competitive Procurement of Youth Providers | | Chapter 7.5 | | X | |
| | *LWIB **must** follow local procurement policy and procedures* | | | | |
| | *LWIB **may** define supportive services for Youth (if not included in policy for Adult/DW)* | | | | |
| Privacy and Security (Personally Identifiable Information) | | Chapter 8.2.2 | X | | |
| | *LWIB **must** establish a monitoring policy* | | | | |
| Nondiscrimination and Equal Employment Opportunity Provisions | | Chapter 8.3.2 | | | X |
| Reporting of Accrued Expenditures | | Chapter 8.3.3 | | | X |
| Property Control for Property Purchased with WIOA Funds | | Chapter 8.3.6 | X | | |
| | *Grantees **must** have fiscal policy and* | | | | |

| | | | | | |
|---|---|---|---|---|---|
| | *procedures* | | | | |
| Reporting | | Chapter 8.3.7 | | | X |
| Training Expenditure Requirement | | Chapter 8.4 | | | X |
| Compliant and Grievance Procedures (Nondiscrimination) | | Chapter 8.5 | X | | |
| | *LWIB **must** develop and maintain a procedure for complaints and grievances from participants and other interested parties as they pertain to WIOA Title IB services and benefits* | | | | |
| Assistance Listing Subaccounts | | Chapter 8.7 | | | X |
| Pre-Award Survey for Relocating Establishments | | Chapter 8.8 | | | X |
| Rapid Response | | Chapter 9 | | | X |
| Nondiscrimination Plan (was MOA) | | Chapter 10 | | | X |

LOCAL WORKFORCE INVESTMENT AREA (LWIA 26)

CHIEF ELECTED OFFICIAL AND GRANT RECIPIENT/FISCAL AGENT AGREEMENT

This Agreement is entered into by the Chief Elected Officials (CEOs) of Local Workforce Investment Area LWIA 26 and the Southern 14 Workforce Investment Board, Inc. (SO. 14) to be referred to as SO. 14 for the purpose of this document. The CEOs designate SO. 14 as the Grant Recipient/Fiscal Agent to act on their behalf pursuant to the Workforce Innovation and Opportunity Act of 2014 (WIOA).

While WIOA permits the CEOs to designate an entity to serve on their behalf as grant recipient and fiscal agent, the CEOs understand that this designation does not relieve them of their financial liability for any misspent funds. Under WIOA, the CEOs retain ultimate liability for the repayment of any WIOA funds which have been misused or costs which have been disallowed.

The purpose of this Agreement is for CEOs to articulate their expectations of their designated Grant Recipient/Fiscal Agent and for the designated Grant Recipient/Fiscal Agent to acknowledge and accept these expectations.

A. Delegation of CEO Authority and Responsibilities

1. The CEOs delegate to SO. 14 the power and responsibility to enter into contracts, subcontracts, and other agreements; to receive, expend, and distribute funds; to develop and evaluate procedures for financial management; and to hire, organize, and train the staff needed to carry out their responsibilities.

2. SO. 14 agrees to accept on behalf of the CEOs all grant funds associated with Title IB of WIOA, as well as other related grants designed to help them carry out their purpose. This responsibility also includes funds available under the Trade Adjustment Act (TAA).

3. SO. 14 agrees to disburse WIOA funds for allowable workforce investment activities on behalf of the CEOs. As required by law, these disbursements will occur at the direction of the local workforce board of LWIA 26, provided that the purpose for the disbursement is allowable, authorized and documented.

4. The CEOs agree to reimburse SO. 14 for necessary and reasonable administrative costs for performing the duties of grant recipient/fiscal agent as reflected in an operating budget which SO. 14 shall submit to CEOs annually for approval.

5. SO. 14 acknowledges that no providing for profit is allowed and that any excess of revenue over its costs must be counted as program income, and spent in compliance with WIOA program income requirements. SO. 14 also acknowledges that interest earned on funds received under WIOA Title I must also be included in program income.

B. General CEO Expectations for Administration

1. The CEOs expect SO. 14 to comply with Federal and State law, regulation and policy established for WIOA programs.

2. The CEOs expect SO. 14 to comply with relevant circulars of the Office of Management and Budget. These include but are not limited to the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* at 2 CFR, Part 200 and DOL's Exceptions at 2 CFR 2900.

3. The CEOs expect SO. 14 to comply with all of the requirements under the Grant Accountability and Transparency Act (GATA).

4. The CEOs expect SO. 14 to identify and acquire an accounting system that will meet all the fund accounting and reporting requirements for WIOA programs.

5. The CEOs expect SO. 14 to employ and train a sufficient number of qualified staff necessary to fulfill the duties of grant recipient/fiscal agent, subject to the limitations of an annual budget.

6. The CEOs expect SO. 14 to identify and train an Illinois Workforce Development System (IWDS) administrator who will administer the participant data management and reporting system.

7. The CEOs expect SO. 14 to continuously review operational policies and to make recommendations to the CEOs to streamline or improve administration of WIOA programs.

8. The CEOs expect SO. 14 to establish and manage an appropriate system for the award and administration of grants and contracts, including monitoring of grants and contracts.

9. The CEOs expect SO. 14 to enter into written grant agreements or contracts only as needed and when clear goals and obligations are established.

10. The CEOs expect SO. 14 to monitor the implementation of all grants and contracts, and to fulfill the requirement on local areas to conduct program and financial monitoring not less frequently than annually.

11. The CEOs expect SO. 14 to take prompt and appropriate corrective action upon becoming aware of any evidence of a violation of Federal or State WIOA rules and policies.

12. The CEOs expect SO. 14 to closely monitor the life of all grant funds to ensure they are used to the maximum amount allowed under WIOA and to avoid any loss of funds allocated to the local workforce investment area.

C. Procedural Expectations of CEOs:

1. The CEOs expect SO. 14 to develop all required procedures for program planning, evaluation, and quality improvement systems of behalf of the CEOs.

2. The CEOs expect SO. 14 to develop a property control system that meets all Federal and State requirements and that provides for a full accounting of all property and equipment purchased with WIOA funds.

D. Services Expectations of CEOs:

1. The CEOs expect SO. 14 to remain an honest broker for service planning and resource allocation. The CEOs expect SO. 14 decisions to be transparent and based on the good of participants and the service delivery system within the local workforce investment area as a whole.

2. The CEOs expect that SO. 14 shall not exclude any participant from program participation, deny any participant benefits, subject any participant to discrimination, or deny employment to any participant because of race, color, religion, sex, national origin, age, disability, or political affiliation or belief.

3. The CEOs expect SO. 14 to organize and execute its grant recipient and fiscal gent responsibilities to assure the fair and equitable allocation of grant funds across all counties within the local workforce investment area. Planning and resource allocation decisions shall be based on current labor market information, the number unemployed, the population of the various counties, the number of plant closings and mass layoffs, and the unique needs of the communities within each county. SO. 14 will make these determinations transparently and keep the CEOs informed about these planning and resource allocation decisions.

E. Reporting Expectations of CEOs

1. The CEOs expect SO. 14 to provide the following information bi-monthly:

a. Reports and other documents that summarize the current financial conditions of all WIOA grants awarded to LWIA 26, including income, expenditures, fund balances, comparison to approved budget and other financial metrics the CEOs may identify in conjunction with the execution of their responsibilities under this Agreement.

b. Reports and other documents that summarize current program performance in LWIA 26 against the negotiated performance standards required under WIOA, including whether the local area is meeting, exceeding or failing to meet each performance standard.

c. Reports and documents that summarizes known compliance issues or concerns along with an explanation of any out-of-compliance notices received for any program for which the CEOs retain ultimate responsibility.

2. The CEOs expect SO. 14 to meet with the CEO Consortium on a regular basis to review reports and address CEO questions or concerns. These meetings shall be held on a quarterly basis.

F. Separation of Duties:

1. The CEOs expect SO. 14 to follow all separation of duties and conflict of interest requirements under WIOA.

G. CEO Expectations Related to Liability

1. The CEOs will hold SO. 14 accountable for all occurrences of expenditures or costs that violate WIOA requirements. This includes disallowed costs resulting from SO. 14's failure to apply or properly interpret WIOA requirements; negligence; SO. 14's failure to follow accepted standards or financial management; or other failure to safeguard WIOA funds on behalf of CEOs. CEOs agree that all agreements or contracts with service providers shall include provisions that require the service provider to be responsible for disallowed costs resulting from the service provider's known failure to apply or properly interpret WIOA requirements, gross negligence, the service provider's failure to follow accepted standards of financial management or other failure to safeguard WIOA funds on behalf of CEOs.

H. Other Expectations of CEOs

1. The expectations identified in this Agreement are not comprehensive nor intended to be. Instead, they establish a baseline set of expectations to guide SO. 14 in its role as grant recipient and fiscal agent.

2. The CEOs expect to work in partnership with SO. 14 to safeguard WIOA funds and to assure that the funds available in LWIA 26 are used for the maximum benefit of citizens in the fourteen counties.

3. The CEOs will provide leadership and guidance to the Southern 14 Workforce Investment Board, Inc. of LWIA 26 and expect the full cooperation of the Southern 14 Workforce Investment Board, Inc. of LWIA 26 with the CEOs. If the Southern 14 Workforce Investment Board, Inc. of LWIA 26 fails to cooperate or fails to act in a way beneficial to the successful operation of services or programs under the control of the CEOs, the CEOs will take appropriate action to require the cooperation of the Southern 14 Workforce Investment Board, Inc. of LWIA 26, up to and including the appointment of new members to the Southern 14 Workforce Investment Board, Inc. of LWIA 26.

REC'D MAY 0 1 2018

I. Effective Date

This Agreement shall become effective on July 1, 2017 and continue from year-to-year unless either the CEOs or SO. 14 initiate steps to terminate it. If either the CEOs or SO. 14 plans to terminate this Agreement, a minimum of 60 days' notice in writing shall be given to the other as to this intent.

Signatures on behalf of the Chief Elected Officials for LWIA 26:

Chalen Tatum

Chalen Tatum, Alexander County

Sam Arnold, Edwards County

Randy Drone, Gallatin County

Brad Miller, Hamilton County

Mike Burton, Hardin County

Ernie Henshaw, Johnson County

Jerel Childers, Massac County

Larry Richards, Pope County

Monte Russell, Pulaski County

Jay Williams, Saline County

Bobby Toler Jr., Union County

Tim Hocking, Wabash County

Steve Earhart, Wayne County

David Dosher, White County

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

Royce Carter

SO.14 Board Chair

I. Effective Date

This Agreement shall become effective on July 1, 2017 and continue from year-to-year unless either the CEOs or SO. 14 initiate steps to terminate it. If either the CEOs or SO. 14 plans to terminate this Agreement, a minimum of 60 days' notice in writing shall be given to the other as to this intent.

Signatures on behalf of the Chief Elected Officials for LWIA 26:

Chalen Tatum, Alexander County

Sam Arnold, Edwards County

Randy Drone

Randy Drone, Gallatin County

Brad Miller, Hamilton County

Mike Burton, Hardin County

Ernie Henshaw, Johnson County

Jerel Childers, Massac County

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Monte Russell, Pulaski County

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Tim Hocking, Wabash County

Steve Earhart, Wayne County

David Dosher, White County

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

Royce Carter

SO.14 Board Chair

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Signatures on behalf of the Chief Elected Officials for LWIA 26:

| | |
|---|---|
| Chalen Tatum, Alexander County | Sam Arnold, Edwards County |
| Randy Drone, Gallatin County | Brad Miller, Hamilton County |
| Mike Burton, Hardin County | Ernie Henshaw, Johnson County |
| Jerel Childers, Massac County | Larry Richards, Pope County |
| Monte Russell, Pulaski County | Jay Williams, Saline County |
| Bobby Toler Jr., Union County | Tim Hocking, Wabash County |
| Steve Earhart, Wayne County | David Dosher, White County |

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

| | |
|---|---|
| Royce Carter | SO.14 Board Chair |

REC'D MAY 0 1 2018

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| Monte Russell, Pulaski County | Jay Williams, Saline County |
| Bobby Toler Jr., Union County | Tim Hocking, Wabash County |
| Steve Earhart, Wayne County | David Dosher, White County |

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

| | |
|---|---|
| Royce Carter | SO.14 Board Chair |

I. Effective Date

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Signatures on behalf of the Chief Elected Officials for LWIA 26:

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| Chalen Tatum, Alexander County | Sam Arnold, Edwards County |
| Randy Drone, Gallatin County | Brad Miller, Hamilton County |
| Mike Burton, Hardin County | Ernie Henshaw, Johnson County |
| Jerel Childers, Massac County | Larry Richards, Pope County |
| Monte Russell, Pulaski County | Jay Williams, Saline County |
| Bobby Toler Jr., Union County | Tim Hocking, Wabash County |
| Steve Earhart, Wayne County | David Dosher, White County |

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

| | |
|---|---|
| Royce Carter | SO.14 Board Chair |

I. Effective Date

This Agreement shall become effective on July 1, 2017 and continue from year-to-year unless either the CEOs or SO. 14 initiate steps to terminate it. If either the CEOs or SO. 14 plans to terminate this Agreement, a minimum of 60 days' notice in writing shall be given to the other as to this intent.

Signatures on behalf of the Chief Elected Officials for LWIA 26:

| | |
|---|---|
| Chalen Tatum, Alexander County | Sam Arnold, Edwards County |
| Randy Drone, Gallatin County | Brad Miller, Hamilton County |
| Mike Burton, Hardin County | Ernie Henshaw, Johnson County |
| Jerel Childers, Massac County | Larry Richards, Pope County |
| Monte Russell, Pulaski County | Jay Williams, Saline County |
| Bobby Toler Jr., Union County | Tim Hocking, Wabash County |
| Steve Earhart, Wayne County | David Dosher, White County |

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

| | |
|---|---|
| Royce Carter | SO.14 Board Chair |

I. Effective Date

This Agreement shall become effective on July 1, 2017 and continue from year-to-year unless either the CEOs or SO. 14 initiate steps to terminate it. If either the CEOs or SO. 14 plans to terminate this Agreement, a minimum of 60 days' notice in writing shall be given to the other as to this intent.

Signatures on behalf of the Chief Elected Officials for LWIA 26:

| | |
|---|---|
| Chalen Tatum, Alexander County | Sam Arnold, Edwards County |
| Randy Drone, Gallatin County | Brad Miller, Hamilton County |
| Mike Burton, Hardin County | Ernie Henshaw, Johnson County |
| Jerel Childers, Massac County | Larry Richards, Pope County |
| Monte Russell, Pulaski County | Jay Williams, Saline County |
| Bobby Toler Jr., Union County | Tim Hocking, Wabash County |
| Steve Earhart, Wayne County | David Dosher, White County |

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

| | |
|---|---|
| Royce Carter | SO.14 Board Chair |

I. Effective Date

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Signatures on behalf of the Chief Elected Officials for LWIA 26:

| | |
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| Chalen Tatum, Alexander County | Duane Lear, Edwards County |
| Randy Drone, Gallatin County | Brad Miller, Hamilton County |
| Mike Burton, Hardin County | Ernie Henshaw, Johnson County |
| Jerel Childers, Massac County | Larry Richards, Pope County |
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| Steve Earhart, Wayne County | David Dosher, White County |

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

| | |
|---|---|
| Royce Carter | SO.14 Board Chair |

I. Effective Date

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Signatures on behalf of the Chief Elected Officials for LWIA 26:

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| Chalen Tatum, Alexander County | Sam Arnold, Edwards County |
| Randy Drone, Gallatin County | Brad Miller, Hamilton County |
| Mike Burton, Hardin County | Ernie Henshaw, Johnson County |
| Jerel Childers, Massac County | Larry Richards, Pope County |
| Monte Russell, Pulaski County | Jay Williams, Saline County |
| Bobby Toler Jr., Union County | Tim Hocking, Wabash County |
| Steve Earhart, Wayne County | David Dosher, White County |

Signature(s) on behalf of the Southern 14 Workforce Investment Board, Inc. (Agency)

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| Royce Carter | SO.14 Board Chair |

# CEO Acknowledgment and Designation Form

Local Workforce Innovation Area: 26

## SECTION ONE – Designation of Grant Recipient or Subrecipient

***Single CEO Local Workforce Innovation Area***

☐ The Chief Elected Official ("CEO")* will serve as grant recipient.

☐ The Chief Elected Official designates the following entity as grant subrecipient (include entity name and mailing address):

_____

_____

_____

_____

***Multiple CEOs Local Workforce Innovation Area***

☐ One Chief Elected Official, designated through a CEO Agreement, will serve as the grant recipient. The designated CEO and his/her mailing address are as follows:

_____

_____

_____

_____

☒ The Chief Elected Officials, through a CEO Agreement, designated the following entity as grant subrecipient (include entity name and mailing address):

Southern 14 Workforce Investment Board, Inc.

304 E Robinson St. PO Box 186

Carmi, IL 62821

_____

***NOTE: "CEO" or "Chief Elected Official," except in reference to the individuals required to sign in Section Five herein, refers to the CEO's unit of general local government, not the CEO personally.**

## SECTION TWO – DESIGNATION OF FISCAL AGENT

The Chief Elected Official(s) may designate an entity to serve as a local fiscal agent. Designation of a fiscal agent does not relieve the Chief Elected Official(s) of liability for the misuse of grant funds. If the CEO(s) designates a fiscal agent, the CEO must ensure the agent meets the minimum qualifications defined by the "GATA Framework for a Grantee Fiscal Agent Function" (see website link on the References tab in ePolicy) and must ensure that the agent has clearly defined roles and responsibilities through a written agreement and as set forth in 20 CFR 679.420 (see the policy on Chief Elected Official Delegation of Authority and Acknowledgment of Financial Liability, Chief Elected Official's Financial Liability, Number 3). The CEO(s) has designated as fiscal agent (include entity name, mailing address and contact person):

Southern 14 Workforce Investment Board, Inc.

304 E. Robinson St. PO Box 186

Carmi, IL 62821

Dean Rogan Sr. Chair, Tim Hocking Consortium Chair,

Shane Neuman Vice Chair

## SECTION THREE – DESIGNATION OF SIGNATURE AUTHORITY

The CEO as grant recipient, or any designated grant recipient or subrecipient, will be responsible for having an authorized individual associated with the recipient or subrecipient organization, as applicable, execute all grant agreements and related budget and disclosure forms. Other individuals, within or outside the grantee organization, with authority granted by the grantee organization, may sign other grant-related documents, such as periodic reports. All individuals with either type of designated signature authority must also be listed on the grant agreements as an authorized designee. In the space below, please list all individuals who are designated to have signature authority on behalf of the Chief Elected Official as grant recipient or on behalf of any designated grant recipient or subrecipient, as applicable, and indicate whether the authorization is for signing grant agreements, budget and disclosure forms, or for other grant-related documents. (Please list the name of the designated individual(s), the position(s) held, and the organization name(s).)

***Signature Authority for Grant Agreements, Budget and Disclosure Forms (must be from grantee entity or provide proof of signature authority)***

Dean Rogan Sr. Board Chair, Tim Hocking Consortium Chair, or

Shane Neuman Vice Chair

Southern 14 Workforce Investment Board, Inc.

***Signature Authority for Other Grant-Related Documents***

Dean Rogan Sr. Board Chair, Tim Hocking Consortium Chair, or

Shane Neuman Vice Chair

Southern 14 Workforce Investment Board, Inc.

***(NOTE: The CEO may elect not to designate anyone else to have signature authority.)***

## SECTION FOUR – ACKNOWLEDGMENT OF FINANCIAL RESPONSIBILITY

Under the Workforce Innovation and Opportunity Act ("WIOA") the Chief Elected Official in a local workforce area is financially responsible for the use of WIOA funds. In a multiple CEO area where one CEO serves as the grant recipient, all CEOs in the local workforce area remain responsible for the misuse of WIOA funds. Likewise, in areas where the CEO (in a single CEO area) or the CEOs (in a multiple CEO area) designate a grant subrecipient and/or a fiscal agent, the CEO/CEOs remain financially liable for any misuse of WIOA funds. All CEOs in a local workforce area will be held jointly and severally responsible for the repayment of any misspent funds by a designated grant recipient, subrecipient or fiscal agent.

## SECTION FIVE - SIGNATURES

Each Chief Elected Official in the local workforce innovation area must sign below to indicate his/her acknowledgment, understanding and agreement with the designations and financial responsibilities this form encompasses. Note: CEOs sign this document on behalf of the governmental entity they represent and not as individuals.

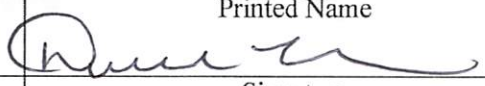
| | | |
|---|---|---|
| 1 | ~~Joe Griggs~~ Jim Smith | CEO Alexander County |
| | Printed Name | Title |
| | Signature | 1/31/2026 Date |
| 2 | Duane Lear | CEO Edwards County |
| | Printed Name | Title |
| | Signature | 1/31/2026 Date |
| 3 | Andrew Lunsford | CEO Gallatin County |
| | Printed Name | Title |
| | Signature | 1/31/2026 Date |
| 4 | Kelly Woodrow | CEO Hamilton County |
| | Printed Name | Title |
| | Signature | 1/31/2026 Date |
| 5 | Darrick Armstrong | CEO Hardin County |
| | Printed Name | Title |
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| 3 | Andrew Lunsford | CEO Gallatin County |
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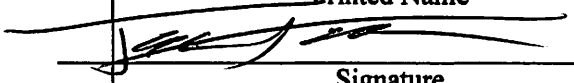
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| | Printed Name | Title |
| | | 1/31/2026 |
| | Signature | Date |
| 14 | Cassie Hughes | CEO White County |
| | Printed Name | Title |
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| | Jayson Farmer | 1/31/2026 | |
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| | | 1/31/2026 |
| | Signature | Date |
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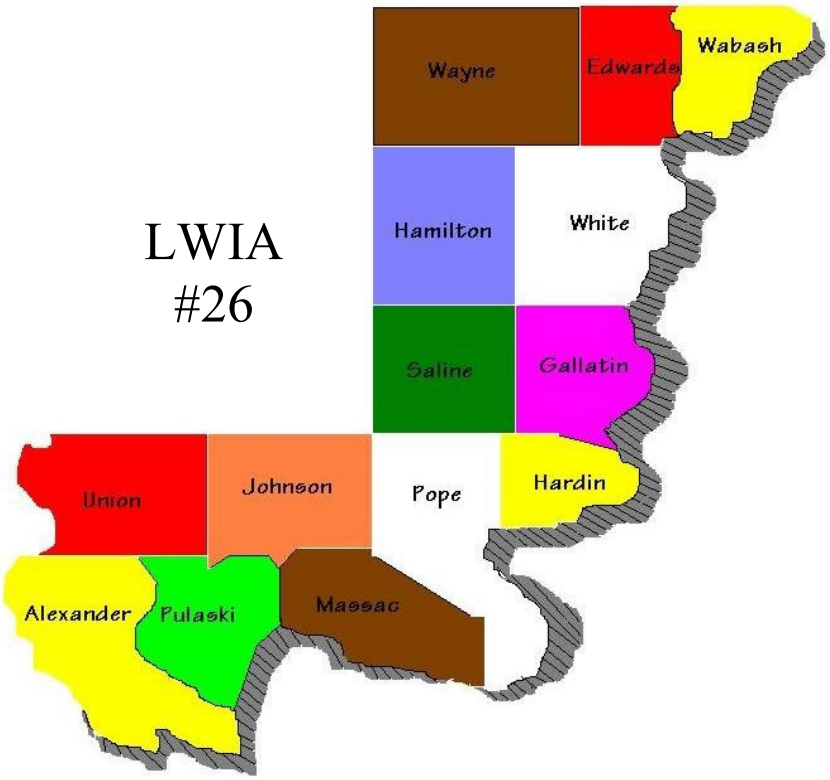
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**SOUTHERN 14 WORKFORCE INVESTMENT BOARD, INC.**

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LWIA
#26




# BYLAWS

APPROVED BY SO. 14 LWIB 3.13.2018

## ARTICLE I
## NAME/SERVICE AREA/OFFICE LOCATION/DEFINITIONS/AUTHORITY

**SECTION 1. NAME**
The name of this organization shall be the Southern 14 Workforce Investment Board, Inc. (hereafter referred to as "the Board").

**SECTION 2. SERVICE AREA**
The Board shall serve the residents of Alexander, Edwards, Gallatin, Hamilton, Hardin, Johnson, Massac, Pope, Pulaski, Saline, Union, Wabash, Wayne and White Counties, hereinafter referred to as Workforce Innovation Area # 26.

**SECTION 3. OFFICE LOCATION**
The official office location and mailing address shall be: 304 East Robinson Street, PO Box 186, Carmi, IL 62821

**SECTION 4. AUTHORITY**
The Board shall act as the Workforce Innovation Board ("WIB") for local Workforce Innovation Area 26. The Board shall conduct and engage in activities as set forth in the federal Workforce Innovation and Opportunity Act (hereinafter referred to as "WIOA"), applicable federal regulations, state, and local law.

**SECTION 5. DEFINITIONS**
For the purposes of these bylaws and consistent with WIOA, “Chief Elected Officials or Chief Local Elected Officials (CEOs)” are defined as the County Board Chairs of Alexander, Edwards, Gallatin, Hamilton, Hardin, Johnson, Massac, Pope, Pulaski, Saline, Union, Wabash, Wayne and White Counties.

## ARTICLE II
## VISION/PURPOSE/FUNCTION

### SECTION 1. VISION
The vision for the Board is to serve as a strategic leader and convener of local workforce system stakeholders. The Board partners with employers and the workforce system to develop policies and investments that support workforce system strategies that support regional economies, the development of effective approaches including local and regional sector partnerships and career pathways, and high-quality, customer-centered service delivery and service delivery approaches.

### SECTION 2. PURPOSE
The purpose of the Board is to:

- Provide strategic and operational oversight in collaboration with the required and additional partners and workforce stakeholders to help develop a comprehensive and high-quality workforce system in the local area and larger planning region;
- Assist in the achievement of the State's strategic and operational vision and goals as outlined in the Unified State Plan; and
- Maximize and continue to improve the quality of services, customer satisfaction, and effectiveness of the services provided.

### SECTION 3. FUNCTION
In partnership with the CEO(s), the Board sets policy for the local workforce system consistent with State policies. The functions of the Board are described in WIOA Sec. 107(d) and are as follows:

A. Develop and submit a 4-year local plan for the local area, in partnership with the CEO(s) and consistent with Section 108 of WIOA;

B. Develop and submit a regional plan in collaboration with other local areas in the designed region. The local plan must be submitted as a part of the regional plan;

C. Conduct workforce research and regional labor market analysis as defined in section 107(d)(2) of WIOA;

D. Convene local workforce system stakeholders to assist in the development of the local plan under Section 108 and in identifying non-federal expertise and resources to leverage support for workforce activities;

E. Lead efforts to engage with a diverse range of employers and other entities in the region in order to promote business representation on the Board, develop effective linkages with employers in the region, ensure that workforce investment activities meet the needs of employers, and develop and implement proven or promising strategies for meeting the employment and skill needs of workers and employers;

F. With representatives of secondary and post-secondary education programs, lead efforts to develop and implement career pathways within the local area by aligning the employment, training, education, and supportive services that are needed by adults and youth, particularly individuals with barriers to employment;

G. Lead efforts in the local area to identify and promote proven and promising strategies and initiatives for meeting the needs of employers, workers and jobseekers, and identify and disseminate information on proven and promising practices carried out in other local areas for meeting such needs;

H. Develop strategies for using technology to maximize the accessibility and effectiveness of the local workforce system for employers, and workers and jobseekers consistent with Section 107(d)(7) of WIOA;

I. In partnership with the chief elected official for the local area, conduct oversight of: youth workforce investment activities authorized under WIOA Sec. 129(c), adult and dislocated worker employment and training activities under WIOA Secs. 134 (c) and (d); and entire one-stop delivery system in the local area; ensure the appropriate use and management of the funds provided under WIOA Subtitle B for the youth, adult, and dislocated worker activities and one-stop delivery system in the local area; and ensure the appropriate use management, and investment of funds to maximize performance outcomes under WIOA Sec. 116;

J. Negotiate and reach agreement on local performance measures with the CEO and the Governor;

K. Negotiate with CEO and required partners on the methods for funding the infrastructure costs of one-stop centers in the local area in accordance with WIOA or must notify the Governor if they fail to reach agreement at the local level and will use a State infrastructure funding mechanism;

L. Select providers of youth workforce investment activities, training services, career services, and one-stop operators in the local area as specified in WIOA, and where appropriate terminate such providers in accordance with 2 CFR Part 200;

M. In accordance with WIOA Sec. 107(d)(10)(E) work with the State to ensure there are sufficient numbers and types of providers of career services and training services serving the local area and providing the services in a manner that maximizes consumer choice, as well as providing opportunities that lead to competitive integrated employment for individuals with disabilities;

N. Coordinate activities with education and training providers in the local area, including reviewing applications to provide adult education and literacy activities under Title II for the local area to determine whether such applications are consistent with the local plan, making recommendations to the eligible agency to promote alignment with such plan, and replicating and implementing cooperative agreements to enhance the provision of services to individuals with disabilities and other individuals;

O. Develop a budget for the activities of the Board, with approval of the CEO and consistent with the local plan and the duties of the Board;

P. Assess, on an annual basis, the physical and programmatic accessibility of all one- stop centers in the local area, in accordance with WIOA Sec. 188, if applicable, and applicable provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.); and

Q. Certification of one-stop centers in accordance with WIOA.

## ARTICLE III
## MEMBERSHIP

### SECTION 1. COMPOSITION

Board membership shall be composed of representatives required under WIOA and by policies established by the State of Illinois.

**Live or Work Policy** - Members may reside outside of the local area but must work within the boundaries of the local area, or be responsible for workNet Centers partner programs within the area.

The Board members shall be appointed by the CEO(s) for Workforce Innovation Area # 26 in accordance with the following categories:

A. **Business Sector** – Members of this category shall constitute a majority of the membership of the Board. Members must be owners of businesses, chief executives or chief operating officers or other business executives or employers with optimum policy making or hiring authority. At least two business members must meet the requirements of a small business as defined by the Small Business Administration.

B. **Workforce Sector** – Members of this category shall constitute at least twenty percent (20%) of the membership. The members shall include at least two (2) representatives of labor organizations and one (1) representative of registered apprenticeship programs (if they exist in the area); may include representatives from community-based organizations that have demonstrated experience and expertise addressing the employment needs of individuals with barriers to employment, including organizations that serve veterans or that provide or support competitive integrated employment for individuals with disabilities; and may include representatives of organizations that have demonstrated experience and expertise in addressing the employment, training, or education needs of eligible youth, including representatives of organizations that serve out-of-school youth.

C. **Education and Training Sector** – Local educational program representatives which shall include an eligible provider of adult education and literacy activities, and a representative of institutions of higher education providing workforce investment activities (including community colleges). The members may include entities administering education and training activities that represent local education agencies and community-based organizations with demonstrated expertise addressing the education or training needs of individuals with barriers to employment. No single member of a local board shall serve as a representative of the adult education and literacy activities under Title II and the institution of higher education providing workforce investment activities.

D. **Governmental and Economic and Community Development Sector** – Entities shall include economic and community development entities, Wagner-Peyser, Title I of the Rehabilitation Services Act of 1973. Members in this category may include a representative that administers local programs providing transportation, housing and public assistance in the local area or a representative of philanthropic organizations serving the local area.

E. **Other Sector** – May include such other individuals or representatives of entities as the CEO(s) may determine to be appropriate.

## SECTION 2. SELECTION/NOMINATION

A. The CEO(s) shall make appointments and reappointments in accordance with the Chief Elected Official Consortium Agreement for Area #26 and criteria established by the State of Illinois.

B. All representatives of organizations, agencies or other entities serving on the local board shall be individuals with optimum policy making authority within the organizations, agencies or entities they represent, and should represent the diverse geographic areas within the local area.

C. Business representatives are to be from local businesses and are appointed from among individuals nominated by local business organizations and business trade associations.

D. Labor representatives are to be nominated by local labor federations or (for a local area in which no employees are represented by such organizations) by other representatives of employees, such as employee organizations and/or the State AFL-CIO.

E. Representatives of local educational entities providing adult education and literacy activities and institutions of higher education (including representatives of community colleges) are to be nominated by each respective group if there are multiple providers in the local area.

F. Individuals may nominate themselves if they meet the criteria to nominate and represent the particular business, organization, or program for which they are being nominated.

## SECTION 3. TERM LIMITATIONS

Appointments to this board shall be made in accordance with the Chief Elected Official Consortium Agreement. Appointments and reappointments will occur October 1 of each year. Each term of appointment will be three (3) years. Board members shall serve staggered terms. One-third of the board is to be reappointed or replaced annually. Initial terms will be for one, two, or three-year terms to maintain equal numbers of Board members up for reappointment each year.

Thereafter all appointment and reappointment terms will be for three years.

Nominees are considered board members with full voting rights on the date the CEO Consortium Chair signs and dates the board composition summary form to submit to the state.

Board members will serve until their term of office expires; or their status under which they were appointed changes; or a majority of the CEO(s) agree to revoke their appointments; or the member becomes incapacitated or otherwise unable to complete their term of office; or the member resigns.

When possible, members shall serve until their successors are appointed.

## SECTION 4. VACANCIES

Staff to the board shall notify the CEO(s) of a board member vacancy within ninety (90) days of the vacancy in order to ensure a prompt appointment to the vacancy.

Nominations for filling vacancies shall be made in the same manner as was made for the resigning member. Upon appointment, the member shall serve the unexpired term of the member whose vacancy he/she is filling.

## SECTION 5. PROXY/ALTERNATE DESIGNEE

Members must be present at meetings to cast a vote and may not vote by proxy/designee.

## SECTION 6. COMPENSATION/REIMBURSEMENT OF EXPENSES

No member of the Board shall receive compensation for his/her services on the Board. However, Board members may be reimbursed for mileage to and from Board and committee meetings if their employer does not provide mileage reimbursement. Mileage reimbursement will be made at the current federal rate. Per Diem may also be paid to members attending board and committee meetings if food is not provided at such meeting.

## SECTION 7. TERMINATION/REMOVAL

A. Any member may resign from the Board upon written request to the Board Chairperson(s) and the respective CEO. If a member resigns prior to the expiration date of his/her term in office, the vacancy shall be filled by the CEO who appointed the resigning member.

B. Board member appointments may be revoked by the appointing CEO or by a request from the appointing CEO for a vote of the CEOs and the concurrence of at least 50% (7 votes plus CEO Consortium Chair approval) members of the Consortium of CEOs.

C. Board membership requirements include regular attendance at meetings of the Board and assigned committees. The Executive Committee will review the reasons for the absences and may make a recommendation as to what actions, if any, should be taken.

D. Should a Board member cease to represent the category to which he/she was appointed to fill on the Board through change in status, or otherwise become disabled, ill or unable to perform his/her duties on the Board, he/she shall be removed upon recommendation of the Executive Committee to the CEOs.

E. A member may be removed for cause by a majority of members present at an official meeting upon recommendation of the Executive Committee and in conjunction with the CEO(s).

## SECTION 8. OTHER CONDITIONS

A. Former employees of the agency may not serve on the Board of Directors until a period of 18 months has passed. Former employees who have been involuntarily terminated are prohibited from serving on the board.

## ARTICLE IV
## BOARD OFFICERS

Board members shall nominate a slate of officers for the Board. The officers shall consist of Chairperson, Vice-Chairperson and Secretary/Treasurer. The slate of officers shall be selected based upon a majority vote of the quorum present at the regular meeting in June each year for duration of a two (2) year term. The elected officers shall take office at the conclusion of the June meeting. [The slate of officers shall not include more than one representative from the same county.] Officers of the Board shall be members with at least three years of So. 14 LWIB experience. The Board Chairperson(s) and Vice Chairperson(s) must be nominated from among the Board's business representatives.

### SECTION 1. CHAIRPERSON(S)

The Chairperson -

- Shall preside at all Board meetings;
- Shall preside at all Executive Committee meetings;
- Shall establish agendas for each Board and Executive Committee meeting;
- Shall sign, on behalf of the Board, all necessary legal documents;
- Shall establish, at the direction of the members, such ad hoc committees as the Board deems necessary to carry out its responsibilities;
- Shall appoint, all members of the standing committees and ad hoc committees;
- Shall be the official representative of the Board, as required;
- May call special meetings of the Board;
- Shall present the Annual Report to the Board; and
- Shall be an advisory member of all committees.

### SECTION 2. VICE CHAIRPERSON(S)

- Shall assume all duties and responsibilities of the Chairperson in the Chairperson's absence or disability.

### SECTION 3. SECRETARY/TREASURER

- Shall perform those functions common to that office under the direction of the Chairperson.

### SECTION 4. REMOVAL

Any officer may be removed by the majority vote of the quorum present at a regular meeting whenever in its judgment the best interests of the Board may be served thereby. Grounds for removal shall include, but not be limited to, conduct involving moral turpitude.

## ARTICLE V
## COMMITTEES

The Board's Chairperson(s) shall have the power to create standing and ad hoc committees and to assign committee chairs and members. Committees shall meet at the call of the committee chair as necessary. Meetings shall be conducted in the same manner and formality as regular Board meetings following Robert's Rules of Order and the Illinois Open Meetings Act.

All Committees, except the Executive, are advisory and will make recommendations to the full Board.

The responsibilities of each of the committees are outlined in **Addendum A** to these bylaws.

### SECTION 1. EXECUTIVE COMMITTEE

The Board shall have an Executive Committee consisting of the Board Officers and the Standing Committee Chairs.

The Executive Committee is authorized to act on behalf of the full Board in the event of an urgent matter that requires action prior to the next scheduled Board meeting.

Elected officers of the board may serve as committee chairs, but they have only one vote on the Executive Committee.

Decisions of the Executive Committee will be ratified by the Board at the next regularly scheduled meeting.

### SECTION 2. STANDING COMMITTEES

The standing committees of the Board shall consist of: Executive Committee, Personnel Committee, Finance Committee, One-Stop Operations Committee, Youth Committee, Individuals with Disabilities Committee, Oversight Committee, Employer Engagement Committee, the Policy and Planning Committee.

The Board Chairperson(s) shall select committee chairs from among the Board's membership. The committee chairs shall come from the business sector whenever possible and feasible.

The standing committees may include individuals appointed by the Board who are not members and who the Board has determined have demonstrated experience and expertise by contributing to the field of workforce development, human resources, training and development, or a core program function; or the Board recognizes for valuable contributions in education or workforce development related fields. Non-Board members will serve on a committee with the same voting rights as board members. Non-board committee members will be approved by the Executive Committee.

At least 50% of each of the standing committee members must be Board members.

To ensure Board members actively participate in board functions, each member will actively serve on a committee. The Executive Committee will survey the membership as to their interest and appoint members to the committees.

**SECTION 3. AD HOC COMMITTEES**

The Board may have ad hoc committees, as necessary, and as determined by the Board Chairperson(s). Chairpersons of ad hoc committees shall not be voting members of the Executive Committee.

## ARTICLE VI
## MEETING PROCEDURES

### SECTION 1. PROCEDURES

a. Regular meetings of the Board shall be held at a place or places to be determined by the members, at such times and as often as they may deem necessary. Board meetings shall be held quarterly (March, June, September, and December).

b. Committee meetings shall be conducted in the same manner and with the same formality as regular Board meetings. Committee meetings shall be held on an as-needed basis.
b1. Unless specifically prohibited by the articles of incorporation or these bylaws, members may participate in and act at any such committee meeting through the use of a conference telephone or other communications equipment by means of which all persons participating in the meeting can communicate with each other. Participation in such committee meeting shall constitute attendance and presence in person at the meeting of the person or persons so participating.

c. When parliamentary procedures are not covered by these bylaws, Robert's Rules of Order, Revised, shall prevail.

d. All Board and related meetings such as committee meetings shall be subject to the Sunshine provisions under WIOA and the Illinois Open Meetings Act. The Board shall conduct its meetings according to the provisions of these current laws and any and all subsequent amendments.

e. Minutes of the Board, Standing Committees, and Ad Hoc Committees shall be kept of all meetings and shall be available for anyone who requests to see them, and shall be reviewed and approved at the next Board or Committee meeting as appropriate.

f. Board committees shall meet at the call of the Standing or Ad Hoc Committee Chairperson.

g. Special meetings of members may be called at any time by the Chairperson(s) or by a petition signed by not less than 25% of the membership of the Board setting forth the reason for calling such a meeting.

h. Board staff shall send written notice of each meeting to Board members following the Illinois Open Meetings Act requirements. Members shall be afforded a minimum of five (5) calendar days' notice prior to meetings. An agenda, minutes from previous meetings and supporting materials will be provided to each member with the notice.

i. The public shall be informed of meetings through notice which shall state the purpose of the meeting, the time and the place(s). Special meeting notices shall state the purpose of the meeting and whether it has been called by the Chairperson(s) or by petition.

j. Participation in meetings shall be limited to the voting members of the Board and the CEO(s) with the following exceptions:
- Committee meetings, in which it is mandated by law that members be both Board members and non-members.
- Regularly scheduled agenda items that call for reports or participation by non-members.

- At the discretion of the Chairperson(s) and with the consent of the Board, comment or other participation by non-members which is relevant or material to the matter under consideration before the group.
- There shall be a Public Comments item regularly scheduled at all meetings at which the Chairperson(s) may recognize members of the public and non-voting Board members.

k. In matters of routine business, the chair may assume general (unanimous) consent unless or until someone objects. In those cases, a regular vote will be required.

**SECTION 2. QUORUM**
The Board or its committees shall conduct no official business in the absence of a quorum. A quorum of the full board and the Executive Committee shall consist of 40% of the voting members. A quorum of the standing committees or ad hoc committees shall be 40% of voting members of standing committees or ad hoc committees. In lieu of a quorum, the Executive Committee can conduct the business of the Board.

**SECTION 3. TECHNOLOGY**
The Illinois Open Meetings Act (5 ILCS 120/2.01) as amended requires that all public meetings be held at specified times and places which are convenient and open to the public.

It also requires that a quorum of members of a public body must be physically present at the location of an open meeting. According to the Act as amended, however, an open meeting of a public body that is a local workforce innovation area with jurisdiction over a specific geographic area of more than 4,500 square miles is held simultaneously at one of its offices, and one or more other locations in a public building, which may include other of its offices through an interactive video conference, and the public body provides public notice and public access as required under the Act for all locations, then members physically present in those locations all count towards determining a quorum.

Per 5 ILCS 102/7(d), the attendance by means other than physical presence shall not apply to closed meetings of local workforce innovation areas with jurisdiction over a specific geographic area of more than 4,500 square miles. Local workforce innovation areas with jurisdiction over a specific geographic area of more than 4,500 square miles, however, may permit members to attend meetings by other means only in accordance with and to the extent allowed by specific procedural rules adopted by the body.

"Public building" means any building or portion thereof owned or leased by any public body.

"Other means" means by video or audio conference.

The rules for the Board on procedures regarding meetings via electronic means are included in **Addendum B**.

**SECTION 4. VOTING RIGHTS – ABSENTEE VOTING**
Each member shall be entitled to one (1) vote on each matter submitted to a vote of the members unless a conflict of interest arises. Meetings include both in-person and telephonic assemblages. Members must be present at meetings to cast a vote.

## SECTION 5. CONFLICT OF INTEREST

When an issue presents a possible conflict of interest for a member, that member shall disclose the potential conflict of interest and shall abstain from voting on the matter for which a potential conflict of interest exists. A conflict of interest is any matter that has a direct bearing on services to be provided by the member or any organization such member directly represents, or any matter which would provide direct financial benefit to the member of the immediate family of the member or any organization they represents. When such a conflict of interest exits, either real or apparent, the Board member shall not make a motion, second a motion, and rate any proposal or vote on the selection of bidders. The Chair shall rule on the application of the Code of Conduct.

Immediate family members are defined as: father, mother, brother, sister, son, daughter, spouse, aunt, uncle, niece, nephew, stepparent, stepchild, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, grandparent, step-grandparent, grandchild, step-grandchild, domestic partner.

## ARTICLE VII
## INDEMNIFICATION

**SECTION 1.**
The Board shall indemnify any Board member, staff person, officer, or former Board member, staff person, or officer for expenses actually and reasonably incurred by him/her in connection with the defense of any action, suit or proceeding, civil or criminal, in which he/she is made a party by reason of being or having been a Board member, staff person, or officer, except in relation to matters in which he/she was adjudged, in the action, suit or proceeding, to be liable for negligence or misconduct in the performance of his/her Board duties.

**SECTION 2.**
The right to indemnification under this Article is only available to the extent that the power to indemnify is lawful and to the extent that the person to be indemnified is lawful and to the extent that the person to be indemnified is not insured or otherwise indemnified.

**SECTION 3.**
The Board shall have the power to purchase and maintain insurance sufficient to meet this Article's indemnification requirement.

## ARTICLE VIII
## GENERAL

**SECTION 1. RIGHT OF POLICY**
Nothing in these bylaws shall be construed to take precedence over Federal, State, or local laws or regulations or to constrain the rights or obligations of the CEOs.

**SECTION 2. ENACTMENT PROVISION**
These bylaws shall become effective after approval by a two-thirds majority vote of members present at a regular meeting after due notice to Board members. Said notice shall be made no less than five (5) days prior to the meeting at which these bylaws are enacted.

**SECTION 3. AMENDMENT**
These bylaws may be amended at any regular or special meeting of the Board by an affirmative vote of two-thirds majority vote of members present at a regular meeting. Notice must be given to Board members specifying or summarizing the proposed changes. Such notice shall be made no less than five (5) days prior to voting.

**SECTION 4. TERMINATION OF BOARD**
The Board shall remain in existence until the Workforce Innovation and Opportunity Act expires or is repealed by Congress; it is dissolved for cause by the Governor of the State of Illinois; or if the Workforce Innovation Area is re-designated by the Governor of the State of Illinois.

**SECTION 5. CONTRACTS**
The Board may authorize, when appropriate, any officer, member or staff, in addition to the officers so authorized by these bylaws, to enter into any contract in the name of and on behalf of the Board. Such authority will be limited to specific instances.

**SECTION 6. BOOKS AND RECORDS**
The Board shall keep correct minutes of the proceedings of the Board and its Standing Committees, which shall include but are not limited to:

- the date, time and place of the meeting;
- the members of the public body recorded as either present or absent; and
- a summary of discussion on all matters proposed, deliberated, or decided, and a record of any votes taken.

The minutes along with a record giving the name and address of all members and officers of the Board entitled to vote shall be kept in the Administrative Entities' office. Board attendance records will be kept and reviewed by the CEO(s) on a regular basis.

**SECTION 7. EFFECTIVE DATES**
These bylaws and any amendments thereto shall become effective immediately upon adoption, and shall remain in continuous effect from that date until otherwise amended.

**Adopted on the. 3/13/2018.** **Revisions number: N/A**

**Revised on the 3/13/2018.**

## ADDENDUM A
## EXECUTIVE AND STANDING COMMITTEE RESPONSIBILITIES

The **Executive Committee** is composed of the Board Officers and Board Committee Chairs.

The Executive Committee's responsibilities include, but are not limited to:

a. Serve as liaison to elected officials;
b. Link with other community boards;
c. Coordinate agendas of other committees;
d. Develop a committee/board dispute resolution policy;
e. Review recommendations from committees to ensure they are in accordance with federal, state, and local criteria in order to make recommendations to the Board;
f. Review and revise bylaws periodically;
g. Oversee the development of the four-year local plan, review to assure alignment of Core Partner Programs, and recommend modifications as needed;
h. Determine local labor market needs;
i. Propose new initiatives to meet local needs;
j. Recommend an annual Board budget;
k. Explore new funding streams and options, include fee-for-service options; and
l. Responsible for reviewing one-stop operator proposals and recommending their choice to the full board.

The **Personnel Committee** responsibilities include, but are not limited to:

a. Review personnel policies, including incentive and bonus plans, pay and classification studies for staff.
b. May provide interview panelists for new position hires.

The **Finance Committee** responsibilities include, but are not limited to:

a. Oversees the development of the budget, tracks accountability for funds, and reviews major grants. The Finance Committee may perform the responsibilities described for Accountability and Performance above. If not covered by the Executive Committee, they may make recommendations on the division of funds between workNet Centers/core services, intensive services and training, including individual training accounts.

**One-Stop Operations Committee**

a. Makes recommendations regarding the number of workNet Centers, budget appropriations, coordinates the negotiation and approval of workNet Centers agreements, agrees to workNet Centers partners not mentioned in the legislation, reviews workNet Centers performance including customer satisfaction, and other issues related to workNet Centers implementation.

## Youth Committee

a. Provides leadership for the development of services and programs which benefit all youth and contribute to a comprehensive workforce development system for Illinois. The committee will review those parts of the Local Plan which address youth services and make recommendations on the funds to be devoted to year round activities. The committee is responsible for coordinating youth services and recommending Service Providers to the Board. It provides oversight of youth programs.

## Individuals with Disabilities Committee

The purpose of the committee is to prepare findings, conclusions and recommendations for the Secretary of Labor on:

a. Ways to increase employment opportunities for individuals with intellectual or developmental disabilities or other individuals with significant disabilities in competitive integrated employment;
b. The use of certificate program carried act under section 14(c) of the Fair Labor Standards Act (FLSA) for the employment of individuals with intellectual or developmental disabilities or other individuals with significant disabilities; and
c. Ways to improve oversight of the use of such certificates.
d. Integrated employment refers to jobs held by people with disabilities in workplace settings where the majority of persons employed are not persons with disabilities. In these jobs, the individuals with disabilities earn wages consistent with wages paid workers without disabilities in the community performing the same or similar work, earn at least minimum wage and are paid directly by the employer.

## Oversight Committee

a. *Accountability and / or Performance IU*
Reviews monitoring and audit reports of both the organization and its Service Providers. If the Board has provided for the evaluation of its programs, the evaluations would also be properly brought before this committee. The committee may consider the elements of what is monitored as well as evaluated along with the results. Appropriate to this committee would also be reports relating to the organization's success in meeting federal and state performance standards.

b. *Program Development*
Reviews requests for proposals specification elements, new grants, hear contractor performance reports and make recommendations regarding new services to be implemented.

c. *Training Provider/Training Programs*
Review training provider applications, requests for proposals, and contracts for special segments of the population.

**Employer Engagement Committee**

a. Research the needs of local employers with respect to hiring needs and skills gaps.
b. Identify potential partners based on industry needs and standing employer relationships through existing programs, local workforce investment boards, Chambers of Commerce, economic development organizations, trade associations, and non-profits.
c. Schedule meetings of employers interested in pursuing a partnership.
d. Create a single-point of contact at the one-stops to facilitate the creation and cultivation of partnerships between the workforce system and the business community.
e. Engage employers in program design, curriculum development, and work-based learning, for both adults and youth.
f. Invite feedback and other support as the program develops, and build long-term relationships with employers.
g. Maintain regular communications.

**Policy and Planning Committee**

a. Reviews the creation and development of employment statistics, labor market information and demand occupations for the local area.

b. May set a wage rate applicable to occupations for which training will be offered, oversee job fairs and business services funded by the Board including fee for service, fund raising, retreats and planning.

c. Reviews State and Local Policy

d. *Marketing*
Oversees development and implementation of a marketing plan. This may encompass public relations, employer relations, and outreach to the community.

e. *Public Relations*
Approves public relations and marketing strategies. May approve, review or recommend the purchase of public relations services to the full Board. May review publications, press releases, annual reports and send spokespersons to other community business organizations to represent the Board.

## ADDENDUM B
## POLICY ON MEETINGS VIA ELECTRONIC MEANS

### PROCEDURES REGARDING MEETINGS AND CONFERENCING VIA ELECTRONIC MEANS

The Illinois Open Meetings Act as amended requires that all public meetings be held at specified times and places which are convenient and open to the public. It also requires that a quorum of members of a public body must be physically present at the location of an open meeting. According to the Act as amended, however, in some cases if an open meeting of a public body is held simultaneously at one of its offices, and one or more other locations in a public building, which may include other of its offices through an interactive video conference, and the public body provides public notice and public access as required under the Act for all locations, then members physically present in those locations all count towards determining a quorum. "Public building" means any building or portion thereof owned or leased by any public body. Included in the exceptions to the single open meeting location requirement are local workforce innovation areas with jurisdiction over a specific geographic area of more than 4,500 square miles [5 ILCS 120/7(d)], as long as they adopt specific procedural rules.

The Board believes it is in the best interest of its members, systems, and customers that the fullest participation and attendance in all meetings be achieved whenever possible. Furthermore, it recognizes that the use of electronic, audio or video conferencing for meeting attendance and voting requirements is permissible so long as the meeting is conducted in accordance with the Open Meetings Act. The Board in all of its regular and special, standing committee, and ad hoc committee meetings complies with and intends to comply with the provisions of the Open Meetings Act, as amended.

Therefore, the Board hereby adopts this policy, to be used when needed, to make use of the capabilities for conferencing by electronic means or any other type of audio or video conferencing for its meetings *or* any of the standing committee and ad hoc committee meetings as set forth and adopted according to the following rules as applicable:

A. All pertinent provisions of the Open Meetings Act must be complied with, including specifically the proper notice of any regular or special meeting, the proper record keeping or minutes of each meeting, the appropriate agenda preparation for each meeting, which in addition shall be posted along with the notice of the meeting; and, in particular, any use of closed sessions shall be in compliance with the provisions of the Act.

B. That sufficient security and identification procedures are employed, either at the outset of any meeting or at any time during the meeting as appropriate, to ensure that any and all members attending for discussion or voting purposes are in fact authorized members with the right to speak and vote.

C. Pursuant to the Open Meetings Act, the requirement in 5 ILCS 120/7(a) that a quorum of members of the Board MUST be physically present at the location of the meeting shall NOT apply because 5 ILCS 120/7(d) of the Act specifically excepts local workforce innovation areas of the specified size from such requirements, and authorizes them to permit attendance by other means in accordance with procedural rules such as those contained herein. Specifically, Board and committee members may attend by video and/or audio conferencing or by other electronic means for quorum and voting purposes in accordance with these provisions.

D. All Board and committee members attending meetings by electronic conferencing shall be entitled to vote as if they were personally and physically present at the meeting site so long as a quorum is, in total, present and accounted for, but their votes shall be recorded by the Secretary as done by electronic attendance.

E. A Board or committee member who attends a meeting by electronic, video or audio conference must provide notice to the recording Secretary at least 24 hours prior to the meeting unless such advance notice is impracticable.

F. A member may attend a Board or committee meeting through electronic/video/audio conferencing if, in the opinion of the member, his or her physical presence at the meeting is unable to be obtained or is inconvenient for any reason including, but not limited to reasons such as personal schedule or time conflicts, inclement weather, length of required travel time, the high cost of such travel, or vehicle, fuel or time involved.

G. As soon as it becomes apparent to the Secretary that a meeting will include electronic/audio/video conferencing, all subsequent notices of the meeting shall indicate that one or more members will or may be attending by such means. In the event that the notice of the meeting has already been disseminated and posted, a follow-up notice indicating the above shall be placed as soon as possible. In the event any news media have filed the annual request for notice of meetings, they shall receive an updated notice in the same manner as given to all members of the Board and its committees.

H. The meeting minutes shall include, but need not be limited to: i) the date, time and place of the meeting; ii) the members who were either present or absent from the meeting and whether those members in attendance were physically present or present by audio conference, video conference or by other electronic means; and iii) a summary of discussion on all matters proposed, deliberated, or decided, and iv) a record of any votes taken.

I. The location of the meeting included on the notice shall be equipped with a suitable transmission system (e.g., a speakerphone) in order that the public audience, the members in attendance and any staff in attendance will be able to hear any input, vote or discussion of the conference and that the member attending by electronic means shall have a similar capability of hearing and participating in such input, vote or discussion.

J. As the Board or its committees begin each new matter of business, the chair will check with all remote location(s) where members are to ensure that each such connection is active and not muted.

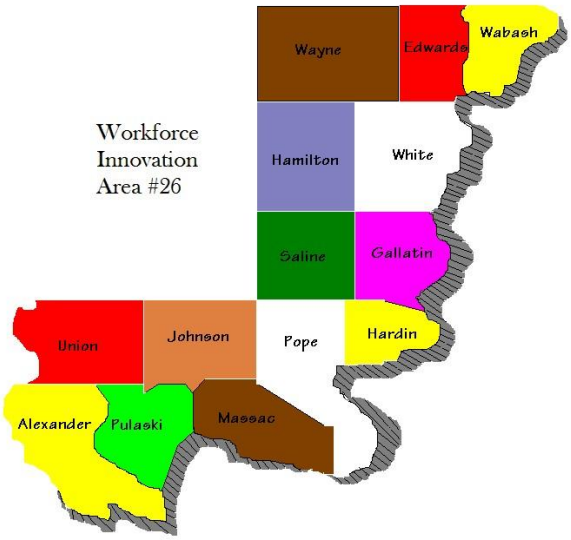
K. When a motion is made, and seconded, and discussion regarding the motion begins, the chair will check that the connection with remote location(s) where members are present is active and not muted. Prior to closing discussion and taking any vote, the chair will ask all remote location(s) where member(s) is(are) present whether there are any additional comments, questions, or information to be added to the discussion.

L. All decisions will be made using majority rule except when a higher vote is required. There will be no muting of any connections with remote location(s) where members are present at any time. There will be no sidebar discussions.

M. No later than 48 hours before a scheduled meeting of the Board or its committees, each system will advise the Open Meetings Act designee regarding all of the documents that have been posted for any such meeting, and any and all locations where the documents have been posted.

N. The procedures outlined above shall also apply to each Board and its committee members.

**Southern 14 Workforce Investment Board, Inc.**




# *FISCAL PROCEDURES MANUAL*

# Table of Contents


**List of Acronyms** 3
**Introduction** 4
**Flow of Funds** 5
**Organizational Chart** 6
**Accounting** 7
- **Cash Receipts & Deposits** 8
- **Cash Disbursements** 9
- **Classification of Costs** 10
- **Bank Reconciliaiton** 10

**Cost Allocation** 11
- **General Ledger** 12
- **Program Income** 12
- **Funds Requests & Cash Management** 12
- **Chart of Accounts** 12
- **Grants & Contract Close-Outs** 13

**Purchasing** 14
- **Consumable Supplies** 14
- **Equipment** 14
- **Procurement Procedures** 15

**Travel** 25
- **Staff /Employee Travel** 25
- **Board Member Travel & Stipend** 26

**Payroll** 27
- **Personnel Policies** 27
- **Time Sheets** 27
- **Payroll Taxes & Tax Reports** 27
- **Payroll Other** 28
- **AccruedLeave Account** 28

**Vacation, Sick, & Personal Days** 29
- **Vacation Time & Personal Days** 29
- **Sick Time** 29

**Seperation of Duties** 30
**Reporting** 31
- **Granting Agency Reporting** 31
- **Other Reporting** 31

**Audits & Fiscal Monitoring** 32
- **Fiscal Monitoring** 32
- **Independent Auditing** 32

**Bonding & Insurance** 33
**Records Retention** 34
**Fiscal Procedure Manual** 35
**Incident Reporting** 35
**Equal Opportunity & Non-Discrimination** 35
**Reference Sources** 36
**Attachments** **Available upon request**
- **Chart of Accounts**
- **Employee Travel Form**
- **Employee Time Sheet**

# List of Acronyms

| | |
|---|---|
| **DCEO** | ILLINOIS DEPARTMENT OF COMMERCE AND ECONMIC OPPORTUNITY |
| **GAAP** | GENERALLY ACCEPTED ACCOUNTING PRINCIPLES |
| **GAGAS** | GENERALLY ACCEPTED GOVERNMENT AUDITING STANDARDS |
| **GL** | GENERAL LEDGER |
| **GRS** | GRANTEE REPORTING SYSTEM |
| **GSA** | US GENERAL SERVICES ADMINISTRATION |
| **LWIA 26** | Local Workforce Investment Area 26 |
| **MIP** | SOFTWARE PROGRAM USED BY SOUTHERN 14 FOR FISCAL OPERATIONS |
| **OMB** | OFFICE OF MANAGEMENT AND BUDGET |
| **So.14** | SOUTHERN 14 WORKFORCE INVESTMENT BOARD, INC. |
| **So.14 B** | SOUTHERN 14 WORKFORCE INVESTMENT BOARD |
| **TAA** | TRADE ADJUSTMENT ASSISTANCE |
| **WIA** | WORKFORCE INVESTMENT ACT |
| **WIOA** | WORKFORCE INNOVATION & OPPERTUNTIES ACT |

# INTRODUCTION

The following document has been developed to provide a general outline of the flow of funds as well as, the standards and procedures to be followed in the establishment of a system to maintain proper fund security and cash expenditures that will be acceptable for the performance of audits for all grant funds received by the Southern 14 Workforce Investment Board, Inc.(So.14) as the WIOA #26 grant recipient.

# FLOW OF FUNDS

So.14 is the grant recipient and staff to the board for Local Area Workforce Investment Area (LWIA 26). The grant recipient provides management and oversight for all funding received by LWIA 26. The client services for LWIA 26 are contracted to the three Service Providers listed below:

***Wabash Area Development, Inc.*** which operates the WIOA program in the counties of Edwards, Gallatin, Hamilton, Saline, Wabash, Wayne and White.

***Shawnee Development Council, Inc.*** which operates the WIOA program in the counties of Alexander, Hardin, Johnson, Massac, Pope, Union and Pulaski.

As Grant Recipient, So.14 is the conduit between the State and the Service Providers for all grant funds and the financial reporting required for these funds.

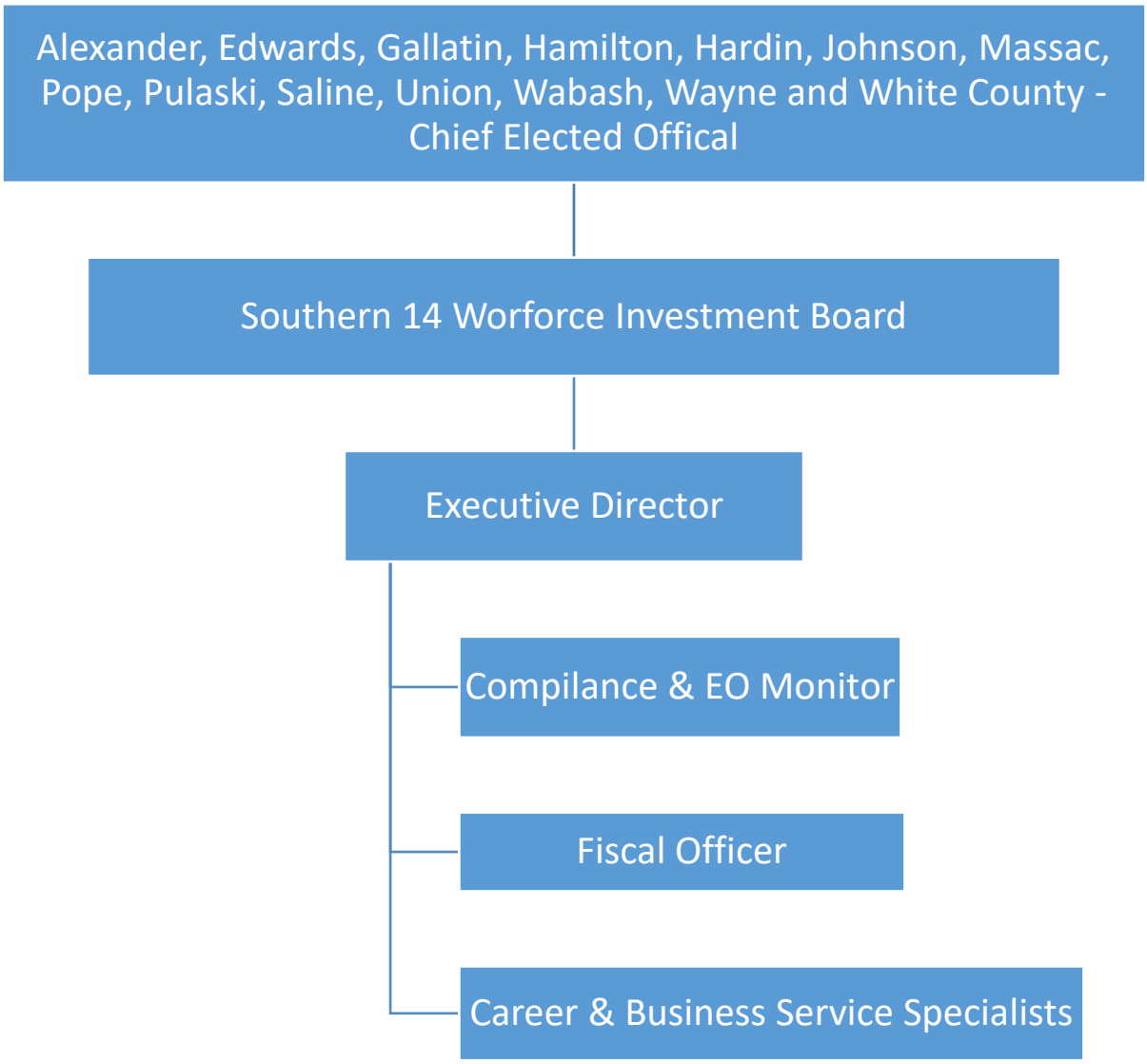
Funds are requested by the service providers by grant and/or funding stream (cost category) on an as needed basis. Upon receipt of requests the fiscal officer combines the totals and orders funds on the Illinois Department of Commerce and Economic Oppritunity (DCEO) via their Grantee Reporting System (GRS). When funds are received checks are issued to the service providers with a receipt form which is signed and returned.

The service providers are required to submit monthly financial reports for each grant contract to the So.14 Fiscal Officer. Information contained in these reports is entered on the So.14 accounting system and the compiled total is reported monthly to DCEO on the GRS system.

The Grant Recipient for WIOA #26 requires, through the contract process, that the Service Providers for WIOA #26, and any other programs, have in place fiscal procedures that meet the fiscal requirements for audit purposes and any other requirements of a specific grant program. All of these requirements are also included in any sub-contracts the service providers may have.

The So.14 Fiscal Officer will conduct fiscal monitoring at the service provider level on a program year basis. In turn the service providers will conduct fiscal monitoring for any sub-contracts to insure that ficsal reqirements are being met.

# ORGANIZATIONAL CHART



# ACCOUNTING

## General Accounting Practices

Lines of authority as outlined on the Southern 14 Workforce Investment Board, Incorporated's organization chart will be followed by all employees.

Current job descriptions, including duties and responsibilities, will be maintained for all employees in their personal file.

Financial duties and responsibilities will be separated to ensure that no one employee has sole control over cash receipts, disbursements, payroll, etc.

All documentation will be retained for a period of three years from the date of the closeout or from the end of a dispute, whichever is longer in accordance with the regulations.

Record keeping is conducted through MIP Fund Accounting software. The agency is under a maintenance contract that provides updates as well as phone and internet support to ensure functionality and reduce down time. The Fiscal Officer is responsible to set up the Chart of Accounts, maintain the fiscal software and ensure that it is operating and reporting correctly.

At the end of every week, the Fiscal Officer posts Disbursements, Journal Vouchers, etc., and balances the combined balance sheet with manual payment entries. At times, posting is done more often at the discretion of the Executive Director, such as when payroll falls early in the week or after cost allocation so that reports and/or taxes may be updated sooner. Back-ups to the server are performed on a regular basis, usually 1–3 times per week, at the discretion of the Fiscal Officer, depending on the amount of new data entries. At the end of each week after posting and balancing, a backup is also made and stored off-site to ensure recovery in the event of a disaster. In the event an adjustment to the general ledger is needed, the Fiscal Officer will be responsible to ensure they are handled correctly.

All checks and/or electronic payments via the internet to vendors must have a payment authorization form prepared by the Fiscal Officer prior to payment, explaining the cost, how it should be classified, and supporting documentation to validate the expenditure. The payment authorization form must be signed by the Executive Director or the So.14 Board Chairperson.

As checks are issued, the paid voucher and supporting document are filed by vendor. All costs are posted to a general ledger that includes fund and function.

Upon receipt of the monthly bank statements, bank reconciliations are performed to balance each of the monthly statement to their cash journal.

Monthly financial reports are prepared by the Fiscal Officer for the Southern 14 Workforce Investment Board, (So.14 B) for their acceptance.

Federal payroll taxes are paid according to IRS guidelines, which is currently on a monthly basis. The agency files Form 941, State of Illinois IL-501 and Illinois Department of Employment Security Form UI-3/40 on a quarterly basis.

To ensure that all funds are protected from mishandling, financial duties are specifically separated to promote a system of checks and balances.

At all times, So. 14 LWIB strives to be in Fiscal compliance with Office of Management and Budget (OMB) Circulars: A-133/Federal Audit Requirements; A-122/Federal Cost Principles and A-110/Uniform Administrative Requirements as well as DCEO Policy Letters, Technical Assistance Letters, Federal Travel Regulations and other regulations as required by specific grant contract.

So.14 maintains two bank accounts, an account for all grant funds and an accrued leave account.

## Cash Receipts and Deposits

All checks and/or cash received by So.14 are registered in the "incoming mail log" the Monitor who is then responsible for delivering the check and/or cash to the Fiscal Officer, who in turn records the receipt of the check to the cash receipt journal. The Monitor is then responsible for stamping/endorsing "For Deposit Only" as well as the appropriate bank account number and preparing a deposit slip with duplicate copies for appropriate files and future reference. The agency strives to deposit any checks or cash received within three days of receipt.

The Fiscal Officer is responsible for requesting cash for workforce grants from the DCEO via their GRS. Funds are as outlined previously in the funds flow section. As funds are received they are electronically deposited in the agency's bank account where they are maintained in an interest-bearing account. The agency and sub-recipients strive to limit the cash request to the mandated 3-day cash supply. To insure that Southern 14 remains in compliance of the cash on hand mandate the Fiscal Officer will maintain an ongoing cash on hand worksheet with the daily bank balance.

Mail (pick-up and delivery) is a responsibility that is designated to employees within the agency who are not working directly with grant funds or directly assigned to the fiscal department. This separation of duties is to ensure that staff handling or managing grant funds or grant receipts do not have access to any income until it is properly logged in to the checks and receipt ledger.

## Cash Disbursements

Disbursements are made on a weekly basis and are paid from authorized vendor invoices, employee and board member travel & per diem expense sheets and voucher requests for service provider contracts utilizing the MIP Accounts Payable Module.

The Fiscal Officer prepares checks which are reviewed by the Executive Director.

Backup for each disbursement must be approved by an officer of the board, marked paid with date, check number and amount.

Prepared checks are signed by an officer of the board and the Executive Director. Persons authorized to sign checks are the Board Chairperson, Vice Chairperson, Secretary/Treasurer and the Executive Director.

The staff person responsible for handling the outgoing mail; usually the Fiscal Officer, will be responsible for logging and distributing the signed checks by mail or hand delivery.

Any disbursement for an item, including equipment, costing less than $1000.00 can be made without prior approval from the board.

The Fiscal Officer is responsible for all blank checks.

No checks are issued for cash and there is no petty cash fund.

No blank checks are signed.

Payroll is prepared every two weeks from employee time sheets which also provide information for the preparation of the expended vacation, sick and personal days.

Payroll taxes are prepared by the Fiscal Officer, approved by the Executive Director, and one of the following; the Board Chairperson, Vice Chairperson, Secretary/Treasurer. Paid electronically monthly via the EFTS system.

Voided checks will have “VOID” boldly written in ink across the face of the check and filed with check stub and recorded in the MIP Accounting System.

## Classification of Costs

Classification of costs will be done by the Fiscal Officer in accordance with generally accepted accounting principles (GAAP) in conjuction with WIOA regulations and OMB circulars.

Allowability of individual costs with be determained on an individual bases by the Fiscal Officer or the Executive Director in accordance with WIOA regulations and OMB Circulars: A-133/Federal Audit Requirements; A-122/Federal Cost Principles and A-110/Uniform Administrative Requirements as well as DCEO Policy Letters, Technical Assistance Letters, Federal Travel Regulations and other regulations as required by specific grant contract.

## Bank Reconciliation

Bank Statements are received monthly for each bank account and given unopened to the Executive Director for review and reconcialtion to the cash receipts journal and mail receipts log before being reconciled in the MIP system by the Monitor who is not responsible for preparing or has authority to sign checks. The completed reconciliations are reviewed by the Southern 14 Board Chair.

Bank statements are reconciled to the checkbook and the computer accounting program.

Checks outstanding for longer than 90 days will be researched and contact made with the payee/ and or bank to determine how to proceed.

Undelivered Checks will be handled in the following way:

Upon notification that a check has not been received (lost, stolen, or destroyed) and at least ten days have passed from the date of mailing, an immediate “stop payment” order is initiated with the bank. The bank is provided information on the check number, date of issue, amount, and payee as well as information regarding a re-issue if applicable. When a replacement check is necessary, a manual check is usually produced and corresponding records are corrected to document the stop payment and reissue.

## Cost Allocation

Cost Allocation Plan is a guide to the methodology used to allocate costs that is modified monthly. Board Office expenses are allocated to those grants with administrative funds based on the percentage of programmatic funds expended by the three service providers. Additional grants will alter the allocated costs by funding stream.

## General Ledger

Cash receipts, cash disbursements, general journal, accounts receivable are posted to the appropriate fund in the general ledger.

A file is maintained for each grant containg the contract between So.14 and the funding entity (DCEO), with the approved budget, and any budget modifications, as well as contracts between each service provider and So.14 with the approved budgets, and any budget modifications related to theses contracts.

After approval by the Southern 14 board and the funding entity the fiscal officer will be responsible for posting the approved budget and any budget modifiactions into the MIP accounting system.

A monthly expense summary is received for each grant from LWIA #26 Service Providers.

Fiscal Officer posts the monthly expenses and the disbursements from each Service Provider to the accounts receivable account by fund and Service Provider in the MIP accounting system.

Trial balances are prepared in MIP and accounts are balanced by both fund and Service Provider. Accounting system is reconciled with the accounting records maintained by the individual service providers before being entered into DCEO's GRS.

Additionally, a statement of revenue and exenditures is prepared each month in MIP and compared to GRS and service provider reports ensuring that grant spending levels are within budget and that budget modifications have been properly reflected.
The cost for the board office is allocated on the basis of Service Provider expenditures (see cost allocation plan) and is then posted to the appropriate fund account.

Advances for travel expenses are allowable and approved by the Executive Director. Advances will be reconciled after travel occurs and any payments made in excess of the authorized expenses must be refunded.

1) All advances will be charged to a General Ledger (GL)Account: "Travel/Other Advances" account --(with Name of the person to whom the advance was made);

2) Upon completion of the travel, and after a reconciliation of the actual expenses to the advance, the above noted account must be reversed and actual amount of travel will be expensed; the refunds or additional amounts owed must also be posted to the GL at this time.

## Program Income

Program income for So.14 generally consists of interest earned on our two checking accounts.

The amount of income earned is posted as revenue to So.14 in the MIP account system and a journal entry is completed to off set expenses charged to the current years formula grant funds.

The income earned and the expenses are reported monthly in the GRS.

## Funds Requests and Cash Management

Funds are requested by the service providers by grant and/or funding stream (cost category) on an as needed basis, via a signed voucher.

The Fiscal Officer, with approval by the Executive Director, accesses the funds needed for the board office expense and strives to limit the cash request to the mandated 3-day cash supply.

Upon receipt of requests the Fiscal Officer combines the total funds needed and orders funds on the DCEO via their GRS in accordance with DCEO schedule – currently each Wenesday and Friday.

Requests are recorded, by the Fiscal Officer, in the MIP Accounts Recievable System at the time of request and when receipt has been confirmed with the bank deposits entered into the MIP system and disbursed to the Service Providers per the voucher request.

Funds are mailed to the approiate service provider with a receipt form acknowledging receipt of funds, which is signed by service provider and returned to board office.

## Chart of Accounts

The Fiscal Officer maintains the chart of accounts in the MIP system assuring that all cost can be accurately captured by line item, cost categort, and grant.

Current chart of account is included as an attachment to this document.

## Grants and Contracts Close-Outs

Grant/contract close outs will be performed by the Fiscal Officer in accordance with grant requirements and any unexpended cash will be refunded immediately.

At the end of the grant period a grant close out package, including final trial balances as well as financial reports are completed and submitted to the Board Office by each Service Provider. The Fiscal Officer complies the informaiton from the provider reports to complete the Grant Closeout Package. All Closout Packages are reviewed and approved by Executive Director prior to submission.

# PURCHASING

## Consumable Supplies

All ordinary purchases are made through local suppliers.

The Monitor keeps a list of items needed and either orders or purchase these items on an as needed basis.

Receipt of these items is verified and the invoice signed by someone other than the person ordering supplies.

Any out of the ordinary items are only purchased with permission of the Executive Director.

Statements are forwarded to the Fiscal Officer for review and payment. Invoices are attached to the statement. Multiple invoices with the statements are individually marked paid.

No purchase order system is used.

Any purchase of equipment over $1000.00 must be approved by the Board.

Southern 14 does not does not record consumable supplies on the inventory list.

## Equipment

Equipment is defined as non-expendable personal property with purchase price of $1000.00 or more and/ or a useful life of more than one year.

All equipment purchases are approved by the Executive Director; those purchases in excess of $1,000.00 require So 14 Board approval.

All equipment purchased (with a cost in excess of $5,000) utilizing WIOA grant funding requires prior permission obtained from the Department of Commerce and Economic Opportunity Except in the case when more than one piece of equipment is needed to make an entire system functional such as a computer or telephone system. For example, when purchasing a computer, the monitor, keyboard, printer, and hard drive are all to be considered as a component of the total system, with the total system defined as a unit of property. Likewise with a telephone system, the switchboard along with all phones required to make up the system shall be considered the unit of property. After initial acquisition of such a system, any component part upon replacement shall be considered as a single unit of property for that type of transaction.)

Equipment purchased is tagged and added to the inventory list is maintained by the the Fiscal Officer/ Inventory Control Officer. The list includes item, serial #, purchase date, purchase price and tag number.

Requests to purchase equpment (with a purchase price in excess of $1,000) by the Service Providers utilizing WIOA grant funding should be submitted in advance to the Fiscal Officer to ensure that all procurment procedures are followed and approved by the Executive Director.

An inventory list of non-expendable personal property with a purchase price of $1000.00 or more, purchased by the Service Providers is also on file. Monitoring of this equipment is conducted on site periodically by the designated Inventory Control Officer.

Requests for disposal of equipment will follow the same guidelines as requests for purchase listed above.

In order to prevent loss, damage, or theft of property the Inventory Control Offier will conduct a physical inventory of all equpment at least once a year, making sure that all equipment is properly identified.
Any discrepancies between the physical inventory and the inventory records must be explained and notations made in the inventory record and brought to the attention of the Executive Director.

In the event the agency must liquidate equipment/property, the inventory list will be utilized as a basis for disposal.

Equipment/property that was acquired by WIOA funds will be returned to the corresponding State/Federal granting agency.

In order to keep property in good working condition maintenance agreements are maintained for copy machines and an anti-virus program is updated yearly to safeguard computer hardware.

## Procurement

The Uniform Administrative Requirements (2 CFR200.317) requires states to follow the same policies and procedures it uses for non-federal funds. Receipients of federal and state funds will comply with §200.322 Procurement of receoveered materials and ensure that every purchase order or other contract includes any clauses required by section §200.326 Contract provisions. Receipients must also follow the requirements regarding the competitive award of One-Stop Operators, Youth Service Providers and Adult and Dislocated Service Providers in the Workforce Investment and Opportunity Act at WIOA Sec. 121(d) and sec. 123.

The Southern 14 Workforce Investment Board, Inc. (LWIA #26) in order to comply with Illinois State Regulations (30 ILCS 500) and Code of Federal Regulations (7 CFR part 3016 or 7 CFR part 3019) regarding procurement have developed written standards by which they will conduct all procurements. This system takes into consideration past performance such as program design, adequacy of fiscal controls, and ability to meet contract objectives.

Procurement system includes the following requirements:

**I. The Southern 14 Workforce Investment Board, Inc.**

These standards do not relieve the LWIA #26 of any contractual responsibilities under its contracts. The LWIA #26 is responsible, in accordance with good administrative practice and sound business judgement for the settlement of all contractual and administrative issues arising out of procurements entered in support of a grant. These include but are not limited to source evaluation, protests, disputes, and claims. Violations of law are to be referred to the local, State, or Federal authority having proper jurisdiction.

**II. Code of Conduct**

The Southern 14 Workforce Investment Board, Inc. and its Service Providers maintain a written code or standards of conduct which governs the performance of their officers, employees or agents engaged in the award and administration of contracts supported by Federal funds ( see So. 14 LWIB Local Policy No. 1).

## III. Selection Procedures

A. All procurement transactions, regardless of whether by sealed bids or by negotiation and without regard to dollar value, shall be conducted in a manner that provides maximum open and free competition consistent with this Section. Procurement procedures shall not restrict or eliminate competition. Examples of what shall be considered to be restrictive of competition include, but are not limited to:

1) placing unreasonable or different requirements on various firms in order for them to qualify for the same procurement;

2) noncompetitive practices between firms;

3) organizational conflicts of interest; and

4) Unnecessary experience and bonding requirements (i.e., request for qualifications or experience that are not related to the services to be procured).

5) Noncompetitive awards to consultants that are on retainer contracts.

6) Specifying only a "brand name" product instead of allowing an "equal" product to be offered and describing the performance of other relevant requirements of the procurement.

7) These procedures will be subject to monitoring at least once during the program year. Violations will be identified and examined in accordance with the monitoring review procedure established for the Local Workforce Area.

B. The Southern 14 Workforce Investment Board, Inc. and it's Administrative Entities shall adhere to the following procedural requirements:

1) Solicitations of offers, whether by competitive sealed bids or competitive proposals shall incorporate a clear and accurate description of the technical requirements for the service to be procured. Such description shall not, in competitive procurements, contain features which restrict competition. The description shall include a statement of the qualitative nature of the service to be procured and set forth these standards to which the service shall conform in order to meet the program purpose. Solicitation of offers shall clearly set forth all requirements which service providers/contractors must fulfill and all other factors to be used in evaluating proposals pursuant to Code of Federal Regulations (7 CFR part 3016 or 7 CFR part 3019).

2) Awards shall be made only to service providers/contractors that demonstrate the ability to meet objectives of the proposed procurement. Examples of how the ability to meet the procurement of objects can be demonstrated include, but are not limited

to: financial resources, technical qualifications, experience, organization and facilities adequate to carry out the project; resources to meet the completion schedule contained in the contract; a satisfactory performance record for completion of contracts; and accounting and auditing procedures adequate to control property, funds and assets, pursuant to Code of Federal Regulations (7 CFR part 3016 or 7 CFR part 3019).

3) Appropriate education agencies in the service delivery area shall be provided the opportunity to provide educational services, unless the administrative entity demonstrates that alternative agencies or organizations would be more effective or would have greater potential to enhance the participants' continued occupational and career growth.

4) A review of service providers with contracts at $10,000 and above will occur in May of each program year. The Service Provider will submit evaluations to the LWIA #26 board office by the 15th day of the month. These evaluations will be utilized by the Southern 14 Workforce Investment Board's board in their contract renewal decisions at the regular June board meeting.

C. The Southern 14 Workforce Investment Board, Inc. and its Service Providers shall conduct a review of proposed procurements to avoid unnecessary or duplicative items. Consideration will be given to consolidating or breaking out procurements to obtain a more economical purchase. Where appropriate, an analysis shall be made of lease versus purchase alternatives, and any other appropriate analysis to determine the most economical approach. To foster greater economy and efficiency, the LWIA #26 if prudent will enter into inter-grantee agreements for procurement or use of common goods and services. The LWIA #26 when possible shall use Federal excess and surplus property in lieu of purchasing new equipment and property whenever such use is feasible and reduces project costs.

D. The Southern 14 Workforce Investment Board, Inc. and its Service Providers shall take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible. Affirmative steps include:

1) placing qualified small and minority businesses and women's business enterprises on solicitation lists;

2) assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;

3) dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small business enterprises;

4) establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;

5) using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and

6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in section III of this manual.

E. Contract Cost and Price

1) The LWIA #26 will perform cost or price analysis in connection with every procurement action including contract modifications. The method and degree of analysis is dependent on facts surrounding the particular procurement situation, but as a starting point, grantees must make independent estimates before receiving bids or proposals. A cost analysis must be performed when the offeror is required to submit the elements of his/her estimated cost, e.g., under professional, consulting, and architectural engineering services contracts. A cost analysis will be necessary when adequate price competition is lacking, and for sole source procurements, including contract modifications or change orders, unless price reasonableness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation. A price analysis will be used in all other instances to determine the reasonableness of the proposed contract price.

2) The LWIA #26 shall negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit, consideration will be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.

3) Costs or prices based on estimated costs for contracts under grants will be allowable only to the extent that costs incurred or cost estimates included in negotiated prices are consistent with the cost principles as shown in Code of Federal Regulations (7 CFR part 3016 or 7 CFR part 3019).

4) The cost plus a percentage of cost and percentage of construction cost methods of contracting shall not be used.

5) Additionally, in the case of fixed unit price/performance based contracting; all contracts must conform to the provisions of Code of Federal Regulations (7 CFR part 3016 or 7 CFR part 3019).

F. The Southern 14 Workforce Investment Board, Inc. and its Service Provider contracts will contain the following provisions:

1) Administrative, contractual, or legal remedies in instances where contractor violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate.

2) Termination for cause and for convenience by the grantee or sub-grantee including the manner by which it will be effected and the basis for settlement.

3) Compliance with Executive Order 11246 of September 24, 1965 entitled "Equal Employment Opportunity," as amended by Executive Order 11375 of October 13, 1967 and as supplemented in Department of Labor regulations (41 CFR 60).

4) Compliance with the Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR 3).

5) Compliance with the Davis-Bacon Act (40 U.S.C. 276a to a-7) as supplemented by Department of Labor regulations (29 CFR 5)

6) Compliance with Sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR 5).

7) Notice of Departmental requirements and regulations pertaining to reporting, if any.

8) Notice of Departmental requirements and regulations pertaining to patent rights with respect to any discovery or invention which arises or is developed in the course of or under such contract.

9) Departmental requirements and regulations pertaining to copyrights and rights in data as contained in the grant agreement.

10) Access by the Southern 14 Workforce Investment Board, Inc. and the contracting Administrative Entity, the Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers, and records of the contractor which are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions.

11) Retention of all required records for three years after grantees or sub-grantees make final payments and all other pending matters are closed.

12) Compliance with all applicable standards, orders, or requirements issued under Section 306 of the Clear Air Act (42 U.S.C. 1857(h)), Section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 CFR 15).

13) Mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with Energy Policy and Conservation Act (Pub. L. 94-163, U.S.C. 6201)

14) Special conditions specific to individual contracts as deemed necessary for efficient program operations.

G. The Southern 14 Workforce Investment Board, Inc. and its Service Providers shall conduct procurements in a manner that prohibits the use of statutorily or administratively imposed in-State or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference.

H. The Southern 14 Workforce Investment Board, Inc. and its Service Providers shall make available, upon request of the Department, technical or any other specifications on proposed procurements where the Department believes such review is needed to ensure that the item and/or service specified is the one being proposed for purchase. This review may take place prior to or after the specification is incorporated into a solicitation document. The LWIA #26 will on request make-available for Departmental pre-award review, procurement documents such as requests for proposals or invitations for bids, and cost estimates.

## IV. Methods of Procurement

Procurement under grants shall be made by one of the following methods: Procurement by small purchase procedures, procurement by sealed bids, Procurement by competitive proposals and very small procurements.

A. Small purchase procedures are those relatively simple (e.g., price or rate quotations documented to the file which describe what is being procured, date provided, provider, amount and delivery date) and informal procurement methods for securing services, supplies, or other property that do not cost more than $ 25,000 in the aggregate with a single vendor during a fiscal year. If small purchase procurements are used, price or rate quotations will be obtained from an adequate number of qualified sources.

B. Sealed bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible whose bid, conforming to all the material terms and conditions of the invitation for bids, is lowest in price. The sealed bid is the preferred method for procuring construction, if the conditions which follow apply. In order for sealed bids to be feasible, the following conditions should be present: a complete, adequate and realistic specification or purchase description is available; two or more responsible bidders are willing and able to compete effectively for the business; and the procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price. If sealed bids are to be used, the following requirements apply:

1) the invitation for bids will be publicly advertised and bids shall be solicited from an adequate number of known suppliers as evidenced by documentation of an attempt to identify and obtain three bids, providing them sufficient time (a minimum of ten working days) prior to the date set for opening the bids;

2) the invitation for bids, which will include any specifications and pertinent attachments, shall define the items or services in order for the bidder to properly respond;

3) all bids shall be publicly opened at the time and place prescribed in the invitation for bids;

4) A firm fixed price contract award will be made in writing to the lowest responsive and responsible bidder. Where specified in bidding documents, factors such as discounts, transportation cost, and life cycle costs shall be considered in determining which bid is lowest. Payment discounts may only be used to determine the low bid when prior experience indicates that such discounts are usually taken.

5) Any or all bids may be rejected if there is sound, documented reason.

C. Procurement by competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed price or cost reimbursement type contract is awarded. It is the following requirements apply;

1) Requests for proposals will be publicized and identify all evaluation factor and their relative importance. Any response to publicized requests for proposals shall be honored to maximum extent possible;

2) Proposals will be solicited from an adequate number of qualified sources;

3) The LWIA #26 have a method for conducting technical evaluations of the proposals received and for selecting awardees;

4) Award will be made to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered; and

5) The LWIA #26 may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of (A/E) professional services. It cannot be used to purchase other types of services though AE firms are a potential source to perform the proposed effort.

6) All proposals submitted will be handled in a confidential manner, in accordance with the Uniform Guidence at 2 CFR 200.318 and 200.319, by the Board, as well as Board staff to ensure that no potential entity that may compete under the procurement has unfair access to any procurement developed or drafted specification, requirements, statement of works, requests for proposals or evaluated proposals.

D. Procurement by noncompetitive proposals is procurement through solicitation of a proposal from only one source, or if after solicitation of a number of sources competition is determined inadequate.

1) Procurement by noncompetitive proposals may be used only when the award of a contract is infeasible under small purchase procedures, sealed bids, or competitive proposals and one of the following circumstances applies: the item is available only from a single source; the public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation; the awarding agency Department authorizes noncompetitive proposals; or after solicitation of a number of sources, competition is determined inadequate.

2) Cost analysis, i.e., verifying the proposed cost data, and the specific elements of costs and profit, is required.

E. Very Small Procurements - Due to the rural nature of this Local Workforce Area, and to avoid unreasonable, unduly burdensome and inefficiency of procurement practices for purchases under $ 1,000. The Southern 14 Workforce Investment Board, Inc. and its Service Providers will adhere to the following policy for very small procurements.

1. Purchase items which are offered to the General public at a given price.

2. Make every effort to obtain the best possible price utilizing business and/or trade discounts when possible.

3. Take into consideration product delivery, timeliness, quality and/or lack of other vendors/suppliers in the geographical area.

## PROCUREMENT FOR YOUTH ACTIVITIES

Southern 14 Workforce Investment Board will solicit proposals from interested organizations to operate a comprehensive education and employment opportunities to eligible youth ages 16 through 24.

All entities responding to the local board for the Youth Program will explain in their proposal which of the required activities defined in WIOA Section 129(c) (1) (A-N) are to be directly delivered through their agency or organization.

The entity or entities responding to the Boards Request for Proposals will then publicly solicit a minimum of two times for activities providers for the activities not directly delivered by their agency or organization.

All activities not responded to, or for which the response was rejected by either the entity or Southern 14 Workforce Investment Board after the Request for Proposal process has

been completed, may be hired on an as-needed basis at the discretion of the successful respondent to the Boards Request for Proposal.

All providers of activities shall be held under the same laws, policies, and guidelines as Southern 14 Workforce Investment Board and their sub-contractors. SELECTION OF YOUTH PROVIDERS.—Consistent with section 123, the local board—

(i) shall identify eligible providers of youth workforce investment activities in the local area by awarding grants or contracts on a competitive basis (except as provided in section 123(b)),based on the recommendations of the youth standing committee, if such a committee is established for the local area under subsection (b)(4); and

(ii) may terminate for cause the eligibility of such providers.

## PROCUREMENT FOR ADULT AND DISLOCATED WORKER ACTIVITIES

Southern 14 Workforce Investment Board will solicit proposals from interested organizations to operate a comprehensive year-round Adult and Dislocated Worker program under the Workforce Investment and Opportunity Act (WIOA).

The program will prepare and equip eligibile Adults and Dislocated Workers with the necessary skills to meet the current and upcoming workforce needs of employers in our business communities. Communities to be served will be Alexander, Edwards, Gallatin, Hamilton, Hardin, Johnson, Massac, Pope, Pulaski, Saline, Union, Wabash, Wayne and White Counties in Southern Illinois.

All proposals must adhere to the required format and, in order to be competitive, must include all of the requested information, completed forms, and attachments. Applicants are required to demonstrate knowledge, experience, and capacity to provide services to Adult and Dislocated Workers through the proposal narrative. The applicant must clearly describe its capability to conduct and administer a federally funded project including the ability to collect and report financial and participant data as required. Applicants must also be aware of the state and federal Americans with Disabilities Act (ADA) regulations, laws and procedures for ensuring universal access. The proposal must specifically address the following elements: Outreach and Recruitment, Eligibility, Individual Employment Plan, Services, One-Stop Career Center (MOU), Timely Data Entry, Occupational Skills Training, On-The-Job Training (OJT), Enrollment and Expenditure Schedule.

The entity or entities responding to the Boards Request for Proposals will then publicly solicit a minimum of two times for activities providers for the activities not directly delivered by their agency or organization.

All activities not responded to, or for which the response was rejected by either the entity or Southern 14 Workforce Investment Board after the Request for Proposal process has been completed, may be hired on an as-needed basis at the discretion of the successful respondent to the Boards Request for Proposal.

All providers of activities shall be held under the same laws, policies, and guidelines as Southern 14 Workforce Investment Board and their sub-contractors.

## PROCURMENT FOR ONE STOP OPERATOR

The One Stop Operator will be procured thorough a competitive process every four years. The Board will issue a Request for Proposal that will include a funding level for performance of the stated One Stop Operator functions. The stated funding level will be based on historical costs to operate the center.

After the One Stop Operator procurement has been completed the Board will submit a One-Stop Operator Attestation form, a One-Stop Operator Agreement, a Multiple Function Agreement (if applicable) and a Sunshine Provision Survey to the Department of Commerce.

# TRAVEL

## Staff/Employee Travel

Per DCEO guidance Google or Bing map will be used to calculate miles. In the event that the destination is not available with Google or Bing maps an alternative internet site such as MapQuest or an actual odometer reading may be used. Traveler should submit mileage documentation for each trip with request for travel reimbursement.

Mileage to and from staff residence will not be paid by the agency unless an employee returned to their local office for a meeting after going home at the end of regular office hours.

Reimbursement amount for automobile travel will be based on the mileage rate established by the Federal government General Services Administration (GSA), as approved by the So.14 B.

Advances for travel expenses are allowable and approved by the Executive Director. Advances will be reconciled after travel occurs and any payments made in excess of the authorized expenses must be refunded.

Air travel or alternative travel method shall be allowed when an employee's time is an important factor or where the trip is so long that other methods would provide more expensive.

Lodging allowance is at room cost and a receipt must be turned in to receive reimbursement.

Receipts for parking, taxicabs, bus, train or air travel (if paid by the employee while conducting agency business) must be turned in to the Fiscal Officer for reimbursement.

Reimbursement for meals while conducting agency business out of the So.14 Area, or when travel dictates overnight lodging, will be paid out in accordance with the rate established by the Federal government General Services Administration (GSA).

The following will be used as a guide for reimbursement of meals:

| | |
|---|---|
| Breakfast | When trip begins before 7 am and extends beyond 9 a.m. |
| Lunch | When trip begins before 11 am and extends beyond 1 p.m. |
| Dinner | When trip begins before 4 pm and extends beyond 6 p.m. |

Incomplete mileage and expense statements will be returned to the employee for correction or completion before payment is made.

Executive Director will be responsible for reviewing the travel reimbursement and expense statements and for verifying support documents for parking, taxi, hotel, etc.

The Executive Director will approve or disapprove payment of the employee expense statements. Executive Director's travel expense statements will be approved by a WIB Board Officer.

## Board Member Travel & Stipend

A meal stipend and a travel reimbursement will be paid the rate established by the Federal Government (General Services Administration). This stipend and reimbursement will be paid to each board member physically attending a Southern 14 monthly board or committee meeting.

This stipend and travel reimbursement is limited to board members who do not have access to other avenues of reimbursement.

Per DCEO guidance Google or Bing map will be used to calculate miles. In the event that the destination is not available with Google or Bing maps an alternative internet site such as MapQuest or an actual odometer reading may be used. Traveler should submit mileage documentation for each trip with request for travel reimbursement.

## Foreign Travel

Pursuant to WIOA section 181(e), no funds received shall be used for foreign travel.

# PAYROLL

## Personnel Policies

See separate personnel policies manual.

## Time Sheets

Time sheets are completed and signed by employees and due to the Executive Director.

All time sheets must be approved by the Executive Director before being processed for payment. The Executive Director's timesheet will be approved by a So.14 Board Officer.

Vacation, sick and holidays time used are noted on each individual time sheet by employee. The time sheets are then used to update each individual's accrued schedules and to maintain the accrued leave account balance.

The Executive Director has the authority within the administative office to complete, sign and initail time sheets for employees who are not available to sign for themselves do to illness or emergency. However, upon returning to work the employee's original signature will be added to the time sheet.

Fiscal Officer completes the gross pay and deduction section of time sheet based on the salary schedule approved by the So.14 Board.

Checks are prepared by the Fiscal Officer and signed by an officer of the board and the Executive Director. Persons authorized to sign checks are the Board Chairperson, Vice Chairperson, Secretary/Treasurer and the Executive Director.

All salary changes must be approved by the So.14 Board.

## Payroll Taxes and Tax Reports

Preparation of all payroll tax reports, submission and payments are the responsibility of the Fiscal Officer. So.14 is currently on a monthly tax deposit system for Federal as well as State tax withholding so taxes must be paid by then 15th day of the following month via the Electronic Federal or State Tax Payment System.

Federal Form 941 is completed quarterly by the Fiscal Officer and signed by the Executive Director or Southern 14 Board Chairman before mailing. State of Illinois IL-941 Quarterly Withholding Income Tax Return and Illinois Department of Employment Security Unemployment Insurance Tax Return are prepared quarterly by the Fiscal Officer and signed by the Executive Director or Southern 14 Board Chairman before mailing. Employee W-2 and 1099's are completed by the Fiscal Officer and distributed to the

employees by the end of January. Corresponding federal and state annual tax reports are completed by the Fiscal Officer and signed by the Executive Director or Southern 14 Board Chairman and submitted in accordance with rules and regulations of the various reports.

## Payroll Other

Each full time employee shall receive $4,500 annually as a retirement benefit.

Full time employees are offered a reimbursement of up to $400 monthly, to cover the cost of health and major medical insurance, which may include dependent coverage.

For a complete listing of employee benefits see separate personnel policies manual.

## Accrued Leave Account

At the end of each pay period, individual employee leave time is posted to an accrued leave record from completed time sheets.

The accrued leave bank account is reconciled by the Fiscal Officer to the accurued leave record every three months and the accural bank account is adjusted to reflect actuals. Reconciliation is reviewed by the Executive Director or So.14 B. Chair.

The accrued leave bank account is reconciled to the bank statement and the accounting software monthly and any interest earned is posted to the accruedleave account balance in the accounting software.

# VACATION, SICK & PERSONAL DAYS

## Vacation Time & Personal Days

Vacation time is earned at the rate of 8.5 hours per month beginning the first full month of employment and continuing through the fifth year of employment.

Beginning the sixth year of employment vacation time is earned at the rate of 12.75 hours per month.

Vacation time is posted to individual's accrued schedule on the 1st business day of each month.

Staff may accrue a maximum of 382.50 hours (45days) of vacation time.

Four personal days (34 hours) are posted to individual's accrual schedule on the 1st business day of January.

Personal days must be used with in the current calendar year and may not be carried forward.

Advance permission must be obtained from the Executive Director for vacation and personal time.

## Sick Time

Sick time is earned at the rate of 8.5 hours per month beginning the first full month of employment.

Sick time is posted to individual's accrued schedule on the 1st business day of each month.

Staff may accrue a maximum of 1350 hours (180.83 days) of sick time.

# SEPARATION OF DUTIES

All checks and/or cash received by So 14 WIB, Inc. are registered in the "incoming mail log" the Monitor who is then responsible for delivering the check and/or cash to the Fiscal Officer, who in turn records the receipt of the check to the cash receipt journal. The Monitor is then responsible for stamping/endorsing "For Deposit Only" as well as the appropriate bank account number and preparing a deposit slip with duplicate copies for appropriate files and future reference.

Consumable supplies are ordered by Monitor, verified by another staff person and the invoice given to the Fiscal Officer for payment.

All invoices, automatic withdraw requests (payroll deposits, postage), statements and funds requested through GRS are approved by the Executive Director then processed by the Fiscal Officer.

The Fiscal Officer prepares the checks and markes invoices as paid.

All checks are signed by the Executive Director and officer of the board – no signature stamps are used by So. 14 LWIB.

The Fiscal Officer logs the outgoing checks to be mailed and takes mail to the post office.

All equipment with a purchase price of over $1000.00 has to be approved by the full board.

Bank Statements are received monthly for each bank account and given unopened to the Executive Director for review and reconcialtion to the cash receipts journal and mail receipts log before being are reconciled in the MIP system by the Monitor, who is not responsible for preparing or has authority to sign checks. The completed reconciliations are reviewed by the Southern 14 Board Chair.

# REPORTING

## Granting Agency Reporting

Financial reports are received by the Fiscal Officer on a monthly basis from each contracted Service Providers.

These reports are combined, in the MIP system, with expenses incurred by the board office to report accruals and obligations on the GRS.

The monthly reports required by the granting agency DCEO

Expenditure Reporting (Screen #351). This screen is used to report costs (including accruals) by each authorized grant and cost category. An expenditure report generated on MIP accounting system showing actual expenditures during the report period and year-to-date expenditures is used to complete this reporting.

Program Income (Screen #371). This screen is used to report program income. So.14 generally only have earned interest to report as income.

Grantee Percentage Obligation Table (Screen #377). This screen is used to report obligations by grant and funding stream over and above amount already reported as accruals on the Expenditure Report (#351).

Trade Adjustment Assistance (TAA) Petition Reporting (Screen #391). TAA Program expenditures must be reported on this screen by petition number each month along with the number of participants receiving benefit for the reported cost.

## Other Reporting

The Fiscal Officer will prepare a monthly financial report of expenses incurred by the board office, for the So.14 Board. This report is reviewed by the board members and accepted at the following quarterly board meeting.

Preparation of all payroll tax reports, submission and payments are the responsibility of the Fiscal Officer.

Independent Auditing Firm will be responsible for preparing an annual statement of financial position for. So.14 Board as well as the preparation of the organization's annual federal (form 990) and state (AG990-IL) information returns.

# AUDITS & FISCAL MONITORING

## Fiscal Monitoring

The Fiscal Officer will conduct an on site monitoring visit to each Service Provider on an annual basis.

Each program year the monitoring team from DCEO monitors the fiscal activity of the board office, as well as each service provider.

Any monitoring findings or management recommendations will be dealt with and resolved in a timely manner.

## Independent Auditing

An independent auditing firm conducts a yearly audit in accordance with OMB A-133.

All audits are performed in accordance with the publication Standards for Audit of Governmental Organization, Programs, Activities and Functions issued by the Comptroller General of the United States, commonly referred to as "Generally Accepted Governmental Auditing Standards" (GAGAS). In addition, the "General Services Administration" (GSA) and the "Yellow Book" regarding the audits of federally assisted programs must also be adhered to.

Procurement of auditing services will be done in compliance of So.14 Board's procurement manual.

Any audit findings or management recommendations will be dealt with and resolved in a timely manner.

# BONDING AND INSURANCE

All agency insurance policies will be maintained in the Fiscal Department.

Insurance policies will be carefully reviewed by the Executive Director and the Fiscal Officer on an "as needed basis".

Staff is bonded and adequate coverage will be maintained for board members, staff, other property, grant funds, and liability. (Coverage may include but not limited to Workers Compensation Insurance, Errors and Omissions Insurance, Property Insurance, Health, Life/Disability Insurance, etc.)

As insurance coverage needs to be updated or increased/decreased, it will be the responsibility of the Executive Director to make certain that coverage is adequate to cover agency needs.

# RECORDS RETENTION

Records will be kept in accordance with the regulations pertaining to each particular funding grant.

All records pertaining to program operations including grants, contracts, and financial, are maintained for a period of three years from the date of closeout, unless outstanding audit issues necessitate longer retention. So. 14 Board will adhere to the record retention standards and procedures as required by the various funding entities including all State, and Federal regulations.

Employment tax records are maintained for a minimum of five years.

Accessibility to records is provided to authorized State and Federal representatives.

Other agencies and individuals are required to submit written requests that specifically identify the purpose and nature of their inquiry as well as specific information required. These requests are handled on an individual basis in accordance with appropriate state and federal laws concerning confidentiality of participant records and public accessibility.

# FISCAL PROCEDURE MANUAL

Fiscal procedure manual will be reviewed annually by the Fiscal Officer, Monitor and Executive Director.

Any changes to Financial Procedures Manual will be approved by the So.14 Board prior to implementation.

# INCIDENT REPORTING

LWA #26 has adopted WIOA Policy Letter No. 06-PL-28 that establishes procedures for reporting incidents of known or suspected fraud, program abuse or criminal conduct in WIOA funded programs.

# METHODS OF ADMINISTRATION / EQUAL OPPORTUNITY & NON-DISCRIMINATION

The Monitor is appointed by the board to serve as the Equal Opportunity Officer for LWIA #26.

The Equal Opportunity/Affirmative Action Policy Statement is contained the So.14 Board Personnel Policies.

The Method of Administration is updated as needed by the Equal Opportunity Officer and kept in the fiscal office.

# REFERENCE SOURCES

Reference sources for fiscal operation of Southern 14 WIB, Inc. contracts:

OMB Final Uniform Guidance, 2 CFR

Federal Travel Regulations

DCEO Policy letters, Technical Assistance letters and other required regulations per grant contracts.

WIOA regulations at 20 CFR Parts 667.200 and 667.410.

Trade Act of 2002, Public Law 107-210.

# CODE OF CONDUCT / CONFLICT OF INTEREST

Southern 14 Workforce Investment Board, Inc., LWIA #26

Pursuant to 2 CFR Part 200.112, no Southern 14 Workforce Investment Board (LWIA #26) member shall participate in the selection or in the award of a contract supported by Federal funds if a conflict of interest, real or apparent, is involved. Additionally, no employee, officer, or agent of the grantee/subgrantee, or governing body of the grantee shall participate in the selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, is involved, Such a conflict shall arise when the employee, officer or agent; any member of his or her immediate family; his or her partner; or an organization which employs any of the previously identified, has a financial or other interest in the entity selected for any award. All parties should disclose any personal, business, or volunteer affiliations that may give rise to a real or apparent conflict of interest. This provision does not prohibit a community-based organization, education agency, employer, or other service provider represented by an LWIA #26 member from receiving a subgrant for the provision of training and/or services to participants. However, when such a conflict of interest arises, LWIA #26 members must abstain from voting on the award of the subgrant. The grantee is prohibited from awarding a subgrant

1) To any LWIA #26 member for performing administrative services (i.e., consultant services, accounting services, etc.); or

2) To any LWIA #26 member or entity with which he/she is affiliated which results in direct personal gain to the LWIA #26 member.

In addition, the Southern 14 Workforce Investment Board, Inc. and its Service Provider officers, employees, or agents shall neither solicit nor accept gratuities, favors, or anything of monetary value from service providers, potential service providers (i.e., persons who perform services of type contracted for), or parties to grants.

1) No LWIA #26 member shall review or vote on a proposal from a competing organization or entity that is in direct competition for the same dollars.

2) Any member, employee, officer, or agent of the grantee/sub-grantee, which violates the standards within the code of conduct, will be subject to a review of each alleged instance by the full council. At this time, the person in question may present information and/or testimony contrary to the allegation. All appropriate corrective action will be decided upon by the full council.

   *Note:* Immediate Family: Immediate family consists of the individual's parents (including stepparents), spouse, domestic partner, children (including stepchildren), siblings, grandchildren, grandparents, and any relative by marriage (an 'in-law').

All proposals submitted will be handled in a confidential manner, in accordance with the Uniform Guidance at 2 CFR 200.318 and 200.319, by the Board, as well as Board staff to ensure that no potential entity that may compete under the procurement has unfair access to any procurement developed or drafted specification, requirements, statement of works, requests for proposals or evaluated proposals.

Board members, Board staff, service provider staff, and their immediate family shall not be prohibited from applying and/or receiving WIOA or Trade services provided they meet the program eligibility guidelines. They will be required to follow the procedures set forth by the program and acceptance will be based on the program eligibility guidelines alone.

Service provider staff employed by the agency awarded the contract for the southern counties, as well as Board members residing in one of the seven southern counties will apply for services through the agency awarded the contract for the northern seven counties. Those employed by the agency awarded the contract to serve the northern seven counties, as well as Board Members residing in the northern seven counties, will apply for services through the agency awarded to serve the southern seven counties. The employee and or the immediate family member should request training or other WIOA services from their agency's WIOA Director. Who in turn will contact the Southen 14 Executive Director. The Southern 14 Executive Director, will make arrangements with the appropriate agency, based on the description above.

Board members and their immediate families should request WIOA services through the Southern 14 Executive Director, who will make arrangements with the appropriate agency, based on the description above.

Board staff and their immediate family will be served by the service provider agency contracted for the county of their residence. Board Staff should request the Southern 14 Executive Director to insure that the employee has utilized proper time and reported to the full Board at the next regular Board meeting. Timesheets reflecting the time used will be forwarded to the career planner assigned to the employee to be included in the participant file.

The Southern 14 Executive Director and their immediate family will be served by the Career Planner assigned to the county of their residence. The request for services should be reported to the Southern 14 Board Chair before application and reported to the full Board at the next regularly scheduled meeting. Timesheets reflecting the time used will be forwarded to the career planner assigned to the employee to be included in the participant file.

The career planner assigned to the participant will provide the same services and maintain the same confidentiality as given to any other WIOA participant. No one should determine eligibility, administer/proctor testing or process any application for themselves, a co-worker, or an immediate family member. All employees must use either vacation or personal time to complete an application or other WIOA-related services. Copies of time sheets documenting the time should be maintained in the participant file.

## FOREIGN TRAVEL

Pursuant to WIOA section 191(e), no funds received shall be used for foreign travel.

## PUBLICITY

No funds provided under this grant shall be used for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, radio, television, or film presentation designed to support or defeat legislation pending before the Congress or any state or local legislature or legislative body, except in presentation to the Congress or any state or local legislature itself, or designed to support or defeat any proposed or pending regulation,

administrative action, or order issued by the executive branch of any state or local government itself. Nor shall the recipient, related to any activity designed to influence the enactment of the legislation, appropriations, regulations, administrative actions, or Executive Order proposed or pending before the Congress, or any state government, state legislature, or local legislature body other than for normal and recognized executive-legislative relationships or participation by an agency or officer of as a state, local or tribal government in policymaking and administrative processes within the executive branch of that government.

**REPORTING OF WASTE, FRAUD AND ABUSE**

Pursuit of P.L. 113-114, Division E, Title VI, Section 743, no entity receiving federal funds may require employees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Allegations regarding fraud, program abuse or criminal Misconduct in WIOA programs shall immediately be reported to the Southern 14 Compliance Officer, the Department of Commerce and Economic Opportunity (DCEO), the Office of Employment and Training (OET), the U.S. Department of Labor (USDOL), Employment and Training Administration (ETA) Region V Office, and the USDOL Office of Inspector General (OIG) utilizing the reporting instructions outlined in this policy.

For the purpose of this policy misconduct is defined as an activity that may reflect negatively on the program or agency, affecting the public's confidence in the integrity of program operations. This includes but is not limited to, conflict of interest or the appearance of conflict of interest involving outside employment, business, and professional activities; the receipt of gifts, favors, or fees and misuse of official information or property.

Allegations of fraud, abuse or other criminal activity in WIOA-funded programs may originate from employees or the public. Reports may be made anonymously. It is up to the LWIA to ensure all individuals are aware of the incident reporting process.

Initial Reporting Process:

1) The reporting individual must complete the Incident Report within one (1) working day of detection or discovery of allegation and submit the completed report along with supporting documentation to the Southern 14 Workforce Investment Board's Compliance Officer. To ensure immediate notification, the report and documents can be emailed boffice@so14lwib.com
   Southern 14 Workforce Investment Board's Compliance Officer will be responsible for further submitting and tracking all reports received.

2) Compliance Officer upon receipt will forward completed incident report along with supporting documentation as follows:

A) Two (2) copies along with supportive documentation must be provided to the Office of Employment and Training's Deputy Director at
Department of Commerce and Economic Opportunity
Office of Employment and Training
500 East Monroe Street, 9th Floor
Springfield, Illinois 62701
(1) Forward additional supplemental information received to the Deputy Director for OET.

B) Submit one (1) copy of the completed Incident Report to the USDOL/ETA Region 5 Office at the address below:
Employment and Training Administration
U.S. Department of Labor
230 South Dearborn Street, 6th floor
Chicago, Illinois 60604

C) Report the incident to the USDOL Office of Inspector General in one of the following ways:
(2) Submitting one (1) copy of the Incident Report to the following address:
Office of Inspector General
U.S. Department of Labor
200 Constitution Ave, N.W., Rm. S-5514
Washington D.C. 20210

(3) Completing the online USDOL Office of Inspector General hotline form at the link on the References tab.
(4) Calling the USDOL Office of Inspector General's Hotline Number located at the link on the References tab. The following information will need to be provided:
(a) The identity of the Local Workforce Innovation Area (LWIA) or other local grant subrecipient involved.
(b) The identity of the person or organization the allegation is against, including telephone number and any other identifying data.
(c) The location of the incident with complete name(s) and address(es) of the organization(s) involved and other identifying data.
(d) The date and time of the incident and how it was discovered.
(e) The source of complaint.
(f) Any contacts with law enforcement agencies, including name(s), agency contacted, and results.
(g) The name, address, and telephone number of persons who can provide additional information.
(h) The details of the incident.

<u>Fact Finding and Resolution</u>

The USDOL OIG, upon receipt of an allegation, will make a determination as to whether an investigation will occur at the federal or state level. Notice of this determination will be provided in writing to the Department. If the OIG elects to investigate the allegation(s), The Department will postpone resolution until the investigation is complete. Should the USDOL/OIG elect for the

investigation to occur at the state level, the Department will initiate a special monitoring review or an investigation by the appropriate state entities. Under some circumstances, the Department shall have the responsible LWIA conduct the investigation.

If the allegation is against a Customer receiving WIOA services, the LWIA may suspend such service(s) while the allegation is under investigation.

Regardless of which entity (USDOL or the Department) will complete the investigation, the OET Fiscal Unit shall monitor the status of all WIOA Title 1B fraud and abuse investigations.

Once the fact-finding is complete, a final determination will be issued by the conducting entity. The final determination details the findings discovered during the monitoring review or investigatory process, including any regulatory citations, and where appropriate, any decision to allow or disallow costs, and actions that must be taken to recover disallowed costs. All final determinations will be issued within fifteen (15) working days from Completion of the fact-finding process.

The OET Fiscal Unit will follow up on all Incident Reports to ensure appropriate corrective action is taken.

LWIAs shall retain all records related to investigations initiated and completed for six (6) years after the date submitted to OET, its final Expenditure report for the funding period in which the investigation occurred, and where the investigation resulted in correction action.

**Additionally, In compliance with WIOA, Chapter 8 Section 3.7.2 – Incident Reporting:**

Employees will be required to review the incident reporting policy as well as the fraud training on the GATA website (https://www.illinois.gov/sites/GATA) annually as a part of the employee evaluation and certify that they have reviewed and agree to follow the reporting procedure.

Sub-recipients will be required to review the incident reporting policy as well as the fraud training on the GATA website (https://www.illinois.gov/sites/GATA) annually as part of the pre-award process and certify that they have reviewed and agree to follow the reporting procedure.

For participants' awareness, a poster outlining the procedure and information on where to obtain forms and instructions will be clearly posted in the Area's One-Stop as well as Satellite Offices.

Incident reporting forms and instructions are available on the Southern 14 web page (SO14LWIB.com) or from the Board's compliance officer. Complete WIOA policy can be found at https://apps.illinoisworknet.com/WIOAPolicy/Policy/Home

**PROHIBITION OF PROCURING GOODS OBTAINED THROUGH CHILD LABOR**

Pursuant to P.L. 113-114, Division H, Title I, Section 103, no funds may be obligated or expended for the procurement of goods mined, produced, manufactured, or harvested or services rendered, in whole or in part, by forces or indentured child labor in industries and hot countries identified by

DOL prior to December 18, 2015. DOL has identified these goods and services here: http://www.dol.gov/ilab/reports/child-labor/list-of-products/index-country.htm.

**REQUIREMENT FOR BLOCKING PORNOGRAPHY**

Pursuant to P.L. 113-114, Division H, Title V, Section 521, no Federal funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

**PROHIBITION ON TRAFFICKING IN PERSONS**

I. Trafficking in persons
   a. Provisions applicable to a recipient that is a private entity.
      1. You are the recipient, your employees, sub-recipients under this award, and sub-recipients' employees may not –
         i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
         ii. Procure a commercial sex act during the period of time that the award is in effect; or
         iii. Use forced labor in the performance of the award or sub-awards under the award.

References:

- WIOA Public Law 113-128 Section 101(f) - State Board Conflict of Interest
- WIOA Public Law 113-128 Section 102(b)(2)(E) - State Plan Conflict of Interest Assurance WIOA Public Law 113-128 Section 107(h) - Local Board Conflict of Interest
- WIOA Public Law 113-128 Section 121(d)(4) - One-Stop Operators
- WIOA Proposed 20 CFR 697.430
- WIOA Proposed 679.130(f)(1) through (3) - State Board must use criteria to certify One-Stops to avoid inherent conflict of interest
- WIOA Proposed 20 CFR 679.410(a)(3) and (c) - Local board must avoid inherent conflict of interest
- WIOA Proposed 20 CFR 679.430 - Entities performing multiple functions
- WIOA Proposed 20 CFR 683.200(c)(5) - Administrative Rules, Costs, Limitations – Title I WIOA and Wagner-Peyser
- 29 CFR 97.36(3)
- 2 CFR 899 Part 200 and Part 2900 - Office of Management and Budget Uniform Guidance on administrative, cost, and audit provisions for federal grants

## REQUIREMENTS FOR LOCAL WORKFORCE INNOVATION BOARD POLICIES

**Separate Local Area Policy**: State policy specifically requires the local workforce innovation board (LWIB) to develop a policy for implementation in the local area. See relevant state policy for more details.
**May Use State Policy as Local Policy**: State policy does not specifically require an area-specific policy; however, the LWIB may adopt the state policy to ensure compliance in program implementation.
**No Need for Local Policy**: State policy establishes all necessary requirements for compliance.
**Link to State Policies**: - WIOA Policy (illinoisworknet.com)

| State Policy | State Policy Number | Requires Separate Local Policy/ Agreement | May Use State Policy as Local Policy | No Need for Local Policy/ Agreement |
|---|---|---|---|---|
| Designation and Redesignation of Local Workforce Innovation Areas and Planning Regions | Chapter 1.1 | | | X |
| CEO Functions and Agreement Between Multiple CEOs | Chapter 1.2 | X | | |
| *CEOs **must** enter into an agreement when multiple CEOs in the local area* | | | | |
| CEO Delegation of Authority | Chapter 1.3 | X | | |
| *CEOs **must** delegate authority* | | | | |
| Local Workforce Innovation Board Membership Requirements | Chapter 1.4 | | | X |
| Local Workforce Innovation Board Certification and Recertification Requirements | Chapter 1.5 | X | | |
| *LWIB **must** develop bylaws* | | | | |
| *LWIB **must** develop a conflict of interest policy* | | | | |
| One-Stop Operator Procurement | Chapter 1.7 | X | | |
| *LWIB **must** follow local procurement policy and procedures* | | | | |
| One-Stop Center Certification | Chapter 1.8 | | | X |
| Memorandum of Understanding | Chapter 1.9 | | | X |
| American Job Center Branding | Chapter 1.10 | | | X |
| Resource Room Utilization and Tracking | Chapter 1.11 | | | X |
| One-Stop Delivery System Under WIOA | Chapter 1.12 | | | X |
| Service Integration | Chapter 1.13 | | | X |
| Regional and Local Planning Requirements | Chapter 2.1 | | | X |
| Performance Accountability and Reporting | Chapter 3 | | | X |
| One-Stop Services Under WIOA | Chapter 4.1 | | | X |
| Career Planning | Chapter 4.2 | X | | |
| *LWIB **must** establish a mechanism to track services to reportable individuals* | | | | |
| Follow-Up Services | Chapter 4.3 | X | | |
| *LWIB **must** spell out Follow-Up expectations* | | | | |

*Last updated April 11, 2024*

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|---|---|---|---|---|---|
| General Eligibility Requirements | | Chapter 5.1 | | | X |
| Selective Service Registration Requirements | | Chapter 5.1.1 | X | | |
| | *LWIB **must** address compliance* | | | | |
| Individual and Program Approvals for Unemployment Insurance Recipients | | Chapter 5.1.2 | | | X |
| Adult Eligibility | | Chapter 5.2 | | X | |
| | *LWIB **may** define Self-Sufficiency standard* | | | | |
| Dislocated Worker Eligibility | | Chapter 5.3 | | X | |
| | *LWIB **may** establish additional criteria for an* individual requires additional assistance *under "unlikely to return to a previous industry or occupation" definition*. | | | | |
| | *LWIB **may** develop policies and procedures to specify what constitutes a "general announcement" for plant closings* | | | | |
| | *LWIB **may** develop policies and procedures to specify what constitutes "unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters" for individuals who are self-employed, including family members and ranch hands.* | | | | |
| | *LWIB **may** identify sectors and occupations that are substantial or significant to the regional or local workforce or economy.* | | | | |
| | *LWIB **may** define Self-Sufficiency standard* | | | | |
| Youth Eligibility | | Chapter 5.4 | X | | |
| | *LWIB **must** define an individual who requires additional assistance.* | | | | |
| Source Documentation for WIOA Eligibility | | Chapters 5.2 – 5.4 | | | X |
| Low-Income Individuals | | Chapter 5.5 | | | X |
| Service Priorities | | Chapter 5.6 | X | | |
| | *LWIB **must** establish written policies and procedures to ensure priority.* | | | | |
| Veterans' Priority of Service Requirements | | Chapter 5.7 | X | | |
| | *LWIB **must** develop and implement processes to identify veterans and eligible spouses.* | | | | |
| Basic Skills Deficiency Assessment Requirements | | Chapter 5.9 | | | X |
| Annual Allocation and Modification Requirements of WIOA Formula Grant Funds | | Chapter 6.1 | | | X |
| WIOA Rapid Response (1E) Grant Funds | | Chapter 6.2 | | | X |
| Additional Funding Opportunities | | Chapter 6.3 | | | X |
| Career Services | | Chapter 7.1 | | | X |
| Work Experience (WEX) and Transitional Jobs | | Chapter 7.1.2 | X | | |
| | *LWIB **must** set policy for implementing WEX* | | | | |

| | | | | | |
|---|---|---|---|---|---|
| | *LWIB **may** create an incentive policy* | | | | |
| Training | | Chapter 7.2 | | | X |
| Individual Training Accounts (ITAs) | | Chapter 7.2.1 | X | | |
| | *LWIB **must** develop a local ITA policy* | | | | |
| Class-Size Training | | Chapter 7.2.1.2 | | | X |
| On-the-Job Training (OJT) | | Chapter 7.2.2.1 | X | | |
| | *LWIB **must** set policy for implementing OJTs.* | | | | |
| Customized Training | | Chapter 7.2.2.2 | | | X |
| Incumbent Worker Training (IWT) | | Chapter 7.2.2.3 | X | | |
| | *LWIB **must** set policy for implementing OJTs.* | | | | |
| Training Provider and Training Program Eligibility – Eligible Training Provider List (ETPL) | | Chapter 7.3 | X | | |
| | *LWIB **must** set policies for introducing and discussing the ETPL with participants* | | | | |
| | *LWIB **must** establish local policies that provide sufficient consumer protection and oversight of training providers* | | | | |
| | *LWIB **may** establish area-specific requirements for ETPs to be used in the area* | | | | |
| | *LWIB **may** apply area-specific performance standards (or "targets') as part of its local ETP criteria* | | | | |
| Supportive Services | | Chapter 7.4 | X | | |
| | *LWIB **must** define available Supportive Services* | | | | |
| Needs Related Payments (NRPs) for Adults and Dislocated Workers | | Chapter 7.4.1 | | X | |
| | *LWIB **may** create an NRP policy* | | | | |
| Youth Services and Competitive Procurement of Youth Providers | | Chapter 7.5 | | X | |
| | *LWIB **must** follow local procurement policy and procedures* | | | | |
| | *LWIB **may** define supportive services for Youth (if not included in policy for Adult/DW)* | | | | |
| Privacy and Security (Personally Identifiable Information) | | Chapter 8.2.2 | X | | |
| | *LWIB **must** establish a monitoring policy* | | | | |
| Nondiscrimination and Equal Employment Opportunity Provisions | | Chapter 8.3.2 | | | X |
| Reporting of Accrued Expenditures | | Chapter 8.3.3 | | | X |
| Property Control for Property Purchased with WIOA Funds | | Chapter 8.3.6 | X | | |
| | *Grantees **must** have fiscal policy and* | | | | |

| | | | | | |
|---|---|---|---|---|---|
| | *procedures* | | | | |
| Reporting | | Chapter 8.3.7 | | | X |
| Training Expenditure Requirement | | Chapter 8.4 | | | X |
| Compliant and Grievance Procedures (Nondiscrimination) | | Chapter 8.5 | X | | |
| | *LWIB **must** develop and maintain a procedure for complaints and grievances from participants and other interested parties as they pertain to WIOA Title IB services and benefits* | | | | |
| Assistance Listing Subaccounts | | Chapter 8.7 | | | X |
| Pre-Award Survey for Relocating Establishments | | Chapter 8.8 | | | X |
| Rapid Response | | Chapter 9 | | | X |
| Nondiscrimination Plan (was MOA) | | Chapter 10 | | | X |

# Career Planning

Southern 14 Workforce Investment Board, Inc. LWIA #26

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Southern 14 Workforce Investment Board, Inc. and its grantees will comply with all state and federal laws and policies in regards to career planning.

LWIA 26 will track the number of reportable indivduals and activities through our local in-take form at the One-Stop Center and at our local service providers. Those services for reportable individuals will be added into IWDS 2.0 ~~under the Add Local Services tab~~ by One-Stop Center Staff and Title 1 staff.

# ~~PROGRAM EXIT AND~~ FOLLOW UP SERVICES

Southern 14 Workforce Investment Board, Inc. LWIA #26

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Follow-up is an important responsibility of a Career Planner because it supports customer success and helps meet workforce program performance goals. Follow-up services provided after employment or education placement help improve retention, address challenges, and support long-term success. These services are a required part of the program and do not change a customer's exit date or cause re-enrollment.

Career Planners must set expectations for follow-up at enrollment and work with customers to determine appropriate services based on customer needs. Follow-up services may vary in type, intensity, and duration and should be based on an evaluation of what the customer needs to remain successful.

Follow-up activities focus on helping adults and dislocated workers retain employment and may include workplace counseling, resolving job-related issues, connecting customers to resources, or providing information about advancement or education opportunities. For youth customers, follow-up services are required and critical for supporting success in employment or postsecondary education and may include adult mentoring, supportive services, financial literacy, and career guidance.

Career planners should reference the Workforce Innovation and Opportunity Act (WIOA) Title I Services Matrix to learn the allowable follow-up activities and differentiate follow-up activities from other types of program services.

All follow-up activities must be accurately documented in the Illinois Workforce Development System (IWDS) 2.0, which supports enhanced follow-up reporting and allows Career Planners to clearly record the services provided to the customer.

Follow-up services are defined as two-way exchanges between the Workforce Innovation and Opportunity Act (WIOA) Title I service provider and the customer (or the customer's advocate or employer) and are designed to provide support and guidance to ensure sustained employment, earning of post-secondary credentials, wage increases, and advancement of career goals.

These services go above and beyond the act of contacting customers for securing performance reporting documentation and verifying information, such as ensuring a customer is still employed, collecting credentials or other documentation, is not considered follow-up.

The availability of follow-up services should be discussed with the customer at the beginning of a customer's interaction with the Career Planner to set the expectation for seamless communication throughout their participation in the program.

An evaluation to determine the need and level of intensity for follow-up services to meet the needs of the customer should be ongoing during participation and the follow-up period.

- In the Adult and Dislocated Worker program, these service evaluations are a way to determine if adults or dislocated workers need support for retaining employment, earning wages, or advancing in the workplace.
- For Youth, these services must be made available and are critical to ensuring they are successful in a job or postsecondary education and training.

Follow-up should be as often as necessary throughout the required twelve (12) months.

- At a minimum, it should occur at least every thirty (30) calendar days for the first three (3) months, and then it must occur once a quarter for the remainder of the twelve (12)-month period.
- Career Planners shouldn't plan only to contact someone within these timeframes. They should contact the customer as often as is needed for them specifically, but no more than every thirty (30) days. This shouldn't become a practice of simply reaching out every thirty (30) days.
- Documentation of contact attempts and successful contact must be entered in Illinois Workforce Development System (IWDS) 2.0 each time throughout the twelve (12) month follow-up period on the Occurrence or Activity tab of the Follow-Up Section of the Customer's Profile page.
- Documentation of all follow-up activities provided to the customer must also be entered in IWDS 2.0 on the Occurrence or Activity tab of the Follow-Up Section of the Customer's Profile page.
- Follow-up services may be ceased if the participant declines to receive the services or if the participant cannot be located or contacted. The participant is deemed to be unable to be located if the career planner is unsuccessful in making two-way contact three consecutive months. Career planners must utilize a variety of methods to make contact (including registered mail with return receipt) and document attempts to contact participant with methods used to make contact in the participants case notes. Case notes and documentation must be reviewed by career planner's supervisor prior to ceasing follow-up services.

Follow-up services may occur by telephone conversation, in person, or via email (or other social media).

- While sending a letter or leaving a voicemail might be communication, neither is acceptable if no interaction or benefit to the customer/provision of service took place.

Follow-up services do not delay program exit.

The LWIB has established the following procedures following state guidance.

1. **Adult and Dislocated Worker Programs**

Follow-up services must be made available to all Workforce Innovation and Opportunity Act (WIOA) adults and dislocated workers who obtain unsubsidized employment for a minimum of twelve (12) months from the date of unsubsidized employment.

Follow-up services for adults and dislocated workers can include, but are not limited to, the following:

**• Counseling individuals about the workplace.**
1) How are things going at work? Are you excited or happy to come to work?
2) What is your favorite part of your job? What about your job do you find most challenging?
3) Is there any aspect of your job that you feel you may need to improve upon? What are skills you would like to develop to help you perform better at work?
4) Are there any issues that may jeopardize your continued employment?

**• Contacting individuals or employers to help secure better paying jobs, to provide additional career planning and counseling for the individual.**
1) Employer – Does the individual meet all the requirements for their current position? If not, what aspects of their job do they need to improve upon?
2) Employer – Does the individual have the ability to secure a promotion or better paying job? Will the individual/employee have the opportunity to secure a promotion or pay increase? If so, what skills, aptitudes, etc., do they need to obtain the promotion/better paying job?
3) Individual – Are you interested in securing a better paying job or promotion within your current company? Have you approached your supervisor about any opportunities they may have?
4) Individual – Do you think you might benefit from attending group workshops on obtaining referral letters, updating your resume, or job clubs?

**• Assisting individuals and employers in resolving work-related problems.**
1) Are you experiencing any work-related issues with co-workers or supervisors?
2) If so, how have you handled the problem?
3) Have you had to approach your supervisor about issues you have experienced? Is your supervisor responsive to any issues that you bring to their attention?
4) Do you feel that you might benefit from crisis and stress management skills?

**• Connecting individuals to peer support groups.**
1) Would you benefit from joining or engaging in any peer support groups (single parents, coping skills for stress, women/men in non-traditional employment groups, etc.)? If so, which ones would you be interested in attending?
2) Are you interested in sharing your experiences and becoming an adult mentor to the youth in our program?

**• Providing individuals with information about additional educational or employment opportunities.**
1) What are your short-term and long-term professional goals? Are you interested in information about additional educational or employment opportunities that would support your advancement? Such as networking, continued education, or skill advancement.
2) Do you know anyone that may benefit from our services?

**• Providing individuals with referrals to other community services.**
1) Are there any resources you need to assist you in meeting your basic needs? Such as housing, transportation to work, and putting food on the table for your family.

2. **Youth Program**

Follow-up services must be made available to all Workforce Innovation and Opportunity Act (WIOA) youth for a minimum of twelve (12) months from the date of program exit.

Follow-up services for youth may include, but are not limited to, the following:

**• Supportive Services, if funding is available and the need for supportive services are supported in the Universal Career Plan;**
1) Are there any resources that will assist you in meeting your basic needs? Such as housing, transportation to work, and putting food on the table for your family.

**• Adult mentoring;**
1) Are you interested in hearing from an adult mentor about their employment/post-secondary experiences and what support helped them succeed?

**• Financial Literacy Education;**
1) Are there any resources you need to assist you in meeting your financial goals (budgeting, opening a bank account)?

**• Services that provide labor market and employment information (LMI) about in-demand industry sectors or occupations available in the Local Area, such as career awareness, career counseling, and career exploration services;**
1) Do you wish to move further in your career? If so, we can provide you with information about additional educational opportunities and career pathways (Labor Market Information).
2) Do you think you might benefit from attending group workshops on obtaining referral letters, updating your resume, or job clubs?

**• Activities that help youth prepare for and transition to postsecondary education and training;**
1) Do you have everything that is needed for your education/training?
2) Would you like any information about additional educational or employment opportunities?
3) Do you know anyone that may benefit from our services?

**• Other services necessary to ensure the success of the youth in employment and/or postsecondary education.**
1) How are things going at work/school? Are you excited or happy to come to work/school/job?
2) What is your favorite part of work/school/job? What about your work/school/job do you find most challenging?
3) Is there any aspect of your job that you feel you may need to improve upon? What are skills you would like to develop to help you perform better at work?
4) Are there any issues that may jeopardize your continued work/school/job?

~~This policy provides the requirements for program exits, as well as the definition of a service to ensure participants are being exited in a timely manner in the Illinois Workforce Development System (IWDS). Additional information included with this policy is clarification on program exits.~~

**~~A. Program Exit Requirements~~**

~~1) A program exit must occur when a participant has not received any active services funded by the program or a partner program for 90 consecutive calendar days, has no gap in service and is not scheduled for future services. To that end, the following should be considered:~~

~~a. A participant may be exited sooner than 90 days if it is known that they will not be receiving any additional active services funded by the program or a partner program.~~

~~1) If an exit record has been entered into IWDS, and the participant receives a new active service funded by the program or a partner program within 90 days of the previous service, the exit record MUST be deleted from IWDS and the new service(s) added to the participant's existing application record.~~

~~b. An individual shall NOT have a new participant application entered for them if they:~~
~~1) have received an active program service within 90 days; or~~
~~2) have not had an exit record entered into IWDS (regardless of whether or not 90 days has passed since the last receipt of service).~~

~~c. A participant without an active program service record in IWDS is eligible for review and exit by OET staff twenty (20) days following ninety (90) days without a service.~~

~~2) The date of exit is applied retroactively from the current date to the last day on which the participant received an active program service funded by WIA, TAA or a partner program.~~

~~3) If a participant receives services from multiple programs, use the most recent service end date as the "date of exit".~~

~~4) Participants who have a planned gap in service of greater than 90 days must not be considered as exited, if the gap in service is due to one of the following circumstances:~~

~~a. A delay before the beginning of training:~~

~~b. A health/medical condition or providing care for a family member with a health/medical condition; or~~
~~c. A temporary move from the area that prevents the individual from participating in services, including military service.~~

~~5) The planned gap in service may not last more than 180 consecutive calendar days from the date of the most recent service. All planned gaps in service must be documented in IWDS and include the reason for the gap and an anticipated return date to complete program services.~~

~~6) Once a participant has no open active service for 90 days, the exit record must be entered into IWDS no more than 110 days from the last date of active program service.~~

~~a. A report "Days Since Last Active Service" is available in IWDS for each LWIA to monitor participants last service date.~~

~~b. A participant without an active program service record in IWDS for more than 90 days is eligible for review and will be exited by OET staff after 110 days.~~

~~c. For those customers that are exited by OET staff, case management will provide notification via email as a reminder to continue conducting all follow-up activities and enter those services and associated case notes into IWDS.~~

~~**B. Program Services Definitions** (as defined by WIOA Policy Chapter 3 Section 3.1)~~

~~1) A program service is a WIOA -approved activity, and in some instances Supportive Services, funded or supported by WIOA, Trade, or a partner program, not including Follow-up services or other activities not considered a service as provided in 3 below.~~

~~a. Trade includes activities and services available through any of the three Trade programs: Trade Adjustment Assistance – TAA, Trade Globalization Adjustment Assistance Act of 2009 – TGAAA, and Trade Adjustment Assistance Extension Act of 2011 – TAAEA.~~

~~2) A supportive service may be considered a program service only if the Expenditure for it is related to a current staff-assisted service or training activity and does not fall under a service that could be provided during follow-up.~~

~~3) An active program service is defined as a service provided to a Participant that has taken place within the last 90 consecutive days.~~

~~a. Documentation of active program services, such as ongoing staff interaction and training activities, must initially be in the form of IWDS service activities. Additional documentation of these open active program activities should be in the form of Case Notes. The Case Note details must specify a two-way communication describing either what occurred or verifying attendance and training progress and how the service or activity is moving the participant toward his/her employability goal.~~
~~b. Documentation of Same-day Service requires that a service activity episode must be entered in IWDS each time the service is provided. See Exit Policy Services attachment for a further description and list of same-day services.~~
~~1) Documentation in the form of a case note without an update to the IWDS same-day service activity record will not cause the service to be treated as active and, therefore, will not impact exit date determination.~~
~~2) IWDS entry of same-day services. a) After an initial same-day service is~~

~~entered into IWDS, case managers can use a one-click process to indicate additional episodes of this same service.~~

~~b) To accomplish this, the case manager must select the initial same-day service from the service list screen. That service information (with any update) will appear as usual on the Edit Services screen. For same-day services, this screen will also contain a 'Record Additional Service Episode' button.~~

~~c) Clicking the 'Record Additional Service Episode' button will display fields for the entry of an additional service date(s) and a text box to describe that day's activity. Once this data is added and saved, the text will be stored as part of the Customer's Case Notes for the additional activity date.~~

~~c. Documentation of supportive services may be in the form of fiscal records showing payment for a service or a Case Note in IWDS. Supportive services are never considered active program services.~~

~~4) The term active program service does not include:~~

~~a. Determination of eligibility to participate in the program;~~

~~b. Self-directed job search that does not result in a referral to a job;~~

~~c. Services and activities specifically provided as follow-up services such as regular contact with the participant or employer only to obtain information regarding his or her employment status, educational progress, need for additional services, or income support payments (except for trade readjustment allowances and other Needs-Related Payments funded through the TAA program, Dislocated Worker program, or National Emergency Grant (NEG) program); or~~

~~d. Fiscal records showing payment for support services.~~

## ~~C. Follow Up Services~~

~~Activity which is designed to provide continuing support to adults and dislocated workers who entered employment and to all youth who have exited the program.~~

~~Adult and Dislocated Worker Follow-up Services:~~

~~The goal of follow-up services for adults and dislocated workers who enter employment at exit is to ensure job retention, wage gains and career progress. Follow-up services must be made available for a minimum of **12** months following the first day of employment; Follow-up should be as often as necessary throughout the required twelve (12) months. At a minimum, it should occur every thirty (30) days for the first three (3) months and then must occur once a quarter for the remainder of the twelve (12) month period. This aligns with quarterly post-exit reporting requirements. Provision of such services are dependent on the needs of the customer as reflected in the individual's employment development plan.~~

~~Follow-up services may include, but are not limited to additional career planning and counseling, contact with the customer's employer including assistance with work related problems, peer support groups, information about additional educational opportunities and referral to supportive services available in the community. Participants enrolled in follow up services must include quarterly meaningful communication, defined as a two-way exchanges~~

~~between case manager and the individual being served. All contacts must be recorded in IWDS and may include in person conversations, telephone or email.~~

~~Follow-up services may be ceased if the participant declines to receive the services or if the participant cannot be located or contacted. The participant is deemed to be unable to be located if the case manager is unsuccessful in making two-way contact three consecutive months. Case managers must utilize a variety of methods to make contact (including registered mail with return receipt) and document attempts to contact participant and report methods used to make contact in the participant's case notes. Case notes and documentation must be review by case manager's supervisor prior to ceasing follow-up services.~~

~~Youth Follow-Up Services:~~

~~20 CFR 681.580 describes follow-up services as "critical services provided following a youth's exit from the program to help ensure the youth is successful in employment and or postsecondary education and training. Follow-up services may begin immediately following the last expected date of services in the Youth program, when no future services are scheduled. Follow-up services do not cause the exit date to change and do not trigger re-enrollment in the program. For follow-up purposes the exit date is determined when the participant has not received services in the Youth program for 90 days and no additional services are scheduled. At that point, the date of exit is applied retroactively to the last date of service. Once 90 day of no service, other than follow-up service, self-services or information-only services and activities have elapsed and the participant has an official exit date applied retroactively to the last day of service, the program continues to provide follow-up services for the remaining 275 days of the 12-month follow-up requirement. The 12-month follow-up requirement is completed upon one year form the date of exit.~~

~~Participants enrolled in follow up services must include quarterly meaningful communication, defined as a two-way exchanges between case manager and the individual being served. All contacts must be recorded in IWDS and may include in person conversations, telephone or email.~~

~~Follow-up services must be provided to all youth participants for not less than 12 months after program completion. Follow-up services must include two-way communication – more than only contact attempted or contact made only for securing documentation in order to report performance outcome. Follow-up services may be ceased if the participant declines to receive the services or if the participant cannot be located or contacted. The participant is deemed to be unable to be located if the case manager is unsuccessful in making two-way contact three consecutive months. Case managers must utilize a variety of methods to make contact (including registered mail with return receipt) and document attempts to contact participant with methods used to make contact in the participants case notes. Case notes and documentation must be review by case manager's supervisor prior to ceasing follow-up services.~~

~~The appropriate set of follow-up services is dependent on the needs of the individual participant. The scope of services may be less intensive for youth who only participated in the summer youth employment program.~~
~~Services for youth may include:~~

~~a) Leadership development;~~

~~b) Supportive services;~~

~~c) Regular contact with the youth's employer including assistance in addressing work-related problems that may arise;~~

~~d) Assistance in securing better paying jobs, career development and further education;~~

~~e) Work-related peer support groups;~~

~~f) Adult mentoring;~~

~~g) Tracking the progress of the youth in employment after training;~~

~~h) Financial literacy education;~~

~~i) Services that provide labor market and employment information about in-demand industry sectors or occupations — including career awareness, career counseling and career exploration services.~~

~~j) Activities that help youth prepare for the transition to postsecondary education and training.~~

**~~Provisions of these services must occur after the exit date in order to be considered as follow-up services. Above services provided after exit date should be coded as follow-up and documented in case notes as being provided as follow-up service post exit in IWDS.~~**

# MILITARY SELECTIVE SERVICE COMPLIANCE

Southern 14 Workforce Investment Board, Inc. LWIA #26

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Southern 14 Workforce Investment Board, Inc. and its grantees will comply with all state and federal laws and policies in regards to military selective service requirements. ~~**See attachments**~~ Customer's must complete Selective Service Verification Form OET/SS **Form #001** ~~**and Form #002 and Attachment A required per 11-PL-02.**~~

Guidelines on knowing and willing failure to comply will be on a case by case basis, based on evidence presented. If a customer is found to not comply with Selective Service requirements on OET/SS Form #001 the career planner will have 4-6 weeks to gather documentation and submit Selective Service Waiver Form #002 to the LWIB Office for Waiver Approval, Waiver Denial, or Waver Revokation. The form will be completed by the Executive Director of Southern 14 and returned to the Service Provider.

Additionally, a local board may approve eligibility and enroll a customer in services by granting a Locally Approved Selective Service Waiver Form #002. This is only an option in the event that time is a factor for enrolling customers in services or training, and the four to six (4-6) weeks may harm the customer's progress through the program.

- If additional information gained (during the 4-6 weeks) eliminates the possibility of a non-knowing and non-willful failure to register, the local board must retract the Locally Approved Waiver. The customer will no longer be eligible for WIOA programs, and should not receive any more basic, staff-assisted, or individualized career services.
- Justification for the earlier granting of the waiver must be documented and uploaded to the customer's case file.

The final decision regarding the customer's eligibility for WIOA services or programs based upon the matter of Selective Service compliance rests with the local board.

Individuals denied services must be advised of available WIOA grievance procedures as outlined in the Complaint and Grievance Procedures (Nondiscrimination) section of the e-policy manual.

Illinois Department of Commerce and Economic Opportunity

# Selective Service Verification Form

| DCEO USE ONLY | |
|---|---|
| Certification Number: | |
| Grant Number: | |

**Verification Questions:**
**Please answer the following questions concerning your status in the selective service system. If you need more space to complete this form or include additional information, you can attach the explanation or item(s) in question to the end of this form.**

1. Are you a male, born after January 1, 1960 who has reached the age of 18 or will within the next 30 days? ☐ Yes ☐ No

**If you answered "no" to question 1, you have met the selective service eligibility criterion. However, if you turn 18, you must register with selective service within 18 days of your birthday. If you answered "yes," please continue to complete the form.**

2. If you answered yes to question 1, have you registered with Selective Services? ☐ Yes ☐ No

**If you answered "yes" to question 2, you have met the selective service eligibility criterion.**
**If you answered "no" to question 2, please continue to complete the form.**

3. Are you currently serving in the military on full-time active duty, attending the service academies, are disabled and confined to a residence, hospital or institution, or are hospitalized, institutionalized, or incarcerated? ☐ Yes ☐ No

**If you answered "yes" to question 3, you have met the selective service eligibility criterion. However, you must register within 30 days after being released from the above exclusions if you have not reached your 26th birthday. If you answered "no" to question 3, please complete the remainder of the form.**

4. Were you aware of the requirement for you to register with selective service? ☐ Yes ☐ No

5. If you were aware of the requirement to register, were you misinformed about the applicability of the requirements to you? ☐ Yes ☐ No

6. On what date did you first learn of the requirement to register with selective service and its pertinence to you? _____/_____/_____

7. What actions, if any, did you take when you learned of this requirement?

8. Did you deliberately fail to register with selective services? ☐ Yes ☐ No

9. If not, why did you fail to register?

10. During the time between your 18th and 26th birthday, what was your permanent mailing address? (If you had more than one permanent address during this time, include the other addresses on a separate sheet.)

Address: _____ P.O. Box: _____

City: _____ State: _____ Zip Code: _____

Customer's Name: _____

Customer's Signature: _____ Date: _____/_____/_____

# LWIA #26 Selective Service Verification Form

**Verification Questions:**
**Please answer the following questions concerning your status in the selective service system. If you need more space to complete this form or include additional information, you can attach the explanation or item(s) in question to the end of this form.**

1. Are you a male, born after January 1, 1960 who has reached the age of 18 or will within the next 30 days? ☐ Yes ☐ No

2. If you answered yes to question 1, have you registered with Selective Services? ☐ Yes ☐ No

3. Did you serve more than 180 days on full-time active military duty anytime between the ages of 18-26? ☐ Yes ☐ No Documentation in File: ☐

4. Did you attend a service academy anytime between the ages of 18-26? ☐ Yes ☐ No Documentation in File: ☐

5. Were you disable or confined to a residence, hospital or institution anytime between the ages of 18-26? ☐ Yes ☐ No Documentation in File: ☐

6. Were you incarcerated continuously between the ages of 18-26? ☐ Yes ☐ No Documentation in File: ☐

7. Did you enter the United States for the first time after you reached the age of 26? ☐ Yes ☐ No Documentation in File: ☐
   During this time between your 18th and 26th birthday, what was your permanent mailing address? (if you had more than one permanent address during this time, include the other addresses on separate sheet)

   Address: _____ P.O. Box: _____

   City: _____ State: _____ Zip: _____ Country: _____

8. Did you deliberately fail to register with selective services? ☐ Yes ☐ No

9. If not, why did you fail to register?

Customer Name: _____(please print)

Customer's Signature: _____ Date: ___/___/____

Did Customer Fill out DCEO/SS Form #001 ☐ Yes ☐ No ☐ ~~SIL Pending~~

Case Manager's Signature: _____ Date: ____/____/____

☐ Waiver Approved ☐ Waiver Denied ☐ Waiver Revoked

LWIA26 Signature Approval _____ Date: _____/____/____

# ADULT ELIGIBILITY POLICIES

Southern 14 Workforce Investment Board, Inc. LWIA #26

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## 1. GENERAL ELIGIBILITY REQUIREMENTS

All Title IB registered participants must meet the following two general eligibility requirements.

GE.1. Authorized to work in the United States

GE.2. Compliance with Military Selective Service Requirement

## 2. ADULT ELIGIBILITY REQUIREMENTS

To be eligible to participate in activities and services specified in Section 134 of the WIOA under the adult funding stream, an individual shall meet the general eligibility requirements and, at the time of eligibility determination, be age 18 or older. (Sec. 3(2)).

WIOA establishes a priority requirement for the use of funds allocated to a local area for certain adult employment and training activities.

After eligibility determination, priority for individualized career services and training service shall be given to:

1. Recipients of public assistance;
2. Other low-income individuals; and
3. Individuals who are basic skills deficient (including English language learners).

Per Training and Employment Guidance Letter 07-20, the state has determined that giving priority of service to these individuals means ensuring that at least seventy-five (75) percent of a local area's participants receiving individualized career and training services in the Adult program are from at least one (1) of the priority groups.

- Service Providers must ensure timely, accurate, and reliable data entry into the appropriate case management system is occurring to document the local area's success in serving priority populations.
- If any local area does not meet the minimum seventy-five (75) percent benchmark, the state may initiate a review of the local area's compliance with the statutory requirement to provide priority of services to the priority populations.

## 3. ADULT SELF-SUFFICIENCY REQUIREMENTS

For the purposes of adult worker eligibility, Self Sufficiency is defined as not having income that exceeds ~~250%~~ 100% of the current Income Guidelines for Determination of Low Income (LLSIL) as applicable for LWIA #26 and provided as Attachment C for WIOA Notice Number 25 NOT 06.

# DISLOCATED WORKER ELIGIBILITY POLICIES

Southern 14 Workforce Investment Board, Inc. LWIA #26

## DISLOCATED WORKER ELIGIBILITY REQUIREMENTS

Individuals do not have to meet general or program-specific eligibility to access self-service/information-only services. To receive staff-assisted Title I services, a "dislocated worker" must meet general eligibility requirements and at least one (1) of the following dislocated worker eligibility requirements under the Workforce Innovation and Opportunity Act (WIOA):

1. Individual or Small Group Layoff;

The individual:

1. Has been terminated or laid off or has received notice of employment termination or layoff; this would include an individual who has separated from or has an impending separation from the Armed Forces; and
2. Is eligible for or has exhausted entitlement to unemployment compensation as documented in one of the following ways:
    1. Unemployment Insurance Benefits. The classification of persons as eligible for unemployment insurance is limited to those who have been determined eligible to receive a monetary benefit by the state unemployment insurance administering agency or who have been determined by the state unemployment insurance administering agency to have exhausted their benefits; or
        i. For those who have been notified of an upcoming layoff and will not have applied for unemployment insurance, to meet the criteria around being eligible for unemployment insurance, the individual must have earned at least $2,000 in at least two (2) of the last four (4) calendar quarters according to the federal and state Unemployment Insurance Laws.
    2. Tenure. Has been employed for a duration sufficient to demonstrate attachment to the workforce (meaning the individual must have at least thirty (30) days of employment in the industry or occupation from which they were dislocated) but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a state unemployment compensation law; and
3. Is unlikely to return to a previous industry or occupation.
    1. The occupation or industry is in low growth or decline as determined below; or
        i. The individual has been laid off or terminated from a low-growth industry, defined by a North American Industrial Classification System (NAICS) code category with less than the statewide average growth rate; or
        ii. The individual has been laid off or terminated from a low-growth occupation, defined as any O*NET Codes category with an average annual employment growth rate of less than the statewide average growth rate for all occupations;
    2. The individual requires additional assistance. After an assessment of education, skills, and work experience has been determined by the Title IB entity to require additional assistance to qualify for any available openings in the industry or occupation from which the person was laid off or to obtain employment in another occupation. Such determination must be documented in the person's case file.
        i. Examples of requiring additional assistance include, but are not limited to, the following:
            a. An individual who meets the long-term unemployed criteria (unemployed for twenty-seven (27) or more consecutive weeks);
            b. The individual is a separating or separated member of the U.S. Armed Forces;
            c. The individual has a history of involvement at any stage with the criminal justice system (justice-touched individual);
            d. The individual is likely to enter a new job that is different structurally or organizationally than their previous job;

e. The individual is likely to enter a new job with lower seniority compared to their previous position;
f. The individual has a gap in employment that decreases their chances of returning to the same level of occupation or type of job, including justice-touched individuals;
g. There are limited employment opportunities in the occupation or industry within the local area;
h. There is an excess number of workers with similar skill sets and experience in the local area;
i. The individual has out-of-date or inadequate skills;
j. The individual has adequate skills but lacks a credential required by most employers;
k. The individual has a challenge to employment such as a disability, medical condition, or legal issues that could prevent a return to employment in the same industry or occupation as outlined in the Employment Challenges Definitions (See Attachments tab); or
l. An unsuccessful job search suggests the individual is unlikely to regain employment in their previous occupation or industry.

2. Facility Closure or Substantial Layoff;

1. The individual:
    1. Has been terminated or laid off, or has received notice of termination or layoff from employment due to a permanent closure of or a substantial layoff (defined below) at a plant, facility, or enterprise; or
        1. Substantial layoff includes, but is not limited to, the following:
            i. Layoffs resulting from Federal, State, or local disasters or emergencies (e.g., flood, tornado, fire, pandemic, etc.);
            ii. Documented State or Local Rapid Response layoff in the Illinois Employment Business System (IEBS); or
            iii. Layoffs from sectors and occupations that are substantial or significant to the regional or local workforce or economy as identified by the local workforce innovation board (LWIB) in the regional/local plans.
    2. Is employed at a facility in which the employer has made a general announcement that the facility will close within one hundred eighty (180) days; or
        1. Individuals determined eligible under this criterion may receive the full array of career services, training services, and supportive services, as appropriate.
    3. For eligibility to receive basic career services, the individual is employed at a facility where the employer has made a general announcement that such facility will close.
        i. Individuals determined eligible under this criterion are not eligible to receive individualized career services, training services, or supportive services unless it is within one hundred eighty (180) days of planned facility closure (at which time they become eligible under 2) above for all WIOA services.
        ii. LWIBs may develop policies and procedures to specify what constitutes a "general announcement" for plant closings;
            a. These policies and procedures could include policies and procedures for what constitutes a "general announcement" of a plant closing.
            b. General announcements apply only to those individuals who have received general notices of an impending layoff.

3. Profiled to Exhaust Unemployment Insurance Benefits;

1. The individual is a profiled and referred Unemployment Insurance (UI) claimant whose UI profilee date is within the past calendar year of the WIOA application date;
    1. The state has determined, as allowed per 20 CFR 680.130(b)(3), that UI profilees are eligible dislocated workers and is consistent with the definition of dislocated worker at WIOA Section 3(15).
    2. In such instances, no further documentation will be needed to establish the "Unlikely to Return to a Previous Industry or Occupation" criterion of WIOA section 3(15)(A)(iii).

3. As a result, the only standard is acceptance of UI profiling data to prove eligibility for meeting the requirements of 3(15). General WIOA Title I eligibility requirements still apply.

4. No Longer Self-Employed;

    1. The individual is self-employed (including employment as a farmer, a rancher, or fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters;
        1. LWIBs may develop policies and procedures to specify what constitutes "unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters" for self-employed individuals, including family members and ranch hands.
        2. Eligibility determination for the self-employed is based on the following requirements:
            1. Formerly self-employed but currently unemployed, including individuals who have lost their business(es) due to a specified natural disaster or a specific economic condition.
            2. Self-employed and going out of business or in the process of going out of business due to specified events or conditions that provide evidence of impending business failure.
            3. Family member of, or working for a formerly self-employed individual, including farm or ranch hands of persons in categories 4.a.1).a. and 4.a.1).b. above, provided that their contribution to the business constituted as least one (1) year of full-time work.
            4. This would include independent contractors or consultants who are not employees of an entity.

5. Displaced Homemaker; or

    1. The individual is a Displaced Homemaker, which is defined as an individual who has been providing unpaid services to family members as defined in TEGL 26-13 in the home, and who:
        1. Has been dependent on the income of another family member, but is no longer supported by that income; and
        2. Is unemployed or underemployed and is experiencing difficulty obtaining or upgrading employment.

6. Spouse of Military Service Members.

    1. The individual is the spouse of a member of the Armed Forces on active duty as defined in section 101(d)(1) of Title 10, United States Code, and:
        1. Has loss of employment as a direct result of relocation to accommodate a permanent change in duty station or deployment; or
        2. Is unemployed or underemployed and is experiencing difficulties in obtaining or upgrading employment.

    2. Note: A military spouse may also qualify as a displaced homemaker (Category 5).

Evidence of eligibility must be maintained in IWDS 2.0. Refer to the WIOA Title IB Eligibility Source Documentation Requirements for a list of allowable sources of documentation that can be accepted as evidence of dislocated worker eligibility. (See the Attachments tab in E-Policies.)

Additionally, a Dislocated Worker Eligibility Criteria Checklist is available to assist in determining eligibility. (See the Attachments tab in E-Policies.)

~~To be eligible to participate in activities and services specified in Section 134 of the WIOA under the dislocated worker funding stream, an individual shall meet general eligibility requirements and the following dislocated worker eligibility requirements: Chapter 5, Section 3, Version 4~~

~~Current up-to-date State of Illinois WIOA Dislocated Worker Eligibility requirements are available at: WIOA Policy (illinoisworknet.com) Dislocated Worker Eligibility~~

~~DW.1. Terminated or laid off, or has received notice of employment termination or layoff, and~~
~~DW.1.a Eligible or has exhausted entitlement to unemployment insurance (UI); or~~

~~DW.1.b Has been employed for a duration sufficient to demonstrate attachment to the workforce (six months in Illinois), but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law; and~~

~~DW.1.c Is unlikely to return to a previous industry or occupation.~~

~~DW.2. Terminated or laid off, or received notice of termination or layoff from employment due to permanent closure of or substantial layoff at a plant, facility, or enterprise; and a. Is employed at a facility in which the employer made a general announcement that the facility will close within 180 days.~~

~~DW.3 Profiled to Exhaust Unemployment Insurance Benefits;~~

~~The individual is a profiled and referred Unemployment Insurance (*UI*) claimant whose UI profilee date is within the past calendar year of the WIOA application date; The state has determined as allowed per 680.130(b)(3), that UI profilees are eligible dislocated workers and is consistent with the definition of dislocated worker at WIOA Section 3(15). In such instances, no further documentation will be needed to establish the "Unlikely to Return to a Previous Industry or Occupation" criterion of WIOA section 3(15)(A)(iii). As a result, acceptance of UI profiling data to prove eligibility for meeting the requirements of 3(15) is the only standard.~~

~~DW.4. Self-employed but unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters~~

~~DW.5. Displaced homemaker~~

~~DW.6. Spouse of a member of the Armed Forces on active duty and:~~

~~DW.6.a Has experienced the loss of employment as a direct result of relocation to accommodate the permanent change in duty station, or~~

~~DW.6.b Unemployed or under-employed and experiencing difficulty in obtaining or upgrading employment~~

**Substantial Layoff – Qualifying Sectors and Occupations:**

LWIBs may designate certain sectors or occupations as substantial or significant to the regional or local workforce or economy as indicated in Ch. 5 Sec. 3. 2. A. 1) a) iii) of the WIOA ePolicy, updated 1/30/2023. Layoffs from these sectors or occupations qualify as substantial layoffs for the purpose of WIOA 1D eligibility.

- LWIA 26 has identified the following sectors as substantial or significant to the regional and local economy and/or workforce:

  700000 – Leisure and Hospitality
  300000 – Manufacturing, Total
  400000 – Trade, Transportation, and Utilities
  440000 – Retail Trade
  720000 – Accommodation and Food Services

- LWIA 26 has identified the following occupations as substantial or significant to the local economy and/or workforce:

41-2011 – Cashiers
41-2000 – Retail Sales Workers
51-0000 – Production Occupations

**Intervening or Stopgap Employment for Dislocated Workers:**

LWIA 26 will deem any employment that an individual obtains which **does not** meet the self-sufficiency criteria listed below, should be considered intervening or stopgap employment, and the individual would still have WIOA Dislocated Worker eligibility consideration based on their original dislocation job.

**Dislocated Worker – Special Grants:**

In addition to the above WIOA dislocated worker formula funding, LWIA 26 may receive special grants that have differing participant eligibility. Definitions and target populations may change depending on the specifications of the grant.

**DISLOCATED WORKER SELF-SUFFICIENCY REQUIREMENTS**

The Southern 14 Workforce Investment Board, for the purposes of dislocated worker eligibility, sets criteria of 85% of the dislocated hourly wage for determining whether employment leads to self-sufficiency or income that does not exceed ~~250%~~ 100% of the current Income Guidelines for Determination of Low Income (LLSIL) as applicable for LWIA #26 and provided as Attachment C for WIOA Notice Number 25 NOT 06. The assesment will be based on the customer's work history, skill levels, and a determination made by the career planner that the customer will **not** be able to obtain or retain employment that meets the above criteria for self-sufficency.

~~**SUFFICIENT DURATION OF EMPLOYMENT-TENURE REQUIREMENT**~~

~~The Southern 14 Workforce Investment Board, for the purposes of dislocated worker eligibility, will define '*has been employed for a duration sufficient to demonstrate to the appropriate entity at a workNet center referred to in* **Section 134 (Sec. 3(2) and Section 134 (Sec. 3(15)** *attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a state unemployment compensation law*' as a period of 30 days with the same employer or same occupation.~~

**GENERAL ANNOUNCEMENT OF A CLOSING**

The Southern 14 Workforce Investment Board, for the purposes of dislocated worker eligibility, established the following policy:

For employers of less than 50 people not covered by WARN, a newspaper press release or letter from the employer or their representative with an actual closing date constitutes a 'general announcement' of a plant closing, or what constitutes 'unemployed' as a result of general economic conditions in the community in which the individual resides or because of natural disasters for determining the eligibility of self-employed individuals, including family members and farm or ranch hands.

**LOOK-BACK PERIOD**

The Southern 14 Workforce Investment Board, for the purposes of dislocated worker eligibility, defines the term 'look-back period' as two (2) years.

# YOUTH ELIGIBILITY WITH LOCAL BARRIERS

Southern 14 Workforce Investment Board, Inc. LWIA #26

1. To be eligible to participate in activities carried out under this chapter during any Program Year, an individual shall, at the time of eligibility determination is made, be an Out-of-School Youth (OSY) or an In-School Youth (ISY).
2. To determine school status, "Attending school" means when an individual is enrolled in and/or attending a secondary school or credit-bearing classes in post-secondary school.
    1. If the youth participant is enrolled in any credit-bearing postsecondary education classes, including credit-bearing community college classes and credit-bearing continuing education classes, then they are considered attending postsecondary education and, therefore, an ISY.
    2. If the youth is only enrolled in non-credit-bearing postsecondary classes, they would not be considered attending postsecondary school and, therefore, an OSY.
    3. For purposes of WIOA, providers of adult education under Title II of WIOA, YouthBuild programs, the Job Corps program, high school equivalency programs, and dropout re-engagement programs are **not** considered to be schools for the purposes of determining school status.
        1. The only exception is if the high school equivalency (HSE) programs, including those considered to be dropout re-engagement programs, is funded by the public K–12 school system.
3. For WIOA youth program eligibility, an individual who is no longer enrolled in secondary school and has not received a secondary school diploma or its recognized equivalent is considered a school dropout.
4. The compulsory education law in Illinois requires children between the ages of six (6) and seventeen (17) must attend full-time school until they graduate. But there are exceptions, and some students may drop out early.
5. The WIOA youth program has the following funding limitations for a program year:
    1. Not less than seventy-five (75) percent of WIOA youth formula funds available shall be used to provide youth workforce activities for OSY;
    2. Up to five (5) percent of ISY and OSY may be individuals who would be eligible for the WIOA youth program, except that the individual is not low-income;
    3. Not more than five (5) percent of ISY may be eligible based upon the individual barrier being that the individual requires additional assistance to complete an educational program or to secure or hold employment; and
    4. A minimum of twenty (20) percent of the total local area youth formula funds shall be spent on work experience.
6. Local Workforce Innovation Boards (LWIBs) must establish local policy on the definition and use of individual requires additional assistance to “requiring additional assistance to enter or complete an educational program, or to secure and hold employment” criterion for out-of-school youth specified in WIOA section 129(a)(1)(B)(iii)(VIII) and for “requiring additional assistance to complete an education program, or to secure and hold employment” criterion for in-school youth.
    1. “Requires additional assistance” is defined for both ISY and OSY later in this policy.
7. Low-income requirements only apply to the following categories of youth:
    1. OSY who is a recipient of a secondary school diploma or its recognized equivalent who is either basic skills deficient or an English language learner; and
    2. OSY who requires additional assistance to enter or complete an educational program or to secure or hold employment; and
    3. All ISY.

8. WIOA allows an exception to the low-income requirements for the youth populations listed above. Five (5) percent of WIOA youth be determined eligible without meeting the low-income requirement only if they meet all other eligibility criteria for WIOA youth.
    1. A program must calculate the five percent based on the percent of newly enrolled youth in the local area's WIOA youth program in a given program year, regardless of school status, who would ordinarily be required to meet the low-income criteria.
    2. For example, OSY who have any of the other seven (7) barriers (e.g., dropout, offender, homeless, etc.) do not need to be low income and are not included in the denominator for the 5% exception calculation.
9. For this subsection, the term ''low-income'', used with respect to an individual, also includes a youth living in a High-Poverty Area.
10. To ensure the program serves a diverse mix of youth and is accessible to all youth, reporting youth demographic information, including eligibility barriers, is very important.
    1. Programs should report all eligibility barriers for youth when youth have multiple barriers so that program staff, states, and the U.S. Department of Labor (USDOL) accurately represent the youth we serve.
        1. There is one exception to reporting all youth eligibility barriers.
            1. For ISY, the only individual barrier being used to determine eligibility is that the individual requires additional assistance to complete an educational program or secure or hold employment.

~~A youth customer of WIOA must meet general eligibility requirements and at the time of eligibility determination, meet the requirement of an In-School or Out-of-School Youth.~~

1. ~~To be provided services under the youth funding stream as an out-of-school youth, the individual must be:~~
    a. ~~Not attending any school as defined under state law, individuals attending Adult Education provided under Title II of WIOA, YouthBuild or Job Corps are also classified as out-of-school youth;~~
    b. ~~Not younger than age sixteen (16) or older than age twenty-four (24); and~~
    c. ~~One (1) or more of the following:~~
        i. ~~A school dropout as defined by the state;~~
        ii. ~~Within the age of compulsory school attendance but has not attended school for at least the most recent complete school year calendar quarter as defined by the school district and the applicable school based on the student's residence or assignment;~~
        iii. ~~A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual **and** is:~~
            1. ~~Basic skills deficient (20 CFR 681.290): or~~
            2. ~~An English language learner.~~
    d. ~~Subject to the juvenile or adult justice system;~~
    e. ~~Homeless individuals, a homeless child or youth, 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 USC 677), or in an out-of-home placement;~~
    f. ~~Pregnant or parenting;~~
    g. ~~An individual with a disability;~~
    h. ~~A low-income individual requiring additional assistance (defined below) to enter or complete an educational program or to secure or hold employment.~~

2. ~~For individuals required to attend school under applicable state compulsory school attendance laws, the priority of assistance shall be for the individual to attend school regularly.~~

~~3. The term in-school youth means an individual who is:~~
~~a. Attending school (as defined by state law);~~
~~b. Not younger than fourteen (14) (unless an individual with a disability attending school under State law) or older than twenty-one (21);~~
~~i. A youth attending postsecondary education who is twenty-two (22) at the time of eligibility determination would not be eligible for the WIOA youth program because they are in school and over the age of twenty-one (21). That individual could be served through the WIOA adult program.~~
~~ii. There is one exception to age eligibility for youth attending school. Youth with disabilities who have an Individualized Education Program (IEP) may be enrolled as ISY after the age of twenty-one (21) since Illinois law allows youth with disabilities to be served by the K-12 public school system until the age of twenty-two (22). Such youth may only be enrolled as ISY up to the age of twenty-two (22) to receive secondary education services.~~
~~c. A low-income individual, including an individual that receives or is eligible to receive a free or reduced-price lunch under the Richard B. Russell National School Lunch Act (Sec. 3(36)(A)(iv)) or who lives in a high-poverty area; and~~
~~d. One or more of the following:~~
~~i. Basic skills deficient.~~
~~ii. An English language learner.~~
~~iii. An offender.~~
~~iv. A homeless individual, a homeless child or youth, 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 USC 677), or in an out-of-home placement.~~
~~v. Pregnant or parenting.~~
~~vi. A youth who is an individual with a disability.~~
~~vii. An individual who requires additional assistance (defined below) to complete an educational program or to secure or hold employment.~~
~~1. This criterion can only be used when no other youth barriers exist.~~
~~2. Local Workforce Innovation Boards (LWIBs) must establish a local policy using this criterion.~~
~~3. LWIBs must ensure that less than five (5) percent of their ISY per program year utilize and report this barrier as the sole reason for eligibility determination.~~

The Southern 14 Workforce Investment Board, for the purposes of Youth eligibility, will define ***'An individual who requires additional assistance to complete an educational program, or to secure and hold employment'*** as a youth (**youth in school**) with:

a. Minimal / Poor or No Work History
   - Minimal / poor work history will be defined as: *'A non-seasonal job that lasted less than 3 months, or was fired from or quit more than two jobs'.*

b. Truancy or excessive absence from school as documented by the school.
c. Member of a single-parent household
d. Public assistance recipients
e. Court-involved youth or at-risk youth
f. Test scores below completed grade level
g. Disabled individual aged 14-24 years old
h. Have repeated at least one secondary grade level or are one year over age for their grade
i. Have a core grade point average of less than 1.5
j. Are emancipated youth
k. Have been suspended 3 or more times or have been expelled
l. Are deemed at risk of dropping out of school by a school official
m. Have been referred to or are being treated by an agency for a substance abuse related problem
n. Have experienced recent traumatic events are victims of abuse or reside in an abusive environment as documented by a school official or other qualified professional
o. Have parent(s) who are or have been incarcerated or institutionalized.
p. Underserved and historically marginalized individuals which include, but are not limited to:
   1) Veterans;
   2) individuals with disabilities;
   3) persons of color; women; justice-involved individuals;
   4) immigrants; refugees;
   5) homeless individuals and those at risk of homelessness; low-income individuals;
   6) individuals in or aged-out of Foster Care;
   7) GED candidates and recipients; public assistance recipients; individuals who are basic skills deficient;
   8) UI Profilees; individuals unemployed for an extended period; individuals who have exhausted their UI benefit;
   9) lower-wage workers; child-care-challenged workers;
   10) high-unemployment-area residents; rural residents; individuals residing in a Qualified Census Tract (QSI) or a Disproportionately Impacted Area (DIA); and individuals with other employment barriers.

The Southern 14 Workforce Investment Board, for the purposes of Youth eligibility, will define ***'faces serious barriers to employment'*** as a youth (**out of school youth**) with:

a. Minimal / Poor or No Work History
   - Minimal / poor work history will be defined as: *'A non-seasonal job that lasted less than 3 months, or was fired from or quit more than two jobs'*.

b. Truancy or excessive absence from school as documented by the school.
c. Member of a single-parent household
d. Public assistance recipients
e. Court-involved youth or at-risk youth
f. Disabled individual aged 14-24 years old
g. Test scores below completed grade level
h. Have repeated at least one secondary grade level or are one year over age for their grade
i. Have a core grade point average of less than 1.5
j. Are emancipated youth
k. Have been suspended 3 or more times or have been expelled
l. Are deemed at risk of dropping out of school by a school official
m. Have been referred to or are being treated by an agency for a substance abuse related problem
n. Have experienced recent traumatic events, victims of abuse or reside in an abusive environment as documented by a school official or other qualified professional
o. Have parent(s) who are or have been incarcerated or institutionalized.
p. Underserved and historically marginalized individuals which include, but are not limited to:
   1) Veterans;
   2) individuals with disabilities;
   3) persons of color; women; justice-involved individuals;
   4) immigrants; refugees;
   5) homeless individuals and those at risk of homelessness; low-income individuals;
   6) individuals in or aged-out of Foster Care;
   7) GED candidates and recipients; public assistance recipients; individuals who are basic skills deficient;
   8) UI Profilees; individuals unemployed for an extended period; individuals who have exhausted their UI benefit;
   9) lower-wage workers; child-care-challenged workers;
   10) high-unemployment-area residents; rural residents; individuals residing in a Qualified Census Tract (QSI) or a Disproportionately Impacted Area (DIA); and individuals with other employment barriers.

# ADULT PRIORTY OF SERVICE

Southern 14 Workforce Investment Board, Inc. LWIA #26

Priority of service is the right of a covered individual or priority population to receive precedence over others in accessing employment and training services. Individuals with higher priority receive services earlier than those with lower priority. When resources are limited, individuals with higher priority may receive services instead of those with lower priority.

Priority of service is not an eligibility requirement. All individuals must first meet program eligibility criteria. Priority determines the order in which eligible participants receive individualized career services and training services.

Priority must be determined and documented at the time a decision is made to provide an Adult-funded individualized career service or training service. If staff become aware of new or updated information that affects an individual's priority category before the service decision is made, the priority determination must be updated and documented.

Once a participant has been approved for a service, the participant's priority level may not be lowered during participation, except as allowed under the Veterans and Eligible Spouses Priority section of this policy.

1. Under the Workforce Innovation and Opportunity Act (WIOA), priority for Adult-funded individualized career services and training services must be given to individuals who:
    1. Receive public assistance,
    2. Are low-income, as defined in the Low-Income Individuals section of this policy manual; or
    3. Are basic skills deficient, as outlined in the Basic Skills Deficiency section of this policy manual.
2. This priority requirement does not apply to self-service or information-only activities, or staff-assisted basic career services within the Adult Program, nor does it apply to any services provided under the Dislocated Worker Program.
3. IWDS may flag that an individual appears to meet the Adult priority of service based on responses entered into pre-screening and the application. Staff remain responsible for reviewing, verifying, and documenting the final priority determination.
4. Per Training and Employment Guidance Letter 07-20, the state has determined that giving priority of service to these individuals means ensuring that at least seventy-five (75) percent of a local area's participants receiving individualized career and training services in the Adult program are from at least one (1) of the priority groups.
    1. LWIBs must ensure timely, accurate, and reliable data entry into the appropriate case management system is occurring to document the local area's success in serving priority populations.
    2. If any local area does not meet the minimum seventy-five (75) percent benchmark, the state may initiate a review of the local area's compliance with the statutory requirement to provide priority of services to the priority populations.
5. For services such as classroom training, priority of service applies to the selection process as follows:
    1. If a waiting list exists for an Adult-funded individualized career service or training service, participants must be ranked according to the order of priority in the Order of Priority and Application section of this policy.

2. Priority of service applies to the point at which an eligible individual is approved for and admitted to a service. Once an individual has been approved for funding and accepted or enrolled, a later-identified individual with higher priority may not displace that participant.

3. Once a non-covered individual has been approved for funding and accepted or enrolled in a training class, a later-identified veteran or eligible spouse may not displace ("bump") that individual from the class.

6. Verification of Status

    1. The Final Rule does not change existing program requirements for verifying veteran or eligible spouse status.

    2. Verification is not required at the point of entry unless the individual:
        1. Is being assessed for immediate eligibility determination and enrollment; and
        2. The applicable federal program rules require verification at that time.

    3. When eligibility determination and enrollment occur at the point of entry, a veteran or eligible spouse should be enrolled and provided priority of service immediately. Required verification must be obtained afterward, but no later than enrollment in individualized career or training services.

    4. For programs or services that cannot rely solely on self-attestation (such as classroom training), verification is required only when a decision is made to commit outside resources to one individual over another.
        1. Commitment of staff time alone does not require verification.
        2. For additional eligibility and documentation requirements, refer to the Eligibility section of this policy manual.

7. In all U.S. Department of Labor (USDOL)–funded job training programs, including WIOA programs, veterans and eligible spouses must receive priority of service.

    1. IWDS 2.0 will designate the Dislocated Worker and Youth customers as Priority in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.

8. Since the WIOA **Adult** program is also required by statute to prioritize a specific population—such as the priority for recipients of public assistance, low-income individuals, and individuals who are basic skills deficient—priority must be applied in the following order:

    1. Veterans and eligible spouses who are also recipients of public assistance, low-income individuals, or individuals who are basic skills deficient.
        1. IWDS 2.0 will designate these Adult customers as First in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.

    2. Individuals who are not veterans or eligible spouses but who are recipients of public assistance, low-income individuals, or individuals who are basic skills deficient.

        1. IWDS 2.0 will designate these Adult customers as Second in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.

    3. Veterans and eligible spouses who are not recipients of public assistance, low-income individuals, or individuals who are basic skills deficient.

2. IWDS 2.0 will designate these Adult customers as Third in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.

4. Other individuals who do not meet federal statutory priority categories but who are identified as priority populations by the Governor and/or Local Workforce Innovation Board (LWIB), provided these additional priorities do not conflict with federal or state requirements.

5. All other individuals who meet WIOA Adult program eligibility requirements.

9. Priority of service does not allow a higher-priority participant to displace ("bump") a lower-priority participant who has already been approved to receive services. Priority is applied at the point when a participant is approved to begin individualized career services or training services. Once approved, a participant may continue receiving services through completion, even if higher-priority individuals must wait due to limited funding.

10. If the LWIB maintains a waiting list for individualized career or training services, the waiting list must be managed in accordance with the order of priority outlined above.

~~As described in TEGL 10-09 and 03-15, when programs are statutorily required to provide priority for a particular group of individuals, such as are outlined in WIOA Policies on Eligibility in Chapter 4 - Adult Eligibility, the Local Workforce Investment Board will establish priority of service based on guidelines listed below.~~

~~**Residency** - Adult customers who reside within Alexander, Edwards, Gallatin, Hamilton, Hardin, Johnson, Massac, Pope, Pulaski, Saline, Union, Wabash, Wayne and White counties or Dislocated Workers who have been laid off from facilities located within the local workforce area will be given Residency Priority of Service. This priority will be imposed for the funding of individual career services and training programs. Career services are universally available to all customers and residency is not used for priority of service regarding those services.~~

~~**Low Income** - Participants of the adult program must receive priority for individualized career services and training services funded with WIOA Adult funds;~~

- ~~a) Participant receives or received in the past six months, or is a member of a family that receives or received in the past six months, assistance through the supplemental nutrition assistance program established under the Food Nutrition Act of 2008 or~~
- ~~b) Is in a family with total family income that does not exceed the higher of; 1) poverty line, or 2) Seventy percent of the lower living standards income level or~~
- ~~c) Individual with a disability whose own income does not exceed the 1) poverty line, or 2) Seventy percent of the lower living standards income level, but who is a member of a family whose income does not meet this requirement.~~

~~**Basic Skills Deficient** - Basic skills deficient is defined in WIOA sec 3(5) as:~~

- ~~a) An individual who has English reading, writing, or computing skills at or below the 8th grade level, or~~

~~b) An individual who is unable to communicate or solve problems, read, write, or speak English at a level necessary to function on the job, or~~
~~c) An individual who lacks a secondary education diploma.~~

~~**Veterans** WIOA requires priority of service be given to Veterans and eligible spouses as defined under separate local policy.~~

~~Priority of service policy will be review periodically and updated as necessary.~~

# VETERAN'S PRIORITY OF SERVICE

Southern 14 Workforce Investment Board, Inc. LWIA #26

Priority of service is the right of a covered individual or priority population to receive precedence over others in accessing employment and training services. Individuals with higher priority receive services earlier than those with lower priority. When resources are limited, individuals with higher priority may receive services instead of those with lower priority.

Priority of service is not an eligibility requirement. All individuals must first meet program eligibility criteria. Priority determines the order in which eligible participants receive individualized career services and training services.

Priority must be determined and documented at the time a decision is made to provide an Adult-funded individualized career service or training service. If staff become aware of new or updated information that affects an individual's priority category before the service decision is made, the priority determination must be updated and documented.

Once a participant has been approved for a service, the participant's priority level may not be lowered during participation, except as allowed under the Veterans and Eligible Spouses Priority section of this policy.

1. Veterans and eligible spouses must receive priority of service in all WIOA Title I programs.
2. For purposes of priority of service, the definition of "veteran" is based on Title 38 of the United States Code (Veterans' Benefits). A veteran is an individual who served at least one day in the active military, naval, or air service and was discharged or released under conditions other than dishonorable.
3. Active military service includes full-time federal service in the National Guard or a reserve component. It does not include:
    1. Full-time duty performed only for training purposes (such as "weekend" or "annual" training), or
    2. Full-time active duty performed by National Guard personnel under state authority (such as during state-declared emergencies or natural disasters).
4. Eligible spouse means the spouse of:
    1. A veteran who died of a service-connected disability;
    2. An active-duty service member who, at the time of the priority determination, is missing in action, captured in the line of duty by a hostile force, or forcibly detained or interned by a foreign government or power for at least ninety (90) days;
    3. A veteran who has been determined by the U.S. Department of Veterans Affairs as having a total service-connected disability; or
    4. A veteran who died while a total service-connected disability was in place.
5. A spouse may lose priority of service if the veteran or service member no longer meets the condition that established eligibility (for example, if a disability rating is reduced or the couple divorces). However, a widowed spouse who remarries does not lose eligibility for priority of service.
6. Acceptable documentation to verify veteran or eligible spouse status is listed in the WIOA Title IB Eligibility Source Documentation Requirements attachment.
7. Local Workforce Innovation Boards (LWIBs) must ensure that veterans and eligible spouses are informed of:
    1. Their right to priority of service,

2. The full range of available workforce programs and services, and
3. Any eligibility requirements for those programs and services.

8. The *Priority of Service for Veterans and Eligible Spouses* poster attachment must be prominently displayed in Illinois workNet Centers and clearly visible to customers upon entry. This ensures that veterans and eligible spouses are aware of their priority. Veterans and eligible spouses must still meet all eligibility requirements for any program or service they seek.
9. A veteran or eligible spouse must meet all statutory eligibility criteria before they can be considered for:
    1. Enrollment in a program;
    2. Priority for enrollment; and
    3. Priority for receipt of services.
10. In all U.S. Department of Labor (USDOL)–funded job training programs, including WIOA programs, veterans and eligible spouses must receive priority of service.

    1. IWDS 2.0 will designate the Dislocated Worker and Youth customers as Priority in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.

11. Since the WIOA **Adult** program is also required by statute to prioritize a specific population—such as the priority for recipients of public assistance, low-income individuals, and individuals who are basic skills deficient—priority must be applied in the following order:
    1. Veterans and eligible spouses who are also recipients of public assistance, low-income individuals, or individuals who are basic skills deficient.
        1. IWDS 2.0 will designate these Adult customers as First in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.
    2. Individuals who are not veterans or eligible spouses but who are recipients of public assistance, low-income individuals, or individuals who are basic skills deficient.
        1. IWDS 2.0 will designate these Adult customers as Second in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.
    3. Veterans and eligible spouses who are not recipients of public assistance, low-income individuals, or individuals who are basic skills deficient.
        1. IWDS 2.0 will designate these Adult customers as Third in the Priority of Service column of the Eligible Programs and Criteria section of the Eligibility Certification page under Intake.
    4. Other individuals who do not meet federal statutory priority categories but who are identified as priority populations by the Governor and/or Local Workforce Innovation Board (LWIB), provided these additional priorities do not conflict with federal or state requirements.
    5. All other individuals who meet WIOA Adult program eligibility requirements.
12. Priority of service does not allow a higher-priority participant to displace (“bump”) a lower-priority participant who has already been approved to receive services. Priority is applied at the point when a participant is approved to begin individualized career services or training services. Once approved, a participant may continue receiving services through completion, even if higher-priority individuals must wait due to limited funding.

If the LWIB maintains a waiting list for individualized career or training services, the waiting list must be managed in accordance with the order of priority outlined above.

~~Local Workforce Area #26 and it's service providers shall use the most current Department of Commerce WIOA Policy concerning Veteran's Priority of Service and will give priority of service to covered persons under the Job for Veterans Act to applicants in the WIOA Title I Adult, Youth and Dislocated Worker programs, statewide activity programs, National Emergency Grants and the Trade Adjustment Assistance program.~~

~~A. Under the Workforce Innovation and Opportunity Act (WIOA), priority requirements under the Adult and Dislocated Worker programs are given to individuals with connections to the military.~~

~~1. Veterans and eligible spouses continue to receive priority of service for all USDOL-funded job training programs, which include WIOA programs.~~

~~2. As described in TEGL 10-09 and 03-15, when programs are statutorily required to provide priority for a particular group of individuals, such as are outlined in WIOA Policies on Eligibility in Chapter 4 - Adult Eligibility, priority must be provided in the following order:~~

~~a. First, to veterans and eligible spouses who are also included in the groups given statutory priority for WIOA Adult Formula funds.~~

~~1) This means that veterans and eligible spouses who are also recipients of public assistance, other low-income individuals, or individuals who are basic skills deficient would receive first priority for services provided with WIOA adult formula funds.~~
~~a. Second, to non-covered persons (that is, individuals who are not veterans or eligible spouses) who are included in the groups given priority for WIOA adult formula funds.~~
~~b. Third, to veterans and eligible spouses who are not included in WIOA's priority groups.~~
~~c. Last, to non-covered persons outside the groups given priority under WIOA.~~

~~3. A veteran who is eligible or spouse of an eligible veteran who is entitled to receive priority of service is a person who has served at least one day in the active military, naval, or air service, and who was discharged or released from service under any condition other than a condition classified as dishonorable is a covered person.~~

~~a. This definition includes Reserve units and National Guard units activated for Federal Service.~~

~~b. Please reference TEGL 15-10 and 10-09 for further discussion on who is a covered person under these provisions and how to determine the status of veterans and their eligible spouses.~~

~~4. Local areas must establish written policies and procedures to ensure priority for the~~

~~populations described above for participants served in the WIOA Adult program, for eligibility determinations beginning on or after July 1, 2015.~~

~~B. Exiting service members and their spouses may be treated as dislocated workers under the following guidance.~~

~~1. Under TEGL 22-04, service members exiting the military, including, but not limited to, recipients of Unemployment Compensation for Ex-Military members (UCX), generally qualify as dislocated workers.~~

~~a. Dislocated Worker funds under Title I can help separating service members to enter or reenter the civilian labor force. Generally a separating service member needs a notice of separation, either a DD-214 from the Department of Defense, or other appropriate documentation that shows a separation or imminent separation from the Armed Forces qualifies as the notice of termination or layoff, to meet the required dislocated worker definition.~~

~~b. Additionally, in most instances an individual will have to be eligible for or exhausted entitlement to unemployment compensation in order to receive dislocated worker services.~~

~~c. In the case of separating service members, because they may be on a terminal leave from the military, it may make sense to begin providing career services while the service member may still be part of the Active Duty military, but has an imminent separation date.~~

~~d. It is appropriate to provide career services to separating service members who will be imminently separating from the military, provided that their discharge will be anything other than dishonorable.~~

~~e. Lastly, the Employment and Training Administration (ETA) policy generally dictates that a separating service member meets the dislocated worker requirement that an individual is unlikely to return to his or her previous industry or occupation.~~

~~2. Regarding military spouses, WIOA expands the definition of dislocated workers to include military spouses who have lost employment as a direct result of a relocation to accommodate a permanent change in duty station of the spouse.~~

~~a. Military spouses may also qualify if they are a dependent spouse of a member of the Armed Forces on active duty whose family income is significantly reduced, as determined by the State or local area, because of a deployment, a call or order to active duty, a permanent change of station, or the service connected death or disability of the service member.~~

~~b. Military spouses also can qualify if they are unemployed or underemployed and are experiencing difficulty in obtaining or upgrading employment (see WIOA sections 3(15)(E) and 3(16)(A) and (B)).~~

Southern 14 LWIB and its sub-grantees will identify veterans and eligible spouses who physically access service delivery points by displaying the most current Veteran's Priority poster at its Illinois workNet Center and afilliate sites; By assuring the application process contains questions regarding such veteran eligibility; informing veterans and eligible spouses of their entitlement to priority of service; the application process of priority of service since it varies by program; and link to Veteran's Priority of Service Resources through the front page of its websites.

Southern 14 will closely review the nature and share of workforce system services to veterans in LWIA #26 through ~~monthly~~ quarterly reporting to the Local Board by the Service Providers.

Service Providers and staff of those Service Providers must collect the required data elements for covered persons when enrolling persons into the WIOA Title I (Adult, Dislocated Worker or Youth programs), statewide activity programs, National Emergency Grants (NEG) and Trade Adjustment Assistance programs.

# WORK EXPERIENCE

Southern 14 Workforce Investment Board, Inc., LWIA #26

The Southern 14 Workforce Investment Board, shall use the following criteria for the purposes of determining the allowability of a public or private, company, agency or organization to act as a worksite for youth, adult or dislocated woker employment:

Not all educational experiences available to WIOA participants are classified as training services or occur under conditions similar to those outlined in the Training Options (Policy 16, Section B.). Work Experience can be used by the customer to successfully complete their training goals.

Work Experience for Adult and Dislocated Worker is defined as a planned, structured learning experience that takes place in a workplace for a limited period of time. Work experience may be paid or unpaid, as appropriate. A work experience workplace may be in the private for profit sector, nonprofit 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, exists.

For Youth paid work experiences have academic and occupational education as a component of the work experience, which may include the following types of work experiences:

- Summer employment opportunities and other employment opportunities available throughout the school year;
- Pre-apprenticeship programs—a program or set of strategies designed to prepare individuals to enter and succeed in a registered apprenticeship program and has a documented partnership with at least one, if not more, registered apprenticeship programs;
- Internships and job shadowing; Work Experience and Supported Work Policies.

For all participants; work experience is a planned, structured learning experience that occurs in a workplace for a limited period of time and may be paid or unpaid. Work Experience differs from On the Job Training and Incumbent Worker Training in that no hiring occurs either prior to or after the learning experience.

Work experience may be combined with classroom instruction relating to a particular position, occupation, industry or basic skills and abilities necessary to successfully compete in the local labor market.

A. Elements of Work Experience Program:

1) Instruction in employability skills and or generic workplace skills;
2) Exposure to various ·aspects of an industry;
3) Progressively more complex task;
4) Internships and job shadowing;
5) The integration of basic academic skills into work activities;
6) Supported work, work adjustment, and other transition activities;

7) Other elements designed to achieve the goals of work experiences.

B. Requirements for Work Experience

1) Objective Assessment: Only registrants determined to be in need of work experience through objective assessment and as documented in the customer's Universal Career Plan may participate in a work experience activity. When determining individual's needs, the objective assessment must consider the individual's prior education, work history, and barriers to employment. A candidate for work experience is a registrant who is appropriate for long-term employment in a particular industry or occupation, but does not have all of the skills or the experience to qualify for entry-level employment in the field.

2) Duration: The duration of the work experience must be limited to the number of hours appropriate for career exploration of the target occupation and/or the time needed to develop good work habits and accomplish the goals established in the Universal Career Plan. Duration may vary depending on the complexity of job tasks and the individual needs of the registrant, but should not exceed the financial limits established by the local area for work-based training. Training dollars are capped at $15,600 per employee. Special exception to this guideline must be approved in writing by Southern 14 Workforce Investment Board, Inc. The training program should generally not exceed at total of 1,040 full-time hours of actual training (the equivalent of full-time training for six (6) months). Special exceptions to this policy must be approved in writing by Southern 14 Workforce Investment Board, Inc. Exemptions may be reviewed and approved by the Executive Director. Please submit the LWIA Request for Work Experience Increase that can be found in our Local Policy 22 Forms to the Southern 14 Executive Director.

3) Documentation: Work Experience documentation must be maintained in the customer's IWDS 2.0 file and made available upon request. At a minimum, the file must contain the following:

a. Work Experience and OJT Pre-Award Survey. This is a pre-evaluation tool used to determine the appropriateness of utilizing the worksite for work experiences. This task should be completed by the WIOA Program Manager/Service Provider. If participant is under 18 and there is no background check completed for the worksite's supervisor, then a sex offender search is completed.

b. Work Experience Contract

1) The contract must include, at a minimum: the worksite information, work experience requirements, employer responsibility and assurances, and other terms and conditions of work experience, such as consequences of not adhering to the agreement and a termination clause.

2) The worksite or host site entity and the Service Provider must sign and be given a copy of the contract. The contract must be available for audit and monitoring purposes

c. Supervisor Orientation

    a. Worksite Supervisor Handbook is provided to the Worksite Supervisor during orientation.

d. Participant Orientation

e. Work Experience (WEX) Outline/Plan with Job Description Attached

    a. The outline must include, at a minimum: the type of work experience, the location where the training will take place, the duration (beginning and end dates), compensation, skills, supplies needed for the work experience, and supervision.
        i. An individualized WEX skills analysis must be conducted to determine the acquisition of skills that the customer does not already possess.
        ii. This analysis will contain occupationally specific skills that the employer requires for competency in the WEX occupation.
        iii. An analysis of the trainee's prior work history, transferable work skills, and the job skills gained must be compared to the job skills/job description the employer requires in the WEX occupation. The resulting skills gap will serve as the basis for developing the WEX.
        iv. Skill gaps should be addressed by providing the appropriate services and are documented in Section 3 of the WEX Outline/Plan appropriately. These services can be provided outside the WEX if the Employer does not provide such training. Services should then be provided to the trainees by cross referencing the skill gaps with the Service Matrix Explorer in IWDS 2.0.
            1. Example # 1 of Documented Skills Gap in Section 3: Ex: Enhancing the employability of individuals who already have occupational skills, such as computer skills, in demand but lack up-to-date skills required in most workplaces hiring for the occupation.

               Adult

                a. Goal=Employment/Start a new career [Career Cluster] by using my strengths and learning new skills in an industry I haven't worked in before.
                b. Step=Take part in short-term services that help improve and upgrade your current skills.
                c. Service=Short Term Prevocational Services
                    i. Ie: Ed to Go Microsoft Excel Certification Training at IECC

            2. Example #2 of Documented Skills Gap in Section 3: Skills and/or abilities that enable someone to relate to others and adapt to a workplace environment and are necessary to being successful in the workplace. Soft skills are non-technical, intangible, and personality-specific skills. Soft skills may include work habits

(such as punctuality, appropriate attitude and behavior, cooperation, the ability to take constructive criticism), integrity, interpersonal skills, problem-solving, multitasking, making good and informed decisions, communicating with others, positive job attitude or managing oneself in the workplace, showing initiative and reliability, etc.

a. Goal=Employment/Start a new career [Career Cluster] by using my strengths and learning new skills in an industry I haven't worked in before.
b. Step=Grow your skills so you can find a job, keep it, and move up in your career by learning how to work well, solve problems, and stay professional.
c. Service: Workforce Preparation Skills
    i. Ie: Talking with your customer regarding their results of Employment 101 in Illinois WorkNet

b. The employer of record, the customer, the LWIA/Contractor, and the work experience provider, if different than the employer, must all sign and be given a copy of the outline. The outline must be available for audit and monitoring purposes.

f. Universal Career Plan

g. Work Experience (WEX) Progress Report (REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE)

a. The progress report must include, at a minimum: an evaluation of the customer, including the progress made towards obtaining the skills in the outline and the hours worked.

b. The work site supervisor, the customer, the LWIA/Contractor, and the work experience provider, if different than the employer, must all sign and be given a copy of the outline. The progress report must be available for audit and monitoring purposes.

h. On The Job (OJT)/Work Experience (WEX) Local Monitoring Report

a. Initial Report is completed within 30 days of the start of the WEX

b. All other Reports are completed every 30 days (or less) for the duration of the contract.

i. LWIA Request for Work Experience Increase

a. As needed

j. Participant Time Sheets

a. The Time Sheets must include a running total each pay period showing total hours worked and the total amount paid.

k. Final Cost Report

a. This will show the total hours worked and total amount paid and should come from the Service Provider Accounting Package.

5) Monitoring: Service Providers, Career Planners, and the LWIB are required to perform monitoring of worksites to ensure compliance with project goals and adherence to WIOA law, policies and procedures.

a. Service Provider Monitoring (WIOA Program Manager/Service Provider) should be completed first and is called the Work Experience and OJT Pre-Award Survey. This is a pre-evaluation tool used to determine the appropriateness of utilizing the worksite for work experiences. This task should be completed by the WIOA Program Manager/Service Provider before the start of the contract.
b. Career Planner Monitoring should be completed every 30 days (or less) for the duration of the contract with the first Monitoring Report to be completed within 30 days of the start date of the contract. This tool is called the On The Job (OJT)/Work Experience (WEX) Local Monitoring Report.
c. LWIB Monitoring should be completed 1 time after the end of the contract. This tool is called LWIB WEX File Monitoring.

6) Employment Relationship: If the worksite/job site/ host site is relying on the registrant to perform substantive work, i.e., to be productive, then the situation should be recognized as an employer-employee relationship

In accordance to the Illinois Paid Leave for All Works Act, effective January 1, 2024 – each individual participating in an employment relationship at a worksite/job site for more than ninety days will earn paid time off (PTO) at the established rate mandated by the Act of one hour for every forty hours worked. The individual shall be allowed to use this time for any purpose and will not be required to disclose the reason. PTO is accrued from first the day of work, but may not be used until after ninety days at the worksite/job site. While no advance notice is required to utilize this leave, the individual is responsible to advise their supervisor prior to the start of their scheduled shift and appropriately reflect the leave on their time sheet. In the event that PTO is not used by the end of the calendar year, individuals may carry unused time forward. Upon termination of employment individuals will be paid for the unused PTO at their regular rate of pay for PTO earned up to the last day worked.

Individuals participating for less than ninety days will not be entitled to PTO.

The requirements of the Fair Labor Standards Act (FLSA) apply whenever an employer/employee relationship exists. WIOA registrants are subject to the requirements of the FLSA to the extent that the activities performed during the work experience constitute employment.

According to the Wage and Hour Division of the U.S. Department of Labor, Employment Standards Administration, if all of the following six elements exist, the work experience can be considered a training situation. The WIOA registrant is not an employee of the employer site if:

a. The training, even though it includes actual operation of the facilities of the employer, is essentially a training experience similar to a vocational school;
b. The registrant is primarily the beneficiary of the experience;
c. Regular employees are not displaced and the experience is closely supervised/observed;
d. The "employer" that hosts the experience derives no immediate or significant advantage (and may experience an actual downside);
e. The registrant is not necessarily entitled to a job at the conclusion of the experience;
f. There is a mutual understanding between the registrant and the host agency that the registrant is not entitled to wages for this time because the activity is essentially a training experience.

If any of the above six (6) conditions are not met, the WIOA registrant must be considered an employee. Only if the registrant can be considered a trainee and not an employee, may the work experience be unpaid. For more information about the FLSA see www.opm.gov/flsa

7) Employer of Record: If the worksite is relying on the registrant to perform substantive work, i.e., to be productive, then the situation should be recognized as an employer-employee relationship. In this situation, the business, not the agency, is the "employer of record". Registrants must receive no less than the applicable state or federal minimum wage (see section 11 Compensation for further guidance on local minimum wage ordinances). The employer of record is responsible for paying all taxes and providing similar benefits as are available to other employees. For information about federal and Illinois minimum wages law see. www.dol.gov /dol/topic/wages/minimumwage.htm and WWW.state.il.us/agency/idol/fag/gamwot.htm

   In other circumstances (i.e., if the worksite/job site/ host site does not rely on the registrant to perform substantive work, but all six conditions are not met) the WIOA delegate agency has the option of being the employer of record for the WIOA registrant. The delegate agency as employer of record is responsible for paying the registrant and negotiating with the worksite/job site/ host site regarding the activities that will be performed by the registrant. The work experience may occur at the service provider or employer location or the registrant may be referred to a worksite/job site/ host site to receive the work experience. The worksite/job site/ host site is the location where work experience task will occur.

8) Payments and Tax Treatments: All paid work experience is subject to state and federal tax withholdings. Employers must identify the taxes applicable to each type of payment, and must also determine the necessity and/or arrangements for withholding and payment of income, employment, FICA, Medicare, and Unemployment Insurance taxes applicable to the type(s) of payments to be made to registrants (i.e., wages, stipends, allowances, needs-related payments, or incentives).

9) Child Labor Laws: If the project proposes to serve youth, the design must include assurances of compliance with applicable State and Federal Child Labor laws and a discussion of any specific provisions of those laws directly bearing on the project (e.g., hours of work or hazardous occupations). These laws include the Fair Labor Standards Act (FLSA), and 820 ILCS 205/, Illinois' Child Labor Law (also see the related State implementing regulations at 56 ILL. Adm. Code 250). The FLSA and the Illinois Labor Law (and Rule) may be accessed at:

FLSA: www.opm.gov/flsa
820 ILCS 205/: www.satc.il.us/agency/idol/laws/Law105.htm
For information and resources on safety and child labor laws, consult
http://www.state.il.us/Agency/IDOL/Facts/MW.HTM
http://www.statc.il.us/agency/idol/forms/pdfs/FLSCLL03.pdf and
http://www.osha.gov/teens

10) Worksite/Job site/ Host site Prohibition: The employment of participants in work experience programs must not occur at worksite/job site/ host site where:

a. A participant's employment would unfavorably impact current employees (a participant would displace all or a portion of a current employee's hours including overtime, wages, employment benefits, or promotional opportunities);
b. A participant's employment would impair existing contracts for services or collective bargaining agreements;
c. A participant's employment would replace the work of discharged employees who were subject to layoff;
d. An employer has terminated a regular employee or otherwise reduced its workforce with the intention of replacing them with participants subsidized with these funds~~; or~~.

11) Compensation: Participants in a paid work experience must be provided a reasonable wage or stipend (whichever applies) consistent with that paid for similar work according to 2 CFR 200.430(b) in the Uniform Guidance.

12) Health and Safety Standards: Health and safety standards otherwise applicable to working conditions of employees are equally applicable to working conditions of registrants in programs and activities under Title I WIOA. The Illinois worker's compensation law may or may not apply to a participant in work experience depending on the work experience arrangements and employer's benefits. If the worker's compensation law does not apply to a participant in work experience, insurance coverage must be secured for injuries suffered by registrants participating in work experience. The work experience must provide for compliance with health and safety standards established under Federal and state law.

# Service Provider WEX Procedure and File Checklist

- LWIB should be contacted by emailing boffice@so14lwib.com on or before the start of the Work Experience and provided with the First Name, Last Name, Customer Phone Number, Last 4 of Social, Worksite Name, Start and End Date, and Supervisor Name and Contact Information. Failure to comply will result in a monitoring finding.
- The Work Experience Participant should have the following UPLOADED in IWDS 2.0 in addition to all other WIOA file requirements:

| **Uploaded: Y/N/NA** | **DOCUMENT LIST FOR (Customer Name)_____** |
|---|---|
| | • ***Work Experience and OJT Pre-Award Survey***<br>o Completed by Service Provider BEFORE any other documents can be completed<br>o If participant is under 18 and there is no background check completed for the worksite's supervisor then a sex offender search is attached to the survey uploads |
| | • ***Work Experience Contract*** with modifications as needed |
| | • ***Supervisor Orientation***<br>o Don't forget to give the Supervisor the Worksite Supervisor Handbook |
| | • ***Participant Orientation*** |
| | • ***Work Experience (WEX) Outline/Plan*** with modifications as needed<br>o Job Description should be attached to the WEX Outline/Plan<br>▪ Job Description can be written with the Employer (see page 3 of WEX Outline/Plan for more information on how to do this)<br>o Career Planner should establish "SPECIFIC SKILLS FOR THE TRAINEE TO LEARN" on the WEX Outline/Plan Section 3. These will have estimated hours to learn skill, start and completion date and an assessment method |
| | • ***Universal Career Plan*** signed in IWDS 2.0 with modifications as needed<br>o Skill Gaps are addressed and services added as appropriate as outlined in Policy 22 Section 3.e.a.iv and given in example 1 and 2. |

| | |
|---|---|
| | • ***Work Experience (WEX) Progress Report (REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE)***<br>  o Section 1 and 3 MUST BE completed by Career Planner<br>  o Section 2 MUST BE completed by the Worksite Supervisor<br>  o Should have at a minimum two WEX Progress Reports<br>  ▪ These should have ESTABLISHED REPORTING PERIODS with dates listed on page 1 of WEX Progress Report next to "Report for the Period Ending". We suggest picking 2 pay periods during the duration of the contract and utilizing those.<br>  ▪ Note those dates are the REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE that is needed as part of the file naming for the file upload process that can bee seen below in the HOW TO section below.<br>  o Section 3 of the WEX Progress Report will evaluate those "SPECIFIC SKILLS FOR THE TRAINEE TO LEARN" in Section 3 of the WEX Outline/Plan (please review those and transfer those exact skills to the WEX Progress Report). Again, this section MUST BE completed by the Career Planner |
| | • ***On The Job (OJT)/Work Experience (WEX) Local Monitoring Report***<br>  o Completed by Career Planner/Service Provider once per month for the duration of the contract.<br>  ▪ Can be done for your 30 day contacts<br>  o Initial On The Job (OJT)/Work Experience (WEX) Local Monitoring Report MUST BE completed within 30 days of the Start Date of the Work Experience. Monitoring findings will be issued if this is not completed within the time frame.<br>  ▪ Ex: Start 1/1 must be completed before 1/30 |
| | • ***LWIA Request for Work Experience Increase***<br>  o Only if needed |
| | • ***Participant Time Sheets***<br>  o A Running Total Each Pay Period Showing total hours worked and amount paid should be attached to each Participant Time Sheet. This is to assist Service Providers with staying within established policy of no more than 1040 total hours over 6 months and no more than $15,600 spent per employee unless LWIA Request for Work Experience Increase has been approved and on file. Fiscal may have a report for this, or you can simply keep a running total. Monitoring findings will be issued if this is not included with the Participant Time Sheet uploads. |
| | • ***Final Cost Report*** from fiscal showing total hours worked and amount paid |

HOW TO UPLOAD:

1. In the Customer Profile select Access Case Management Tools
2. In the Quick Links Side Bar select Plan
3. Navigate to the WBL Service Line (regular allocated funding) or Training Paid by Non WIOA (state funding)
4. Select the Eyeball (Action Item) to the right of the WBL Service Line (regular allocated funding) or Training Paid by Non WIOA (state funding)
5. Scroll down and select the blue Add File button in the Service Files section
6. Select the blue Select File button
7. Navigate to the desired file to upload and select Open
8. In the Alternate File Name Box type the ***BOLD/ITALIC/UNDERLINED*** to match the document name listed above next to each bullet point for the desired file
    a. NOTE: take care to verify that the ***BOLD/ITALIC/UNDERLINED*** document name matches the list above. Failure to have the correct name will result in monitoring finding.
9. In the Document Type drop down select Other
10. If you have any notes such as updates or changes to the document, you can add this in the Notes section
11. Do #5-10 for EACH document listed above that is ***BOLD/ITALIC/UNDERLINED***

# Work Experience and OJT Pre-Award Checklist

| ☐ WEX | ☐ OJT |
|---|---|

## Section 1: Employer Information

*Complete the following Employer information.*

| | | |
|---|---|---|
| EMPLOYER LEGAL BUSINESS NAME: | FEIN #: | UBI #: |
| FORMER NAME(S) UNDER WHICH EMPLOYER CONDUCTED BUSINESS: | | |
| CONTACT PERSON: | TITLE: | |
| EMPLOYER ADDRESS: | | |
| CITY: | STATE: | ZIP: |
| TELEPHONE: | EMAIL: | FAX: |
| TYPE OF ORGANIZATION:<br>INDIVIDUAL ☐ PARTNERSHIP ☐ LIMITED LIABILITY CORPORATION ☐ FOR PROFIT ☐ | | |
| COMPANY NAICS CODE: | # OF CURRENT EMPLOYEES: | YEARS IN EXISTENCE: |
| IS THE BUSINESS BEING SOLD OR MERGING WITH ANOTHER COMPANY? YES ☐ NO ☐ | | |

## Section 2: Company Review

1) WARN notices have previously been filed or recent layoffs have occurred. Yes ☐ No ☐ N/A ☐

2) (OJT ONLY if WEX select N/A) The company has not exhibited a pattern of failing to provide OJT Trainees with continued long-term employment. Yes ☐ No ☐ N/A ☐

## Section 3: Meeting Federal Criteria

*Please check the appropriate response for the following Employer information.*

3) Company verifies WIOA funds will **not** be used to relocate operations in whole or in part. Yes ☐ No ☐

4) Company has operated at current location for at least 120 days. Yes ☐ No ☐

   a. If less than 120 days and the business was relocated from another area in the U.S and individual(s), were employees laid off at the previous location as a result of the relocation? Yes ☐ No ☐

5) (OJT ONLY if WEX select N/A) Company commits to providing long-term employment for successful OJT Trainees. Yes ☐ No ☐ N/A ☐

6) WIOA funds will **not** be used to directly or indirectly assist, promote or deter union organizing. Agree ☐ Disagree ☐

7) The Work Experience or OJT will **not** result in the full or partial displacement of employed workers. Yes ☐ No ☐

8) Trainee wages to be paid are at least equal to:
   a) The Federal, state or local minimum wage (Fair Labor Standards Act). Yes ☐ No ☐
   b) Other employees in the same occupation with similar experience. Yes ☐ No ☐

9) The employer will comply with the non-discrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act and its regulations. Yes ☐ No ☐

## Section 4: Youth Participants ONLY (Answer for Age 16-24, N/A for 25+)

***DOB_____ AGE_____***

10) Does this employer have:
   a) age appropriateness and level of exposure to work readiness and job skills suitable for Youth customers? Yes ☐ No ☐
   b) an appropriate level of supervision available for Youth customers? Yes ☐ No ☐

## Section 5: Youth Participants ONLY (Answer for Age <18, N/A for 18+)

DOB_____AGE_____

11. Is there a background check on file at the worksite for the supervisor? Yes ☐ No ☐
12. If the answer to 11 is No **AND** the customer is under the age of 18 please run a sex offender search at https://nsopw.gov and attach to the Pre-Award Survey

## Section 6: Signatures

### *Authorized Signatures*

I hereby certify that the above information is, to the best of my knowledge, true and correct.

EMPLOYER SIGNATURE:_____ DATE: _____

TYPE/PRINT NAME: _____ TITLE: _____

**The outcome of this pre-award interview:**

Employer meets all requirements of the WEX/OJT pre-award. YES ☐ NO ☐

SERVICE PROVIDER SIGNATURE:_____ DATE: _____

TYPE/PRINT NAME: _____ TITLE: _____

# SUPERVISOR ORIENTATION

I have received an orientation of the WIOA Work Experience program and have been informed of the following provisions:

1. Worksite Supervisor Handbook (Note: Can be found in WIOA ePolicies)
2. Worksite Agreement
3. Child Labor Laws
4. Payroll Information
5. Accidents
6. Supervision of Participants
7. Work Environment
8. Service Provider Organization & Contact Person
9. Participant Selection Process
10. Grievance Procedures
11. Monitoring

PROGRAM TITLE _____

WORKSITE :_____COUNTY:_____

PARTICIPANT NAME:_____

_____ _____

Signature of Worksite Supervisor Signature of Career Planner

_____ _____

Date Date

Work Experience Program

# WORKSITE SUPERVISOR HANDBOOK





Illinois Department of Commerce & Economic Opportunity

ILLINOIS workNet CENTER
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# TABLE OF CONTENTS


| | |
|---|---|
| **WELCOME LETTER** | 3 |
| **INTRODUCTION** | 4 |
| **PROGRAM PURPOSE** | 4 |
| **WORKSITE APPROPRIATENESS FOR WORK EXPERIENCE** | 5 |
| **WORK EXPERIENCE CONTRACT** | 6 |
| **WORK EXPERIENCE OUTLINE/PLAN** | 6 |
| **EQUAL EMPLOYMENT AND FEDERAL STATUES** | 6 |
| **RESPONSIBILITIES OF THE WORK EXPERIENCE TEAM** | 7 |
| **CHILD LABOR LAWS** | 9 |
| **PAYROLL PROCEDURE** | 9 |
| **WORK EXPERIENCE PROGRESS REPORT AND INVOICE** | 10 |
| **RECORD KEEPING** | 10 |
| **WORKSITE AND WORK EXPERIENCE MONITORING** | 11 |
| **GENERAL SAFETY RULES** | 11 |
| **WORKSITE PROHIBITED ITEMS** | 12 |
| **DISCIPLINE PROBLEMS ACTION PROCEDURES** | 12 |
| **WORK EXPERIENCE TERMINATION POLICIES** | 13 |
| **GRIEVANCE/COMPLAINT PROCEDURES** | 13 |
| **EFFECTIVE SUPERVISING** | 13 |
| **MAKING LEARNING RICH** | 14 |

Dear Worksite Supervisor:

We are excited to partner with you to provide a meaningful work experience for the trainee(s) who participate in the program.

Work experience provides work-based training under the Workforce Innovation and Opportunity Act (WIOA). The goal of the work experience is to encourage WIOA Trainees to remain in school, develop career goals, and secure employment. Through this activity, Trainees will have the opportunity to develop the skills necessary to meet their present and future employment needs.

As a Worksite Supervisor, you are in an exceptional position to provide guidance and training for WIOA Trainees in the community. Therefore, we hope this will be a meaningful experience for you as well. Your participation will enable them to develop positive work habits and attitudes toward work while enhancing their job-readiness and transferable skills.

This handbook was prepared as a general guide to help you understand the working relationships among all parties involved (Worksite, Worksite Supervisor, Trainee, and LWIA/Contractor). It also provides general information on the processes and forms used in the program's operation. Also enclosed is valuable information to answer many of your questions.

Thank you for opening your company to provide work experience, opportunities, and guidance to these trainee members of the community.

We appreciate your engagement!

# INTRODUCTION

We are especially pleased to welcome back those of you who served as a Worksite Supervisor in previous years and to meet and greet those of you who are working with us for the first time. We appreciate your willingness to participate and give the Workforce Innovation and Opportunity Act (WIOA) Trainees an opportunity to gain valuable work experience.

The worksite must provide supervision and training to the Trainee as outlined in this handbook. For WIOA Youth Trainees, Worksite Supervisors are encouraged to identify a Worksite Mentor for the Trainee to meet with on a structured basis to address questions or concerns. The Worksite Mentor should be comfortable offering guidance, support, and encouragement to help develop the Trainee's competence and character. Ideally, this relationship will develop into adult mentoring lasting one year or longer. Labor standards apply to any work experience involving an employee-employer relationship, as defined by the Fair Labor Standards Act, the Occupational Safety and Health Act, and applicable State law, including, but not limited to, the Illinois Paid Leave of All Workers Act.

Worksite Supervisors assist Trainees in meeting their professional goals by establishing a positive work environment indicative of learning. Supervisors are in a unique position to provide the Trainee with opportunities for continued growth and development through hands-on training that can lead to future success. The Trainees will learn many valuable skills on how to become dependable and productive employees.

This handbook addresses work experience policies and procedures, and expectations for Worksite Supervisors. Additionally, it contains some valuable tips on supervision.

For the purposes of this handbook, WIOA work experience Trainees will be referred to as the **"Trainee"**.

# PROGRAM PURPOSE

## Work Experience Design

Work experience is designed to provide Trainees with an opportunity to be exposed to the world of work, engage in career exploration, improve future employability, emphasize the importance of education, participate in life skills training, and provide hands-on work experience.

The Trainee will benefit from the experience as they:

1. Gain exposure to Paid and Unpaid work experience opportunities;
2. Gain meaningful work experience;
3. Learn and develop the skills, attitudes, and commitment necessary to succeed in the world of work;
4. Gain exposure to various career pathways; and
5. Interact with working professionals in a positive work environment.

## Goals and Objectives of Work Experience

1. The Worksite Supervisor will provide a suitable Worksite for the Trainee to gain valuable work readiness skills to improve their occupational potential.

    a. Work experience is a structured and well-supervised "work-based" training. Trainees gain employability skills, such as working and completing assignments as directed, showing up for work regularly and on time, maintaining a positive attitude, working as a member of a team, demonstrating sound reasoning abilities, and exercising independent judgment.

b. Work experience reinforces the direct connection between the skills acquired in the classroom and in the world of work. Thus, motivating the Trainee to stay in school and continue toward post-secondary education.

c. Work experience encourages the Trainee to explore various occupations and to identify career pathways based on their individual abilities, interests, and aptitudes.

d. Work experience enables the Trainee to develop and maintain good employee/Supervisor relationships.

e. Work experience is not to be considered as regular employment by your company in the same way as other employees are viewed. Rather, it is a chance for the Trainee to "experience" the world of work and gain useful insights into the requirements employers have for regular employees.

f. Work experience should be a valuable learning tool for the Trainee.

2. The Worksite Supervisor is an integral link in helping the Trainee to establish solid work behavior skills, as you will:

   a. Become a mentor, career guidance counselor, and role model to the Trainee.

   b. Motivate the Trainee to pursue post-secondary education.

   c. Provide direction for the Trainee to move closer to attaining the skills they will need to become a valuable and productive employee.

   d. Emphasize to the Trainee the importance of setting goals and executing them.

   e. Provide guidance for the Trainee to learn to make the best use of the employer's resources, take responsibility for work performed, grow in their perceptions of the types of jobs they are suited for, and the skills required to do those jobs satisfactorily.

### Length of Work Experience

A Work Experience is not intended for long-term skill building within the occupation but rather as an entry step for the Trainee to experience the occupation, develop their skills, and gain work history and references. A Work Experience must be for a limited period. In determining an appropriate length of time, consideration should be given to the skill requirement of the position, the Trainee's academic and occupational skills level, prior work experience, the Trainee's Employment Plan, and the Job Service budget.

## WORKSITE APPROPRIATENESS FOR WORK EXPERIENCE

Before agreeing to take responsibility as a Worksite, they Supervisors should consider whether their organization offers what the Trainee really needs, such as:

1. Providing experiences that enable the Trainee to achieve their goal of gaining work experience.

2. Holding the Trainee to the same high standards that would be expected from other employees, such as acceptable work behaviors.

3. Developing skills of the Trainee that are tied to the types of occupational interests the Trainee possesses.

4. Exposing the Trainee to materials, processes, tools, and technology that are congruent with those used by the Worksite and other agencies/industries/businesses.

5. Ensuring that the Trainee is engaged in work experiences that enable the Trainee to attain useful and transferable skills.

## WORK EXPERIENCE CONTRACT

### Work Experience Contract

A written contract outlining the responsibilities and monitoring requirements must be developed between the employer/worksite and the provider of career services, called the Local Workforce Innovation Area (LWIA)/Contractor, using the Work Experience Contract attachment of the Work Experience policy.

The contract must include, at a minimum: the worksite information, work experience requirements, employer responsibilities and assurances, and other terms and conditions of the work experience, such as consequences for nonadherence to the agreement and a termination clause.

The worksite or host site entity and the LWIA/Contractor must sign the contract and receive a copy. The contract must be available for audit and monitoring purposes.

## WORK EXPERIENCE OUTLINE/PLAN

### Work Experience Outline/Plan

A written outline/plan detailing the parameters of the work experience, internship, or transitional job must be developed between the employer/worksite, the LWIA/Contractor, the Career Planner, and the Trainee using the Work Experience Outline attachment of the Work Experience policy.

The outline must include, at a minimum: the type of work experience, the location where the training will take place, the duration (beginning and end dates), compensation, goals/skills, supplies needed for the work experience, and supervision.

The employer of record, the Trainee, the LWIA/Contractor, and the work experience provider (if different from the employer) must all sign and receive a copy of the outline. The outline must be available for audit and monitoring purposes.

## EQUAL OPPORTUNITY AND FEDERAL STATUTES

### Equal Opportunity Policy

The U.S. Equal Employment Opportunity Commission (EEOC) is responsible for enforcing federal laws that make it illegal to discriminate against a job applicant or an employee because of the person's race, color, religion, sex (including pregnancy and related conditions, gender identity, and sexual orientation), national origin, age (40 or older), disability, or genetic information.



Most employers with at least 15 employees are covered by EEOC laws (20 employees in age discrimination cases). Most labor unions and employment agencies are also covered.

The laws apply to all types of work situations, including hiring, firing, promotions, harassment, training, wages, and benefits. Learn more about the laws enforced by EEOC.

### Nepotism

No Trainee may be placed in a WIOA work experience activity if a member of that person's immediate family is directly supervised by or directly supervises that individual. To the extent that an applicable State or local legal requirement regarding nepotism is more restrictive than this provision, such State or local requirement must be followed.

### Unionization

A trainee may not engage in, solicit, or discourage activities related to unions.

### Sectarian Activities

WIOA Title I funds may not be spent on employment or training in sectarian activities. The Trainee must not be employed under Title I of WIOA to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship. However, WIOA funds may be used for the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship if the organization operating the facility is part of a program or activity providing services to WIOA Trainees [WIOA sec. 188 (a)(3).

### Maintenance of Effort

The Worksite agrees not to terminate, lay off, or in any way reduce the working hours or infringe upon the promotions or advancement opportunities of any current employee through utilization or in anticipation of utilization of any Trainee at this Worksite.

### Hatch Act

The Trainee may not engage in, solicit, or discourage political activity while in training at the Worksite. No funds provided by the program may be used for any project involving political activity.

In addition to the above federal regulations and guidelines, WIOA regulations have restrictions on acceptable program activities and supervisory practice. Therefore, Illegal activities are prohibited or restricted. To ensure the integrity of work experience, the Worksite Supervisor may not solicit or accept kickbacks, favors, or anything of monetary value from the Trainee or LWIA/Contractor.

## RESPONSIBILITIES OF THE WORK EXPERIENCE TEAM

It is the responsibility of the following team to ensure a positive work experience for the Worksite and the Trainee.

### LWIA/Contractor Staff Responsibilities

1. To be the primary point of contact for the employer/Worksite Supervisor.

2. Provide orientation with the Worksite Supervisor and ensure that all required documents are completed and signed (original documents must be kept at the Worksite and copies kept at the LWIA/Contractor organization location).

3. Provide orientation to the Trainee prior to placement at the Worksite. This orientation enables the Trainee to understand the purpose and expectations of the work experience.

4. Advocate for the Trainee with any issues and concerns that they are experiencing.

5. Provide support and guidance to the Worksite Supervisor with any issues and concerns that may arise or

that the Trainee is experiencing.

6. Monitor the Worksite to ensure that the Trainee is receiving quality work experience that will transfer into marketable skills. Also, to ensure that the Worksite Supervisor is receiving adequate assistance and resources.

7. Review timesheets to ensure that they are completed in their entirety, and that all appropriate signatures are in place.

## Worksite Supervisor Responsibilities

1. Provide orientation on the Worksite policies and procedures to the Trainee. This orientation enables the Trainee to know and understand what is expected by the Worksite Supervisor.

   Also, the orientation should include:

   - Worksite rules and policies, including dress code.
   - Identification of the assigned Worksite Supervisor, alternate Supervisor(s), and regular employees of the Worksite with whom the Trainee will be working.
   - Worksite starting and ending times, including times for breaks and lunch periods, and designated places to take breaks and eat lunch.
   - Designated place for the Trainee to park their vehicle, if applicable.
   - A secure place at the Worksite where the Trainee can store their personal belongings.
   - Telephone numbers to call when the Trainee is late or absent from work.
   - Procedures to follow if the Trainee experiences a problem they cannot resolve with the Supervisor, and/or regular employees.
   - Child labor laws, safety rules, and accident/emergency medical treatment procedures.
   - Assignments, responsibilities, and tasks to be performed as a function of the work experience.
   - Work experience performance evaluation to be conducted by the Worksite Supervisor to ensure the Trainee exhibits proper work ethics.
   - Activities and actions which are not allowed while performing the work experience, including activities which are political and/or religious, and the use of alcohol and drugs.

2. Ensure that the Trainee receives a positive, meaningful work experience and is always supervised. Work Experience should be planned in such a way that the Trainee feels ownership of their training and can personally identify areas for personal growth.

3. Communicate all issues or concerns to the LWIA/Contractor to ensure that they are addressed.

4. Ensure that the Trainee time sheet and work performance evaluation are completed, signed, and dated by the Trainee, Worksite Supervisor, and submitted to the LWIA/Contractor for processing.

5. Create an environment where the Trainee feels comfortable asking questions about their duties and responsibilities. Also, encourage questions that provide guidance to the Trainee on various career pathways.

6. Provide positive feedback when the Trainee demonstrates satisfactory performance and appropriate work ethics. Also, give constructive guidance when the Trainee demonstrates unsatisfactory performance and inappropriate work ethics.

7. Evaluate the Trainee on a regular basis to ensure they understand the assignments and are performing in a satisfactory manner.

## CHILD LABOR LAWS

All Trainees under 16 years of age must have a current and valid Employment Certificate (Work Permit). **Do not, under any circumstances,** allow a Trainee to commence work activities until a certificate has been provided by the Trainee or LWIA/Contractor. If the Trainee comes to work without their Employment Certificate (Work Permit), the Worksite Supervisor must refer the Trainee back to the LWIA/Contractor.

- NOTE: Minors 14 & 15 years of age who have been issued a permanent identification card (Form DOL-4102) should retain the card themselves. The original employment certificate should be provided to the Worksite. On subsequent employment, the minor should present the ID card to the employer. The Worksite should make a copy of the ID card for the minor's personnel file and return the original to the minor.

All Worksites must comply with the applicable Child Labor Laws.

## PAYROLL PROCEDURES

### Work Schedule

The Worksite Supervisor is responsible for ensuring that the Trainee adheres to the work schedule. It is important that the trainee signs in at the start of the shift and signs out at the end of the shift daily to indicate the actual hours worked. The Trainee must also sign in and out for lunch breaks. This is to ensure time-record accountability for the Trainee and the Worksite Supervisor. **Trainee will not be paid for overtime, holidays, or lunch.** Therefore, it is vital that the Trainee and Worksite Supervisor adhere to the work schedule indicated in the Worksite Agreement.

**The Worksite Supervisor is solely responsible for verifying time and attendance records.** If there are any issues with the time worked, be sure to report them to the LWIA/Contractor immediately so you both can correct them.



# WORK EXPERIENCE PROGRESS REPORT AND INVOICE

## Work Experience Progress Report and Invoice

The Worksite Supervisor must evaluate the Trainee's work performance.

The purpose of the performance evaluation is to:

- Help the Trainee build on their strengths and identify the areas that they need improvement to be more efficient.
- Enable the creation of reasonable performance standards; therefore, the Supervisor and Trainee are aware of what is considered acceptable performance.
- Provide an opportunity for open dialogue between the Worksite Supervisor and Trainee to mutually establish goals for development.

The written progress report, including invoicing if applicable, must be submitted by the worksite in the manner designed by the LWIA/Contractor, using the Work Experience Progress Report and Invoice attachment of the Work Experience policy.

The progress report must include, at a minimum, an evaluation of the Trainee, including progress towards the goals/skills outlined, and the hours worked.

The work site supervisor, the Trainee, the LWIA/Contractor, and the work experience provider (if different from the employer) must all sign and receive a copy of the outline. The progress report must be available for audit and monitoring purposes.

# RECORD KEEPING

The Worksite must maintain accurate and organized records for the Trainee. The Worksite monitoring visit will include a review of the Trainee's file to ensure it includes, at a minimum, the following documents.



- Employment Certificate (Work Permit) – if applicable.
- Payroll records (Timesheets signed by the Trainee and Worksite Supervisor).

- Medical/Emergency Information Form for the Trainee.
- Signed Work Experience Contract.
- Signed Work Experience Outline/Plan.
- Signed Work Experience Progress Report and Invoice
- Copies of completed accident reports – if applicable.
- Copy of counseling sessions and disciplinary actions – if applicable.
- Copy of documentation of events leading up to and including termination that have been reviewed with the LWIA/Contractor – if applicable.

## WORKSITE AND WORK EXPERIENCE MONITORING

Monitoring will be conducted to ensure compliance with relevant regulations (e.g., prohibitions on the use of sectarian Worksites, time sheet monitoring, and adherence to child labor laws). These visits are also to ensure that Trainees are well-supervised, that the Worksite Supervisor provides meaningful work activities, the site is safe, and the Trainee is participating in the work activities satisfactorily. The Work Experience policy further outlines the monitoring process.

## GENERAL SAFETY RULES

Worksite Supervisors are to review these rules with the Trainee.

- Report any injury to the Worksite Supervisor and the LWIA/Contractor immediately.
- Report all unsafe working conditions to the Worksite Supervisor and LWIA/Contractor.
- Horseplay is always prohibited.
- Drinking alcoholic beverages is strictly prohibited during working hours. If discovered under the influence of alcohol or drugs, the Trainee will not be permitted to work.
- If the Trainee does not currently have First Aid training, they are not to move or treat an injured person unless there is immediate danger, such as profuse bleeding or stoppage of breathing.
- Appropriate clothing and footwear must always be worn.
- Do not perform any task unless trained to do so and maintain awareness of the hazards associated with that task. Trainee must not perform any task other than what is outlined in the Work Experience Outline/Plan.
- May be assigned certain personal protective safety equipment. This equipment should be available for use, be maintained in good condition, and be worn when required. If applicable, an approved hard hat must be worn in areas where there is danger of objects falling.
- Learn safe work practices. When in doubt about performing a task safely, the Trainee must contact the Worksite Supervisor for instruction or training.

- Should not use any equipment for purposes other than its intended use.
- Never remove or bypass safety equipment.
- Should not approach operating or safety equipment from the blind side.
- Learn where fire extinguishers and first aid kits are located.
- Always maintain a general condition of good housekeeping in all work areas.
- Should be alerted to hazards that could affect the Worksite.
- Obey safety signs and tags.
- Should always perform their assigned task in a safe and proper manner and not take shortcuts (taking shortcuts and ignoring established safety rules is the leading cause of employee injury).

## WORKSITE PROHIBITED ITEMS

- The Worksite should not allow the Trainee to be transported in a privately owned vehicle during work hours.
- The Worksite should not allow the Trainee, regardless of age, to drive a company-owned motor vehicle during working hours.
- The Worksite should not leave the Trainee unattended at the Worksite – if the assigned Worksite Supervisor must leave the Worksite, a qualified alternate Supervisor must be placed in charge.
- The Worksite should not allow the Trainee to travel outside of the Worksite without prior approval from the LWIA/Contractor, and the request must be in writing.
- The Worksite should not allow the Trainee to work for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. Never allow the Trainee to go swimming anywhere during working hours (the Trainee could be placed with an organization such as a city park or a YMCA that happens to have a swimming pool or a golf course, but their work experience should not involve pool- or golf-course-related activities).

## DISCIPLINE PROBLEMS ACTION PROCEDURES

The following are guidelines that the Worksite Supervisor must follow to address the discipline and/or performance problems that the Trainee is exhibiting.

1. The first step is to warn the Trainee verbally.
2. If the problem continues, the second step is to conduct a counseling session led by the Worksite Supervisor and LWIA/Contractor. The counseling session must be documented and placed in the Trainee's file.
3. If an acceptable resolution for the problem is not reached and it continues, the third step is to terminate the Trainee from the Worksite.

Each disciplinary action must be documented, dated, and signed by the Worksite Supervisor, the Trainee, and the LWIA/Contractor. A copy of the disciplinary action must be placed in the Trainee's file.

**Note:** The previous steps depend on the severity of the problems the Trainee undertook. Therefore, the process may vary depending on the circumstances.

## WORK EXPERIENCE TERMINATION POLICIES

The Trainee should be treated like regular employees who are expected to conform to all personnel procedures of the work site.

It may become necessary to terminate a Trainee from the Worksite and/or work experience for the following reasons:

- Insubordination, including the use of foul or profane language and/or disrespect.
- Inefficiency and inability to perform duties/assignments (unwillingness to learn).
- Intoxication and/or possession of alcohol and/or drugs.
- Willful violation of any Worksite rules.
- Absence from work without notifying the Worksite Supervisor or LWIA/Contractor (no call, no show).
- Excessive absenteeism or tardiness.

Before termination takes effect, the Worksite Supervisor must discuss it with the LWIA/Contractor. Any charges made and any actions taken must be documented in the Trainee's file. In the event a Trainee must be terminated, the Worksite Supervisor should adequately document the events leading up to and including the termination. This documentation must be reviewed with the LWIA/Contractor immediately. The LWIA/Contractor will then determine whether to terminate the Trainee from the overall work experience based on the severity of the charges.

## GRIEVANCE/COMPLAINT PROCEDURES

An administrative staff person has been designated as the EEO Officer responsible for handling complaints lodged against the WIOA Program. The Trainee must have the Grievance/Complaint Procedures explained to them. If the Trainee feels that they have been dealt with unfairly or discriminated against because of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, gender identity), national origin (including limited English proficiency), age, disability, or political affiliation, that Trainee may file a grievance. The problem must first be discussed with the Worksite Supervisor and/or LWIA/Contractor. If the problem is not resolved, the Trainee must put the problem in writing and forward it to the State Equal Opportunity Officer and Investigator, as instructed in the Complaint and Grievance Procedures policy.

## EFFECTIVE SUPERVISING

Worksite supervisors assist Trainees in meeting their professional goals by establishing a positive work environment indicative of learning. Supervisors are in a unique position to provide the Trainee with opportunities for continued growth and development through hands-on training that can lead to future success. The Trainee will learn many valuable skills on how to become a dependable and productive employee.

Here are a few steps to assist in supervising the Trainee at a Worksite.

- Address the business's purposes and objectives to the Trainees so they understand how company employees contribute to the business's overall success.
- Determine what needs to be done to achieve those purposes and objectives; therefore, provide the Trainee with a clear description of what they will be learning.
- Worksite Supervisor and company employees should consistently set a good example to the Trainee; remember, "Actions speak much louder than words."
- Explain goals, expectations, policies, procedures, norms, and preferences clearly and thoroughly.
- Always communicate effectively and positively using verbal, nonverbal, and written communication. Keep the communication line open.
- Provide a work environment that is safe (security, stability, order/structure, etc.)
- Provide adequate resources needed for the successful completion of their training.
- Always provide opportunities for continued growth and development of the Trainee.
- Use the DEEP approach (Demonstrate, Explain, Experience, and Process) to get positive work performance from the Trainee.
- Always engage and motivate the Trainee.
- Provide continuous evaluation to reinforce positive work performance. Evaluation should be objective and ongoing.
- Be open to suggestions from the Trainee as well.
- Lastly, supervise the Trainee effectively so that their experience at your Worksite will leave a lasting impression.

## MAKING LEARNING RICH

Remember that the Trainee is a TRAINEE! This may be their first experience working for someone other than a parent, relative, neighbor, etc. The Trainee may not fully understand the extent of their obligations and responsibilities pertaining to a Worksite training situation.



You should take steps to ensure:

- Tasks to be performed by the Trainee are identified up front, and enough time is allowed to ensure the Trainee can complete the tasks during the program duration.

- Trainee's strengths are identified and exercised to the benefit of the Supervisor and the Trainee.

- Tasks are self-directed. The trainee and Supervisor agree on goals and plan a strategy to meet those goals. The supervisor coaches the Trainee through this process.

- Trainees are integrated into the organization, but is not constrained by allegiances, preconceptions, and commitments to the status quo. A trainee is allowed to share his/her perspective with regular employees and to be an agent of change.

- There is a clear link between goals, competencies, and tasks. The trainee has multiple opportunities to practice and develop transferable skills.

- Trainee provides valuable products and services that would not otherwise be available.

- Trainees feel valued as part of the organization and take pride in the work and what is being done.

- Encourage the Trainee to develop a portfolio by providing evidence of work skills. This often includes reference letters from their Worksite Supervisors, a resume, and a cover letter.

# PARTICIPANT ORIENTATION

As part of my participation in the WIOA program, I have received an orientation of the WIOA program including the following provisions:

1. Purpose of WIOA
2. Services available
3. Selection for program participation
4. Compensation to participants
5. Participant Responsibilities
6. Participant Rights & Grievance Procedures
7. Program Organization & Contact Person
8. Worksite Standards and Job Description
9. Hours, Wage, and Expectations

PARTICIPANT NAME_____DATE:_____

PROGRAM:_____

WORKSITE:_____

PARTICIPANT SIGNATURE: _____

CAREER PLANNER SIGNATURE: _____

# On-the-Job Training (OJT)/Work Experience (WEX) Local Monitoring Report

## OJT/WEX Information

Employer:

Employer FEIN:

Site Address:

City: State: ZIP:

Trainer/Supervisor:

Title: Phone:

Email:

Trainee: Reviewer:

Contract dates: From to Date of review:

## Monitoring Summary

| | | | | |
|---|---|---|---|---|
| Supervisor interview: | | Complete | Notes: | |
| Trainee interview: | | Complete | Notes: | |
| Reviewer report and observations: | | Complete | Notes: | |
| Technical assistance provided: | | Yes | No | Notes: |
| Corrective action required: | | Yes | No | Notes: |

## Trainee's Interview Sheet

1. **Training Plan**
   a. Do you have a copy of your Training Plan? Yes ☐ No ☐
   b. Does it match the job you are doing? Yes ☐ No ☐
   c. Are you receiving the type of training specified in the Training Plan? Yes ☐ No ☐

Comment(s):

2. **Supervision**
   a. Who is training you (i.e., your supervisor, co-worker, specialized trainer)?
   b. Who assigns your work?
   c. How much time does your trainer/supervisor spend with you during the day?
   d. Does your trainer/supervisor explain your assignments and give you help if needed? Yes ☐ No ☐
   e. Does your trainer/supervisor review your job performance with you? Yes ☐ No ☐
   f. Does your trainer/supervisor review the monthly progress reports with you? Yes ☐ No ☐

Comment(s):

3. **Time and Attendance**
   a. How many hours per week are you working?
   b. How much are you paid?
   c. How are your work hours tracked (e.g., sign-in, punch a clock)
   d. Are you paid regularly and in a timely fashion? Yes ☐ No ☐

Comment(s):

4. **General**
   a. Do you believe the training site is easily accessible, safe, and friendly? Yes ☐ No ☐
   b. Do you have any problems with your job? Yes ☐ No ☐
   c. Are you getting along with your co-workers and trainer/supervisor? Yes ☐ No ☐
   d. Is there anything particular you like or dislike about your job? Yes ☐ No ☐
      Comment:
   e. Is there anything else you would like to share with me about your experience? Yes ☐ No ☐
      Comment:

Comment(s):

## Supervisor's Interview Sheet

Supervisor interviewed:

Supervisor job title:

Interview date: Interview location:

1. **Training Plan**
   a. Do you have a copy of the contract? Yes ☐ No ☐
   b. Do you review the trainee's progress report with the trainee? Yes ☐ No ☐
   c. Do the trainee's work assignments comply with the Training Plan? Yes ☐ No ☐
   d. Is the Training Plan being followed? Yes ☐ No ☐
   e. How is the trainee's safety and well-being ensured?
      Explain:

Comment(s):

2. **Time Records**
   a. How are the trainee's work hours tracked? (Person monitoring should review current time card/sheets.)
      Explain:
   b. How would you describe the trainee's attendance and punctuality?
      Describe:
   c. What is the trainee's hourly rate of pay?

Comment(s):

3. **General**
   a. Is the trainee performing his/her work assignments satisfactorily? Yes ☐ No ☐
   b. Do you have any concerns about the trainee? Yes ☐ No ☐
   c. Do you have any concerns about the contract? Yes ☐ No ☐
   d. In general, are you satisfied with the contract? Yes ☐ No ☐

Comment(s):

## Reviewer Report and Observations

1. **Perception of Plant/Facility**
   a. Were all equipment, materials, etc. found in working order and in sufficient quality? Yes ☐ No ☐
   b. Were they up to date? Yes ☐ No ☐
   c. In your opinion, is the work/training site unsanitary, hazardous, or dangerous to the trainee's health or safety? Yes ☐ No ☐
   d. Is there sufficient space for training activities? Yes ☐ No ☐
   e. Are there any other health/safety issues? Yes ☐ No ☐
   f. If applicable, has appropriate accommodation been made for a trainee covered under the Americans with Disabilities Act? Yes ☐ No ☐

Comment(s):

2. **Training Content**
   a. Is the schedule being followed according to the contract? Yes ☐ No ☐
   b. If not, do the changes conform to the approved Training Plan and the total number of training hours specified in the contract? Yes ☐ No ☐
   c. Does the trainee's hourly wage match the contract? Yes ☐ No ☐
   If not, explain:

Comment(s):

3. **Attendance**
   a. Is there any attendance or punctuality issues? Yes ☐ No ☐
   If yes, what methods are being employed to address the issues?
   Explain:

Comment(s):

4. **Teaching Methods**
   a. Is the instructional method as described in the Training Plan being implemented? Yes ☐ No ☐
   b. Are the training hours as described in the training plan sufficient for each task? Yes ☐ No ☐
   c. Is the agreed-upon method of evaluation being used? Yes ☐ No ☐
   d. Is skill level being successfully attained? Yes ☐ No ☐
   e. Does the trainer appear motivated and competent? Yes ☐ No ☐
   f. Does the trainee appear attentive and interested? Yes ☐ No ☐
   g. Is native language of trainee spoken by trainer? Yes ☐ No ☐
   h. Is trainee paid in a timely fashion? Yes ☐ No ☐

Comment(s):

**5. Reports**

a. Is the employer submitting required monthly progress reports in a timely fashion? Yes ☐ No ☐

b. Is the employer submitting invoices in a timely fashion? Yes ☐ No ☐

c. If not, what corrective actions are in place to address this issue?
Explain:

Comment(s):

**6. WIOA Regulations Compliance**

a. Are any WIOA dollars being used for political activities? Yes ☐ No ☐

b. Are any WIOA dollars being used to aid or deter union organizing or collective bargaining? Yes ☐ No ☐

c. Are any WIOA dollars being used to promote any sectarian or religious activities? Yes ☐ No ☐

d. Are any WIOA trainees being charged any fees for any service? Yes ☐ No ☐

Comment(s):

**7. Summary**

Was technical assistance provided or necessary? Yes ☐ No ☐
If yes, explain:

Is corrective action required? Yes ☐ No ☐
If yes, explain:

Print/type reviewer name

Reviewer signature

Date

# Request for Work Experience Increase

LWIA #26 Local Policy No. 22

Provider Name: _____ Career Planner: _____

Participant Name: _____ Program Title _____

WorkSite Name: _____

Work Experience Start Date: _____ Work Experience End Date: _____

Participant's Hours Worked To Date of Request: _____ Participant's Earnings To Date of Request: _____

Request (Extend End Date, Increase Training Limit etc…) _____

Specific Reason for Request and Benefit (s) to Participant:

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

LWIB Board Approval Date

_____ _____

Note: To be considered requests must include the modification of the Universal Career Plan in IWDS 2.0, WEX Contract, WEX Outline/Plan, WEX Progress Report , as well as other documention supporting the request.

# LWIB WEX File Monitoring

| Y/N | Monitoring Questions |
|---|---|
| | Was LWIB contacted on or before the start of the Work Experience and provided with the First Name, Last Name, Customer Phone Number, Last 4 of Social, Worksite Name, Start and End Date, and Supervisor Name and Contact Information? |
| | Do all file uploads match the ***BOLD/ITALIC/UNDERLINED*** document name listed below? |

| Uploaded: Y/N/NA | **MONITORING DOCUMENT LIST FOR (Customer Name)_____** |
|---|---|
| | • ***Work Experience and OJT Pre-Award Survey***<br>  o Completed by Service Provider BEFORE any other documents can be completed<br>  o If participant is under 18 and there is no background check completed for the worksite's supervisor then a sex offender search is attached to the survey uploads |
| | • ***Work Experience Contract*** with modifications as needed |
| | • ***Supervisor Orientation*** |
| | • ***Participant Orientation*** |
| | • ***Work Experience (WEX) Outline/Plan*** with modifications as needed<br>  o Job Description should be attached to the WEX Outline/Plan<br>  ▪ Job Description can be written with the Employer (see page 3 of WEX Outline/Plan for more information on how to do this)<br>  o Career Planner should establish "SPECIFIC SKILLS FOR THE TRAINEE TO LEARN" on the WEX Outline/Plan Section 3. These will have estimated hours to learn skill, start and completion date and an assessment method |
| | • ***Universal Career Plan*** signed in IWDS 2.0 with modifications as needed<br>  o Skill Gaps are addressed and services added as appropriate as outlined in Policy 22 Section 3.e.a.iv and given in example 1 and 2. |

| | |
|---|---|
| | • ***Work Experience (WEX) Progress Report (REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE)***<br>o Section 1 and 3 MUST BE completed by Career Planner<br>o Section 2 MUST BE completed by the Worksite Supervisor<br>o Should have at a minimum two WEX Progress Reports<br>▪ These should have ESTABLISHED REPORTING PERIODS with dates listed on page 1 of WEX Progress Report next to "Report for the Period Ending"<br>▪ Note those dates are the REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE that is needed as part of the file naming for the file upload process that can bee seen below in the HOW TO section below.<br>o Section 3 of the WEX Progress Report will evaluate those "SPECIFIC SKILLS FOR THE TRAINEE TO LEARN" in Section 3 of the WEX Outline/Plan (please review those and transfer those exact skills to the WEX Progress Report). Again, this section MUST BE completed by the Career Planner |
| | • ***On The Job (OJT)/Work Experience (WEX) Local Monitoring Report***<br>o Completed by Career Planner/Service Provider once per month for the duration of the contract.<br>▪ Can be done for your 30 day contacts<br>o Initial On The Job (OJT)/Work Experience (WEX) Local Monitoring Report MUST BE completed within 30 days of the Start Date of the Work Experience. Monitoring findings will be issued if this is not completed within the time frame.<br>▪ Ex: Start 1/1 must be completed before 1/30 |
| | • ***LWIA Request for Work Experience Increase***<br>o Only if needed |
| | • ***Participant Time Sheets***<br>o A Running Total Each Pay Period Showing total hours worked and amount paid should be attached to each Participant Time Sheet. This is to assist Service Providers with staying within established policy of no more than 1040 total hours over 6 months and no more than $15,600 spent per employee unless LWIA Request for Work Experience Increase has been approved and on file. Fiscal may have a report for this, or you can simply keep a running total. Monitoring findings will be issued if this is not included with the Participant Time Sheet uploads. |
| | • ***Final Cost Report*** from fiscal showing total hours worked and amount paid |

LWIB Signature_____
Date_____

# LOCAL ITA POLICIES

Southern 14 Workforce Investment Board, Inc. LWIA #26

The Individual Training Account (ITA) is established for eligible Adult and Dislocated Worker individuals to finance training services. The law provides several exceptions when contracts may be used instead of ITAs, as outlined below:

1. When the services provided are on-the-job training (OJT) or customized training;

2. When the Board determines that there are an insufficient number of eligible providers in the local area to accomplish the purpose of a system of ITAs; or

3. When the Board determines that there is a training services program of demonstrated effectiveness offered in the area by a community-based organization (CBO) or another private organization to serve special participant populations that face multiple barriers to employment.

To be in compliance with the statutory requirement to utilize ITAs to the extent practical, the area at a minimum must:

1. Expend the majority (i.e. at least 51 percent (51%) of combined costs incurred through ITAs and training contracts under the adult and dislocated worker programs through individual training accounts; or

2. Serve the majority (i.e. at least 51 percent (51%) of adult and dislocated worker customers receiving training services through ITAs.

3. The 51 percent (51%) minimum criterion is set as low as possible to allow flexibility while still meeting the statutory requirement.

    a. This policy is intended to allow the area to pursue alternative training opportunities to expand training choices and better link workforce and economic development.

If it is determined by the Board that there are insufficient eligible providers in the area to accomplish the purposes of the Act and complies with the requirements of 20 CFR 663.430 the area may be in the position of not using ITAs at all or minimally. The Area will also be considered to be in compliance regardless of the percent of combined adult and dislocated worker training funds expended through ITAs.

**Limitations on use of ITA's**

In WIOA #26 ITA's will be used to assist in financing the cost of the following types of training: short and long term vocational, associate degree, job readiness, entrepreneurial training, workforce education when combined with co-operative education, skill upgrading and retraining, and adult education and literacy services combined with any of the above services. It is the intent of the LWIB to set caps on the dollar amount of individual ITAs by the type of services listed below.

These caps are based on historical records and actual costs of various training programs available through the Community College system. For short term vocational training the cap will be set at $7,500; for long term training the cap will be set at $17,500; and for associate degree directed training the cap will be set at $25,000. For bachelor degree directed training the cap will be set at $35,000. WIOA Title ID and IA funding can only be used toward a bachelor degree training if that degree can be obtained with ninety-five (95) credit hours or less. ITAs will not be used for OJT or customized training.

*Service providers may request an ITA cap increase on a client specific basis with prior approval from the Southern 14 Board.* Due to time constraints, approval may be given by either the Southern 14 Board Chair or the Southern 14 Executive Director.

**Re-Enrollment**

ITA clients who drop out and are exited from a program, if re-enrolled, will be given a new ITA (Individual Training Account).

# ON-THE-JOB TRAINING POLICY

Southern 14 Workforce Investment Board, Inc, LWIA #26

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The Southern 14 Workforce Investment Board and its service provider entities shall use the most current Department of Commerce policies/notices and its attachments under the Workforce Innovation and Opportunity Act of 2014.

## General Requirements

1. On-the-job training (OJT) programs must provide potential new employees (adults, dislocated workers or eligible youth, when appropriate) or eligible underemployed workers with the opportunity to acquire new skills or knowledge essential to job performance.

2. Service providers may approve the purchase of items required for the OJT such as tools, equipment, and uniforms.—Supportive Service policy should be utilized with a Supportive Service Needs Review completed with appropriate documentation.

3. The participant must be an employee during the OJT contract period and the employer must agree to the contract prior to the person's start date.
   a. Employment will continue upon successful completion of training. Successful completion includes:
      1) Acquired the skills identified for the training program and met the goals of the Universal Career Plan;
      2) Complied with all company and employment obligations throughout the training.

   b. The intent of an OJT is full-time paid employment that leads to self-sufficiency according to the most current Lower Living Standard Income Level or at or above the self-sufficiency level established by LWIB 26 standard.
   c. Consideration may be given to an OJT placement that is less than full-time if an individual is receiving a service other than education or training and has one or more of the following barriers to employment: adult or youth with a disability, an ex-offender, a youth aging out of foster care, eligible migrant and seasonal farmworkers, an individual who is homeless, or an English language learner, who has low literacy levels and faces substantial cultural barriers.
   d. Employers may not hire OJT employees as independent contractors.

4. Employers are ineligible for an OJT contract if they have previously exhibited a pattern of failing to provide OJT participants 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.

5. Training does not have to occur at the employer's location. a. OJT providers are not subject to the eligibility requirements for WIOA training providers. b. Although these providers are not included in the State Eligible Training Provider List (ETPL), they are considered to be eligible providers of training services (§ 680.530).

6. Local Workforce Innovation Board Area 26 (Southern 14 Workforce Investment Board, Inc.) (LWIB 26) may combine OJTs with other forms of training.

a. As part of a customer's training outline, OJT may combine other types of training such as work experience, classroom, and remediation. Training is paid for using an Individual Training Account (ITA).

b. OJT may combine with ITAs to support placing customers into Registered Apprenticeship programs.

c. When combining OJT with other types of training such as those above, only the OJT hours are eligible for wage reimbursement.

7. OJT participants are not eligible to receive Needs Related Payments (NRPs).

8. OJT participants cannot be immediate family members of the business owner or direct supervisor. The term "immediate family" includes a spouse, child, son-in-law, daughter in-law, parent, mother-in-law, father-in-law, sibling, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, stepparent, stepchild, grandparent, and grandchild.

**Participant Eligibility**

1. OJT participants must be determined eligible for each applicable funding source (i.e., WIOA Adult, Dislocated Worker, or Youth formula funded programs) and have worked with the career planner to complete the following:

   a. A Work-Based Learning Assessment of the customer's pre-existing knowledge and skills relevant to the OJT position;

   b. A Universal Career Plan that demonstrates the need for OJT; and

   c. A training plan that meets the specific skill requirements for the position at the hiring employer.

2. OJT may be used to train an underemployed customer who currently works at the OJT employer only if the OJT elevates that employee to reach at least a self-sufficient wage through skill upgrade training that relates to any of the following:
   a. The employee is not earning a self-sufficient wage as determined by the Local Workforce Innovation Board (LWIB) policy;
   b. The OJT contract complies with the OJT Reimbursement section of this policy;
   c. The OJT relates to the introduction of new technologies, new production or service procedures, an upgrade to a higher-skilled position requiring the individual to learn additional skills;
   d. Other appropriate purposes identified by LWIB 26 (§ 680.710); or
   e. LWIBs may choose to consider OJT contracts for eligible youth when it is appropriate based on the needs identified by the objective assessment of the individual youth and the individual's likelihood of long-term success if given the opportunity (WIOA Section 129(c)(2)(C)).

**Employer Eligibility**

1. Employers in the public, private non-profit or private sector may use OJT programs. OJT's may not be provided to government entities.

2. A staffing agency is an eligible employer for WIOA-funded OJTs if the staffing agency meets the following conditions:
   a. The position is "temp to hire" and the host employer will hire the participant within a time as defined by LWIB 26 policy.
   b. The placement from the staffing agency must be full-time as defined by the host employer.
   c. The OJT participant wages and working conditions are at the same level and to the same extent as other employees working a similar length of time and doing the same type of work.

3. The wage provided by the employer to the OJT participant must be at least equal to the federal, state or local minimum wage (Fair Labor Standards Act).

4. In addition to meeting the General Requirements of this policy, an employer will be ineligible to receive a WIOA OJT contract at the worksite location if:
   a. The employer has any other individual on layoff from the same or equivalent position.
   b. The same or equivalent position is open due to a hiring freeze.
   c. The OJT would infringe upon the promotion of or displacement of currently employed workers or a reduction in their hours.
   d. The employer has terminated the employment of any regular employee or caused an involuntary reduction in its workforce with the intention of filling the vacancy with OJT participants.
   e. The positions are for seasonal employment.

5. The employer must have the capacity and commitment to ensuring that the OJT program will address skills gaps specific to the individual and that staff has the time and knowledge to carry out the necessary training.

6. The employer agrees to cooperate with monitoring and reporting efforts as required by WIOA legislation, including a pre-award survey and adhere to all other applicable local, state and federal rules and regulations. A Copy of the pre-award survey is attached.

**Apprenticeship**

1. LWIB 26 may establish an OJT contract with an employer that has a registered apprenticeship program, but only the OJT hours are eligible for wage reimbursement through the OJT portion of the program.

2. Individual Training Accounts (ITAs) and OJT funds may be combined to support placing participants into a registered apprenticeship program, just as they can be used together for a participant who is not in a registered apprenticeship.
   a. LWIB 26 may choose to set the duration or a financial limit on ITAs and OJTs for apprenticeships as defined in LWIB 26 policy for such programs.
   b. An ITA should support the classroom portions of the apprenticeship program, and OJT funds may only support the on-the-job training portions of the program.

3. Depending on the length of the registered apprenticeship and local OJT policies, WIOA OJT funds may cover some or all of the registered apprenticeship training. Southern 14 Workforce Investment Board, Inc. (LWIB26) may choose to set the duration or a financial limit on ITA's and OJT's for Registered Apprenticeships.

4. Other types of training combined with OJT may take place during scheduled work shifts, but must not interfere with the full-time commitment of the OJT.

**LWIB Responsibility**

1. LWIBs must set policy for implementing OJTs including:
   a. The sub-recipient/service provider are authorized to negotiate OJT contracts on behalf of LWIB 26.
   b. The Work Experience and OJT Pre-Award survey are a procedure that verifies the employer is suitable for OJT and meets state and federal policy and guidelines (i.e., working conditions (safety and health), wage structure, turnover rate, etc.).
   c. Procedures guiding OJT contract modifications and employer disputes with the grantor and/or the trainee can be found on the OJT Contract.
   d. The maximum length of time the OJT may be in place as well as financial limits for the OJT that considers:
      1) The amount of time it should take the individual named in the contract to become proficient in the occupation for which he or she is hired, as defined by DOL's Specific Vocational Preparation (SVP), including apprenticeships.

      2) The participant's pre-existing knowledge and skills relevant to the position for which he or she is hired based on the required personalized knowledge and skills assessment.

      3) LWIB 26 financial limits for OJTs and/or ITAs. Training dollars are capped at $13,500 per employee. Special exception to this guideline must be approved in writing by Southern 14 Workforce Investment Board, Inc.

      4) The training program should generally not exceed at total of 1,040 full-time hours of actual training (the equivalent of full-time training for six (6) months). Special exceptions to this policy must be approved in writing by Southern 14 Workforce Investment Board, Inc.

   e. LWIA 26 will allow OJT contracts with staffing agencies if the following conditions are met:.
      1) The Staffing agency must insure the "temp to hire" can be in place a maximum of 1,040 full time hours before the host employer must hire the participant full-time.
      2) Unless previously agreed upon by the host and staffing agency, the staffing agency will act as the employer of record. However, both must sign the contract to ensure an understanding with reporting requirements and provide assurance that both will abide by provisions within local and state policy.

2. Prior to entering into an OJT contract with an employer, LWIB 26's Sub-recipient/Service Provider must conduct a pre-award survey that includes verification of employer eligibility outlined in the Employer Eligibility of this policy.

**OJT Contracts and Modifications**

1. Upon determining the employer's capacity to provide OJT programs, LWIB 26 Sub recipient / Service Provider negotiates an OJT contract with the employer to determine an individualized training plan, reimbursement rate and training length, among other contract provisions deemed appropriate by LWIB 26. The standardized OJT contract that LWIBs will use is attached to this policy.

2. LWIB 26 Sub recipient / Service Provider is responsible for selecting and contracting with employers in the public, private non-profit or private sector to provide high quality OJT programs (WIOA Section 134(c)(3)(G)(ii); § 680.700).

3. LWIB 26 must perform a standardized pre-award review, prior to receiving a contract that at a minimum:
   a. Is documented jointly by LWIB 26 Sub-recipient/Service Provider and the OJT employer that includes names under which the establishment does or has done business, including the name, title, and address of the company official certifying the information.
   b. Determine whether WIOA assistance in connection with past or impending job losses at other facilities has occurred; including a review of whether the employer filed any WARN notices within the previous four (4) months.

4. The OJT contract must be limited to the period required for each participant to become proficient in the occupation for which he or she is hired and the training is being provided (§ 680.700(c)).
   a. The appropriate duration and intensity of the training is based on a skills gap assessment that considers the following:
      1) The skill requirement of the occupation;
      2) The academic and occupational skill level of the participant;
      3) Prior work experience; and

   b. The participant's Universal Career Plan (WIOA Section 134(c)(2)(A)(1)(xii)(II)). The skill requirement of the occupation should align with the SVP time estimate determined by USDOL which includes the time required to learn the techniques, acquire the information and develop the skills needed for average performance in a job. This occupational preparation includes time spent in training programs, academic training, and related work experience.

      Specific Vocational Preparation (SVP) codes are used to calculate the maximum length of time allowable. Occupation specific SVP codes can be found at www.onetonline.org

| Level | Time |
|---|---|
| 1 | *Short demonstration only |
| 2 | *Beyond short demonstration up to and including 30 days |
| 3 | Over 30 days, up to and including 3 months |
| 4 | Over 3 months, up to and including 6 months |
| 5 | Over 6 months, up to and including 1 year |
| 6 | Over 1 year, up to and including 2 years |
| 7 | Over 2 years, up to and including 4 years |
| 8 | Over 4 years, up to and including 10 years |
| 9 | Over 10 years |

5. OJT contracts with eligible employers may allow the employer to provide OJT to a single employee or to multiple employees. In the case of multiple employees, each person must have an individualized assessment of knowledge and skills relevant to the position to determine the content and duration of the OJT training plan.

6. OJT contracts need to be modified if there are significant changes, such as layoffs or changes in federal, state, and local rules and policies pertaining to the implementation of OJTs.

7. A written outline/plan detailing the parameters of the OJT must be developed between the employer/worksite, the LWIA/Contractor, and the customer using the OJT Training Outline-Plan.

    a. The outline must include, at a minimum, the location where the training will take place, the duration (beginning and end dates), compensation, skills, supplies needed for the OJT, and supervision.

        i. An individualized OJT skills analysis must be conducted to determine the acquisition of skills that the customer does not already possess.
        ii. This analysis will contain occupationally specific skills that the employer requires for competency in the OJT occupation.
        iii. An analysis of the trainee's prior work history, transferable work skills, and the job skills gained must be compared to the job skills/job description the employer requires in the OJT occupation. The resulting skills gap will serve as the basis for developing the OJT.

    b. The employer of record, the customer, the LWIA/Contractor, and the training provider, if other than the employer, must all sign and be given a copy of the outline. The outline must be available for audit and monitoring purposes.

8. A written progress report that includes invoicing must be submitted by the employer to LWIA/Contractor utilizing the OJT Progress Report and Invoice attachment.

    a. The progress report must include, at a minimum, an evaluation of the customer, including the progress made towards obtaining the skills in the outline and the hours worked.

    b. The Final Rules have indicated that soft skills are not rigorous enough to count toward a progress report that would count as a Measurable Skill Gain.
        i. To determine if progress reports can count as an MSG, they must document substantive skill development achieved by the customer. At least one skill listed on the outline/plan must indicate that the skill was learned or show improvement.

    c. The OJT Progress Report and Invoice must be submitted each pay period by the OJT Provider to the Service Provider.
        i. Section 1 and 3 MUST BE completed by the Career Planner
        ii. Section 3 Skills MUST be copied from the OJT Training Outline/Plan Section 2
        iii. Section 2, 4, and 5 MUST be completed by the OJT Provider (Worksite Supervisor) and signed by both the OJT Provider (Worksite Supervisor) and the OJT Trainee
        iv. A copy of the invoice/pay stub must be submitted each pay period where the OJT Trainee was paid will need to accompany the OJT Progress Report and Invoice for reimbursement purposes. This invoice/pay stub should match Section 4 of the OJT Progress Report and Invoice.

    d. Page 4 of the OJT Progress Report and Invoice should be completed by the Service Provider for each pay period to keep track of the hours worked and amount paid.

e. The work site supervisor, the customer, the OJT provider, and the LWIA/Contractor must all sign and be given a copy of the outline. The progress report must be available for audit and monitoring purposes.

**OJT Reimbursements**

1. OJT is provided for a WIOA customer in exchange for a negotiated reimbursement wage rate of fifty percent (50%) and in some cases up to seventy-five percent (75%) of the wage rate to compensate for the employer's extraordinary costs of training and additional supervision related to the training WIOA Section 3(44), 134 (c)(3)(H)(i), 134 (c)(3)(H)(ii) and § 680.730).

LWIA 26 may approve increasing the reimbursement wage rate up to 75% when taking into account the following factors:

1) The characteristics of the participants taking into consideration whether they are a Veteran and/or individuals with barriers to employment:

- A person with a disability
- A person who has been incarcerated
- A person who is basic skill deficient
- A person who is homeless.

thus, LWIB 26 policy may provide a higher rate of reimbursement for individuals who will require more intensive training than individuals without barriers;

2) The size of the employer; LWIB 26 shall consider the size of the business based on the total number of 50 or fewer full-time employees at the location where the OJT will occur.

OJT training dollars are capped at $15,600 per employee. Special exceptions to this guideline must be approved in writing by the Southern 14 Workforce Investment Board, Inc.

The training should generally not exceed a total of 1040 full-time hours of actual training (the equivalent of full-time training for size (6) months). Special exceptions to this policy must be approved in writing by the Southern 14 Workforce Investment Board, Inc.

The training program should not be more than six (6) months in length as that indicated there may be too large a gap in the candidate's skill(s) level and employer needs.

The training length may exceed six (6) months if there are extenuating circumstances such as the lengthy illness, plant shutdown, holiday, etc.

The training program cannot be utilized to train new workers with the goal of laying off other employees

3) The quality of employer-provided training and advancement opportunities; and

a. Benchmarks of high-quality employer-provided training should include:
    a. Direct connection to in-demand skills;
    b. A structured learning plan;
    c. Training tied to skills that transfer beyond the employer (e.g., CNC machining, healthcare certifications);

d. A time-limited, defined training duration;
e. Measurable skill gains;
f. Employer investment;
g. A pathway to unsubsidized employment;
h. Wage and working conditions that meet standards;
i. Customer tracking; and
j. Documentation and accountability.

4) Other factors LWIB 26 determines to be appropriate, including but not limited to: the occupation of training, receipt of an industry recognized credential after training, the number of employees participating, the participant's work history, labor market conditions, hourly wage, fringe benefits, promotional opportunities, the career planner's overall training budget, etc.

b. An employee in OJT may work overtime hours, but overtime hours are not eligible for wage reimbursement. OJT Hours are not reimbursable toward regular orientations or training which are provided to all employees in a given job or worksite.

c. Funds provided to employers for OJT must not directly or indirectly assist, promote or deter union organizing.

d. WIOA funds may not be used to provide OJT if the business has relocated from a location that resulted in any employee losing his or her job at the original location. In this instance, the business would only be eligible for OJT after they have been operational at the current site for more than 120 days.

**OJT Monitoring and Evaluation**

1. Federal regulations require that each recipient and subrecipient of WIOA funds, including state agencies, Local Workforce Innovation Boards (LWIBs), and contractors, conduct regular oversight and monitoring of their programs and those of their subrecipients.
2. The Career Planner must conduct an initial on-site monitoring and/or desk review of the worksite within the first thirty (30) days after the customer begins work, with additional visits scheduled every thirty (30) days to ensure that goals are being met and adherence to this guidance and WIOA law and regulations. This tool is called the On The Job (OJT)/Work Experience (WEX) Local Monitoring Report.
3. The Service Provider will evaluate the OJT Worksite utilizing the Work Experience and OJT Pre-Award Survey. It is a pre-evaluation tool to determine the appropriateness of utilizing the worksite for OJTs. This task should be completed by the WIOA Program Manager/Service Provider before the start of the contract.
4. Monitoring: Service Providers, Career Planners, and the LWIB are required to perform monitoring of worksites to ensure compliance with project goals and adherence to WIOA law, policies and procedures.
    1. Service Provider Monitoring (WIOA Program Manager/Service Provider) should be completed first and is called the Work Experience and OJT Pre-Award Survey. This is a pre-evaluation tool used to determine the appropriateness of utilizing the worksite

for work experiences. This task should be completed by the WIOA Program Manager/Service Provider before the start of the contract.

2. Career Planner Monitoring should be completed every 30 days (or less) for the duration of the contract with the first Monitoring Report to be completed within 30 days of the start date of the contract. This tool is called the On The Job (OJT)/Work Experience (WEX) Local Monitoring Report.
3. LWIB File Monitoring should be completed 1 time after the end of the contract. This tool is called LWIB OJT File Monitoring.

5. An OJT contract may not be written with an employer or worksite that has previously demonstrated a "pattern of failure" as defined by the LWIB.
    1. Such failure may include failing to provide customers 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.
6. The OJT contract includes the process of removing a worksite that has not met its agreed-upon requirements for the OJT or has exhibited a pattern of failure. The OJT contract determines the following:
    1. What constitutes an employer "exhibiting a pattern of failure";
    2. Deficiencies or situations that occur within the work experience process;
    3. Corrective action interventions to be used; and
    4. Circumstances under which immediate termination of an agreement will occur.

**OJT Documentation (Definitions can be seen above)**

a. Service Provider OJT Procedure and File Checklist
b. Work Experience and OJT Pre-Award Survey
c. OJT Contract
d. Participant Orientation
e. OJT Outline/Plan
f. Universal Career Plan
g. OJT Progress Report and Invoice (mm.dd.yy-mm.dd.yy)
    a. Participant Time Sheets are included here in Section 4
    b. A copy of the invoice/pay stub must be submitted each pay period. This shows the OJT Trainee was paid. It will need to accompany the OJT Progress Report and Invoice for reimbursement purposes. This invoice/pay stub should match Section 4 of the OJT Progress Report and Invoice.
h. On The Job (OJT)-Work Experience (WEX) Local Monitoring Report
    a. Initial Report is completed within 30 days of the start of the OJT
    b. All other Reports are completed every 30 days (or less) for the duration of the contract.
i. LWIA Request for OJT Increase

a. As needed

j. Final Cost Report
   a. This will show the total hours worked and total amount paid and should come from the Service Provider Accounting Package.

# Service Provider OJT Procedure and File Checklist

- LWIB should be contacted by emailing boffice@so14lwib.com on or before the start of the OJT and provided with the First Name, Last Name, Customer Phone Number, Last 4 of Social, Worksite Name, Start and End Date, and Supervisor Name and Contact Information. Failure to comply will result in a monitoring finding.
- The OJT Participant should have the following UPLOADED in IWDS 2.0 in addition to all other WIOA file requirements:

| **Uploaded: Y/N/NA** | **DOCUMENT LIST FOR (Customer Name)_____** |
|---|---|
| | • ***Work Experience and OJT Pre-Award Survey***<br>  o Completed by Service Provider BEFORE any other documents can be completed<br>  o If participant is under 18 and there is no background check completed for the worksite's supervisor then a sex offender search is attached to the survey uploads |
| | • ***OJT Contract*** with modifications as needed |
| | • ***Participant Orientation*** |
| | • ***OJT Training Outline/Plan*** with modifications as needed<br>  o Job Description should be attached to the WEX Outline/Plan<br>  ▪ Job Description can be written with the Employer (see page 3 of OJT Training Outline/Plan for more information on how to do this)<br>  o Career Planner should establish "OJT SPECIFIC SKILLS TO BE LEARNED" on the OJT Training Outline/Plan Section 2. These will have estimated hours to learn skill, start and completion date and an assessment method |
| | • ***Universal Career Plan*** signed in IWDS 2.0 with modifications as needed |

| | |
|---|---|
| | • ***<u>OJT Progress Report and Invoice (REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE)</u>***<br>  ○ Submitted each pay period to the Service Provider and includes a copy of the invoice/pay stub for each pay period<br>  ▪ Note those dates are the REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE that is needed as part of the file naming for the file upload process that can be seen below in the HOW TO section below.<br>  ○ Section 1 and 3 MUST BE completed by Career Planner<br>  ○ Section 2,4, and 5 MUST BE completed by the Worksite Supervisor/OJT Provider<br>  ○ Section 3 of the OJT Progress Report and Invoice will evaluate those "OJT SPECIFIC SKILLS TO BE LEARNED" in Section 2 of the OJT Outline/Plan (please review those and transfer those exact skills to the WEX Progress Report). Again, this section MUST BE completed by the Career Planner<br>  ○ **VERY IMPORTANT**: SECTION 4 -Participant Time Sheets/Reimbursable Hours<br>  ▪ This is now the Participant Time Sheet<br>  ▪ A Running Total Each Pay Period Showing total hours worked and amount paid is found on page 4. This is to assist Service Providers with staying within established policy of no more than 1040 total hours over 6 months and no more than $15,600 spent per employee unless LWIA Request for OJT Increase has been approved and on file. |
| | • ***<u>On The Job (OJT)/Work Experience (WEX) Local Monitoring Report</u>***<br>  ○ Completed by Career Planner/Service Provider once per month for the duration of the contract.<br>  ▪ Can be done for your 30 day contacts<br>  ○ Initial On The Job (OJT)/Work Experience (WEX) Local Monitoring Report MUST BE completed within 30 days of the Start Date of the OJT. Monitoring findings will be issued if this is not completed within the time frame.<br>  ▪ Ex: Start 1/1 must be completed before 1/30 |
| | • ***<u>LWIA Request for OJT Increase</u>***<br>  ○ Only if needed |
| | • ***<u>Final Cost Report</u>*** from fiscal showing total hours worked and amount paid |

HOW TO UPLOAD:

1. In the Customer Profile select Access Case Management Tools
2. In the Quick Links Side Bar select Plan
3. Navigate to the OJT Service Line
4. Select the Eyeball (Action Item) to the right of the OJT Service Line
5. Scroll down and select the blue Add File button in the Service Files section
6. Select the blue Select File button
7. Navigate to the desired file to upload and select Open
8. In the Alternate File Name Box type the ***BOLD/ITALIC/UNDERLINED*** to match the document name listed above next to each bullet point for the desired file
    a. NOTE: take care to verify that the ***BOLD/ITALIC/UNDERLINED*** document name matches the list above. Failure to have the correct name will result in monitoring finding.
9. In the Document Type drop down select Other
10. If you have any notes such as updates or changes to the document, you can add this in the Notes section
11. Do #5-10 for EACH document listed above that is ***BOLD/ITALIC/UNDERLINED***

# Work Experience and OJT Pre-Award Checklist

| ☐ WEX | ☐ OJT |
|---|---|

## Section 1: Employer Information

*Complete the following Employer information.*

| | | |
|---|---|---|
| EMPLOYER LEGAL BUSINESS NAME: | FEIN #: | UBI #: |
| FORMER NAME(S) UNDER WHICH EMPLOYER CONDUCTED BUSINESS: | | |
| CONTACT PERSON: | TITLE: | |
| EMPLOYER ADDRESS: | | |
| CITY: STATE: | ZIP: | |
| TELEPHONE: EMAIL: | FAX: | |
| TYPE OF ORGANIZATION:<br>INDIVIDUAL ☐ PARTNERSHIP ☐ LIMITED LIABILITY CORPORATION ☐ FOR PROFIT ☐ | | |
| COMPANY NAICS CODE: | # OF CURRENT EMPLOYEES: | YEARS IN EXISTENCE: |
| IS THE BUSINESS BEING SOLD OR MERGING WITH ANOTHER COMPANY? YES ☐ NO ☐ | | |

## Section 2: Company Review

1) WARN notices have previously been filed or recent layoffs have occurred. Yes ☐ No ☐ N/A ☐

2) (OJT ONLY if WEX select N/A) The company has not exhibited a pattern of failing to provide OJT Trainees with continued long-term employment. Yes ☐ No ☐ N/A ☐

## Section 3: Meeting Federal Criteria

*Please check the appropriate response for the following Employer information.*

3) Company verifies WIOA funds will **not** be used to relocate operations in whole or in part. Yes ☐ No ☐

4) Company has operated at current location for at least 120 days. Yes ☐ No ☐

   a. If less than 120 days and the business was relocated from another area in the U.S and individual(s), were employees laid off at the previous location as a result of the relocation? Yes ☐ No ☐

5) (OJT ONLY if WEX select N/A) Company commits to providing long-term employment for successful OJT Trainees. Yes ☐ No ☐ N/A ☐

6) WIOA funds will **not** be used to directly or indirectly assist, promote or deter union organizing. Agree ☐ Disagree ☐

7) The Work Experience or OJT will **not** result in the full or partial displacement of employed workers. Yes ☐ No ☐

8) Trainee wages to be paid are at least equal to:
   a) The Federal, state or local minimum wage (Fair Labor Standards Act). Yes ☐ No ☐
   b) Other employees in the same occupation with similar experience. Yes ☐ No ☐

9) The employer will comply with the non-discrimination and equal opportunity provisions of the Workforce Innovation and Opportunity Act and its regulations. Yes ☐ No ☐

## Section 4: Youth Participants ONLY (Answer for Age 16-24, N/A for 25+)

***DOB_____ AGE_____***

10) Does this employer have:
   a) age appropriateness and level of exposure to work readiness and job skills suitable for Youth customers? Yes ☐ No ☐
   b) an appropriate level of supervision available for Youth customers? Yes ☐ No ☐

## Section 5: Youth Participants ONLY (Answer for Age <18, N/A for 18+)

DOB_____AGE_____

11. Is there a background check on file at the worksite for the supervisor? Yes ☐ No ☐
12. If the answer to 11 is No **AND** the customer is under the age of 18 please run a sex offender search at https://nsopw.gov and attach to the Pre-Award Survey

## Section 6: Signatures

### *Authorized Signatures*

I hereby certify that the above information is, to the best of my knowledge, true and correct.

EMPLOYER SIGNATURE:_____ DATE: _____

TYPE/PRINT NAME: _____ TITLE: _____

**The outcome of this pre-award interview:**

Employer meets all requirements of the WEX/OJT pre-award. YES ☐ NO ☐

SERVICE PROVIDER SIGNATURE:_____ DATE: _____

TYPE/PRINT NAME: _____ TITLE: _____

# PARTICIPANT ORIENTATION

As part of my participation in the WIOA program, I have received an orientation of the WIOA program including the following provisions:

1. Purpose of WIOA
2. Services available
3. Selection for program participation
4. Compensation to participants
5. Participant Responsibilities
6. Participant Rights & Grievance Procedures
7. Program Organization & Contact Person
8. Worksite Standards and Job Description
9. Hours, Wage, and Expectations

PARTICIPANT NAME_____DATE:_____

PROGRAM:_____

WORKSITE:_____

PARTICIPANT SIGNATURE: _____

CAREER PLANNER SIGNATURE: _____

# Request for OJT Increase

LWIA #26 Local Policy No. 24

Provider Name: _____ Career Planner: _____

Participant Name: _____ Program Title _____

WorkSite Name: _____

OJT Start Date: _____ OJT End Date: _____

Participant's Hours Worked To Date of Request: _____ Participant's Earnings To Date of Request: _____

Request (Extend End Date, Increase Training Limit etc…) _____

Specific Reason for Request and Benefit (s) to Participant:

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

LWIB Board Approval Date

_____ _____

Note: To be considered requests must include the modification of the Universal Career Plan in IWDS 2.0, OJT Contract, OJT Outline/Plan, OJT Progress Report , as well as other documention supporting the request.

# On-the-Job Training (OJT)/Work Experience (WEX) Local Monitoring Report

## OJT/WEX Information

Employer:

Employer FEIN:

Site Address:

City: State: ZIP:

Trainer/Supervisor:

Title: Phone:

Email:

Trainee: Reviewer:

Contract dates: From to Date of review:

## Monitoring Summary

| | | | | |
|---|---|---|---|---|
| Supervisor interview: | | Complete | Notes: | |
| Trainee interview: | | Complete | Notes: | |
| Reviewer report and observations: | | Complete | Notes: | |
| Technical assistance provided: | | Yes | No | Notes: |
| Corrective action required: | | Yes | No | Notes: |

## Trainee's Interview Sheet

1. **Training Plan**
   a. Do you have a copy of your Training Plan? Yes ☐ No ☐
   b. Does it match the job you are doing? Yes ☐ No ☐
   c. Are you receiving the type of training specified in the Training Plan? Yes ☐ No ☐

Comment(s):

2. **Supervision**
   a. Who is training you (i.e., your supervisor, co-worker, specialized trainer)?
   b. Who assigns your work?
   c. How much time does your trainer/supervisor spend with you during the day?
   d. Does your trainer/supervisor explain your assignments and give you help if needed? Yes ☐ No ☐
   e. Does your trainer/supervisor review your job performance with you? Yes ☐ No ☐
   f. Does your trainer/supervisor review the monthly progress reports with you? Yes ☐ No ☐

Comment(s):

3. **Time and Attendance**
   a. How many hours per week are you working?
   b. How much are you paid?
   c. How are your work hours tracked (e.g., sign-in, punch a clock)
   d. Are you paid regularly and in a timely fashion? Yes ☐ No ☐

Comment(s):

4. **General**
   a. Do you believe the training site is easily accessible, safe, and friendly? Yes ☐ No ☐
   b. Do you have any problems with your job? Yes ☐ No ☐
   c. Are you getting along with your co-workers and trainer/supervisor? Yes ☐ No ☐
   d. Is there anything particular you like or dislike about your job? Yes ☐ No ☐
      Comment:
   e. Is there anything else you would like to share with me about your experience? Yes ☐ No ☐
      Comment:

Comment(s):

## Supervisor's Interview Sheet

Supervisor interviewed:

Supervisor job title:

Interview date: Interview location:

1. **Training Plan**
   a. Do you have a copy of the contract? Yes ☐ No ☐
   b. Do you review the trainee's progress report with the trainee? Yes ☐ No ☐
   c. Do the trainee's work assignments comply with the Training Plan? Yes ☐ No ☐
   d. Is the Training Plan being followed? Yes ☐ No ☐
   e. How is the trainee's safety and well-being ensured?
      Explain:

Comment(s):

2. **Time Records**
   a. How are the trainee's work hours tracked? (Person monitoring should review current time card/sheets.)
      Explain:
   b. How would you describe the trainee's attendance and punctuality?
      Describe:
   c. What is the trainee's hourly rate of pay?

Comment(s):

3. **General**
   a. Is the trainee performing his/her work assignments satisfactorily? Yes ☐ No ☐
   b. Do you have any concerns about the trainee? Yes ☐ No ☐
   c. Do you have any concerns about the contract? Yes ☐ No ☐
   d. In general, are you satisfied with the contract? Yes ☐ No ☐

Comment(s):

## Reviewer Report and Observations

1. **Perception of Plant/Facility**
   a. Were all equipment, materials, etc. found in working order and in sufficient quality? Yes ☐ No ☐
   b. Were they up to date? Yes ☐ No ☐
   c. In your opinion, is the work/training site unsanitary, hazardous, or dangerous to the trainee's health or safety? Yes ☐ No ☐
   d. Is there sufficient space for training activities? Yes ☐ No ☐
   e. Are there any other health/safety issues? Yes ☐ No ☐
   f. If applicable, has appropriate accommodation been made for a trainee covered under the Americans with Disabilities Act? Yes ☐ No ☐

Comment(s):

2. **Training Content**
   a. Is the schedule being followed according to the contract? Yes ☐ No ☐
   b. If not, do the changes conform to the approved Training Plan and the total number of training hours specified in the contract? Yes ☐ No ☐
   c. Does the trainee's hourly wage match the contract? Yes ☐ No ☐
   If not, explain:

Comment(s):

3. **Attendance**
   a. Is there any attendance or punctuality issues? Yes ☐ No ☐
   If yes, what methods are being employed to address the issues?
   Explain:

Comment(s):

4. **Teaching Methods**
   a. Is the instructional method as described in the Training Plan being implemented? Yes ☐ No ☐
   b. Are the training hours as described in the training plan sufficient for each task? Yes ☐ No ☐
   c. Is the agreed-upon method of evaluation being used? Yes ☐ No ☐
   d. Is skill level being successfully attained? Yes ☐ No ☐
   e. Does the trainer appear motivated and competent? Yes ☐ No ☐
   f. Does the trainee appear attentive and interested? Yes ☐ No ☐
   g. Is native language of trainee spoken by trainer? Yes ☐ No ☐
   h. Is trainee paid in a timely fashion? Yes ☐ No ☐

Comment(s):

**5. Reports**

a. Is the employer submitting required monthly progress reports in a timely fashion? Yes ☐ No ☐

b. Is the employer submitting invoices in a timely fashion? Yes ☐ No ☐

c. If not, what corrective actions are in place to address this issue?
Explain:

Comment(s):

**6. WIOA Regulations Compliance**

a. Are any WIOA dollars being used for political activities? Yes ☐ No ☐

b. Are any WIOA dollars being used to aid or deter union organizing or collective bargaining? Yes ☐ No ☐

c. Are any WIOA dollars being used to promote any sectarian or religious activities? Yes ☐ No ☐

d. Are any WIOA trainees being charged any fees for any service? Yes ☐ No ☐

Comment(s):

**7. Summary**

Was technical assistance provided or necessary? Yes ☐ No ☐
If yes, explain:

Is corrective action required? Yes ☐ No ☐
If yes, explain:

Print/type reviewer name

Reviewer signature

Date

# LWIB OJT File Monitoring

| Y/N | Monitoring Questions |
|---|---|
| | Was LWIB contacted on or before the start of the OJT and provided with the First Name, Last Name, Customer Phone Number, Last 4 of Social, Worksite Name, Start and End Date, and Supervisor Name and Contact Information? |
| | Do all file uploads match the ***BOLD/ITALIC/UNDERLINED*** document name listed below? |

| Uploaded: Y/N/NA | **MONITORING DOCUMENT LIST FOR (Customer Name)_____** |
|---|---|
| | • ***Work Experience and OJT Pre-Award Survey***<br>  o Completed by Service Provider BEFORE any other documents can be completed<br>  o If participant is under 18 and there is no background check completed for the worksite's supervisor then a sex offender search is attached to the survey uploads |
| | • ***OJT Contract*** with modifications as needed |
| | • ***Participant Orientation*** |
| | • ***OJT Outline/Plan*** with modifications as needed<br>  o Job Description should be attached to the WEX Outline/Plan<br>  ▪ Job Description can be written with the Employer (see page 3 of OJT Training Outline/Plan for more information on how to do this)<br>  o Career Planner should establish "OJT SPECIFIC SKILLS TO BE LEARNED" on the OJT Training Outline/Plan Section 2. These will have estimated hours to learn skill, start and completion date and an assessment method |
| | • ***Universal Career Plan*** signed in IWDS 2.0 with modifications as needed |

| | |
|---|---|
| | • ***<u>OJT Progress Report and Invoice (REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE)</u>***<br>o Submitted each pay period to the Service Provider and includes a copy of the invoice/pay stub for each pay period<br>▪ Note those dates are the REPORTING PERIOD START DATE AND REPORTING PERIOD END DATE that is needed as part of the file naming for the file upload process that can be seen below in the HOW TO section below.<br>o Section 1 and 3 MUST BE completed by Career Planner<br>o Section 2,4, and 5 MUST BE completed by the Worksite Supervisor/OJT Provider<br>o Section 3 of the OJT Progress Report and Invoice will evaluate those "OJT SPECIFIC SKILLS TO BE LEARNED" in Section 2 of the OJT Outline/Plan (please review those and transfer those exact skills to the WEX Progress Report). Again, this section MUST BE completed by the Career Planner<br>o **VERY IMPORTANT**: SECTION 4 -Participant Time Sheets/Reimbursable Hours<br>▪ This is now the Participant Time Sheet<br>o A Running Total Each Pay Period Showing total hours worked and amount paid is found on page 4. This is to assist Service Providers with staying within established policy of no more than 1040 total hours over 6 months and no more than $15,600 spent per employee unless LWIA Request for OJT Increase has been approved and on file. |
| | • ***<u>On The Job (OJT)/Work Experience (WEX) Local Monitoring Report</u>***<br>o Completed by Career Planner/Service Provider once per month for the duration of the contract.<br>▪ Can be done for your 30 day contacts<br>o Initial On The Job (OJT)/Work Experience (WEX) Local Monitoring Report MUST BE completed within 30 days of the Start Date of the Work Experience. Monitoring findings will be issued if this is not completed within the time frame.<br>▪ Ex: Start 1/1 must be completed before 1/30 |
| | • ***<u>LWIA Request for OJT Increase</u>***<br>o Only if needed |
| | • ***<u>Final Cost Report</u>*** from fiscal showing total hours worked and amount paid |

LWIB Signature_____
Date_____

# INCUMBENT WORKER TRAINING (IWT)

Southern 14 Workforce Investment Board, LWIA #26

**PURPOSE**

In order to provide for a full continuum of training services to our business customers, Local Workforce Investment Area (LWIA) #26 will offer the Incumbent Worker Training program for Illinois businesses in the fourteen counties of Alexander, Edwards, Gallatin, Hamilton, Hardin, Johnson, Massac, Pope, Pulaski, Saline, Union, Wabash, Wayne, and White that make up Local Workforce Area (LWA) #26. Policies and procedures are established in accordance with state policy. Incumbent worker training helps employers upgrade the skills of their workforce in order to become and remain competitive in both regional and global markets. Incumbent Worker Training is therefore 'employer driven' and responds to changes in market conditions as well as the introduction of new technology into the workplace. The employer is the primary customer and beneficiary of the training. The purpose of this program is to assist businesses who have the need to train and re-train existing members of their workforce, and to enable the companies, as well as the employees, to remain competitive in the local regional economy. LWIA 26 will continue all WIOA required services using the LWIB's dislocated worker formula allocations. LWIA 26 will continue to meet its performance and expenditure benchmarks for dislocated worker formula allocations.

Funds available through Incumbent worker training projects can be utilized by a specific employer or a group of related employers in the following industries:

- Transportation and Warehousing
- Health Care and Social Assistance
- Retail Trade
- Manufacturing
- Accommodation and Food Services
- Arts, Entertainment, and Recreation
- Natural Resources an Mining, including logging
- Agricultural Production
- Green Jobs

**PROGRAM DESCRIPTION**

Incumbent worker training is defined as training designed to keep businesses and workers competitive by keeping workers employed, averting layoffs, upgrading workers' skills, increasing wages earned by employees, and improving employees' marketability.

- ~~Incumbent work training programs are for non-WIA eligible employees.~~
- Incumbent worker training activities must comply with all of the requirements of state policy.

**FUNDING CATEGORIES**

To apply for these funds, the incumbent worker training program should result in one or more of the following:

- Enhanced Employability
- Job Upgrades
- Increased Wages
- Increased Job Security

**ALLOWABLE ACTIVITIES**

Costs that are reasonable and necessary for the conduct of the training are allowable. Listed below are costs that may be reimbursed through the grant or used as the matching contribution.

a. Training Development;
b. Instructor Wages;
c. Tuition;
d. Training Materials and Supplies;
e. Fees Required to Complete Training;
f. Travel for Trainers and Trainees beyond normal commute;
g. Training Facility costs (off-site);
h. Training Facility costs (on-site);
i. Cost for use of Firm's Equipment During Training;
j. Wages of Trainees while in Training (matching costs only);
k. Fringe Benefits of Trainees while in Training (matching costs only); or
l. Fees for Technical or Professional certifications.

Trainee wages and fringe benefits while in training may be used to meet the employer's match requirement, but are not reimbursable costs to the WIOA grant. Supportive services, although not prohibited, are discouraged. Since incumbent Workers are employed, the need for supportive services underwritten with ~~WIA~~ WIOA funds is expected to be minimal.

**INCUMBENT WORKER ELIGIBILITY**

Only the employees of the specific businesses listed in the project plan who are to receive training related to a targeted occupation are part of the "eligible group". Therefore, all workers who receive incumbent worker training must be an incumbent worker based on this definition:

a) An individual (or group of individuals) with an employment relationship with a participating employer or group of participating employers in a targeted industry (as cited in the local plan), and

b) An Individual who is receiving upgrade training:

- To increase his or her skills in an occupation in which the individual is already an incumbent; or
- To prepare the worker for entry into a new occupation within the targeted workforce (i.e. the workforce of the participating employer or group of employers).

c) The primary customers for incumbent worker training services are the participating employers or group of employers, as cited in "a" above and may be locally defined. Such employers must be actively participating in a WIOA funded incumbent worker training program. And, such employers must be industry focused.

And must be:

- an adult, age 18 or older,
- authorized to work in the United States and compliant with military Selective Service requirements, if applicable.

**PROGRAM FUNDING**

Incumbent worker training is a collaborative effort between private and public resources. Therefore, it is expected that employers make some contribution to the overall program cost. Applications will be required to identify value of cash or in-kind contributions to the incumbent worker program and the costs must be reasonable.

The application should be filed prior to the actual training; however, payment will only be released upon receipt of the following items:

- Invoices and Proof of Payment
- Attendee List/Timesheets
- Proof of Training Completion for Incumbent Workers

**Matching**
Applications will require the identification of cash or in-kind contributions to the incumbent worker program and the costs must be reasonable. For projects involving an individual employer, the match will be:

The type of match, either in cash or in-kind, is fairly evaluated and follows the specified non-federal share (match) requirements below:
1) Ten percent (10%) of the cost, for employers with not more than fifty (50) employees;
2) Twenty-five percent (25%) of the cost, for employers with more than fifty (50) employees, but not more than one hundred (100) employees; or
3) Fifty percent (50%) of the cost, for employers with more than one hundred (100) employees.

In the event a project plan is submitted by a group of employers, the percentage of the non-federal share will be calculated using the formula as noted in state policy.

**APPROVAL PROCESS**
Project plans will be reviewed by the members of the Southern 14 Workforce Investment Board (So 14 WIB). The following criteria will be used in the evaluation process:

- Benefits to Target Industries
- Quality of the Training
- Benefits to Workers
- Appropriateness of Costs
- Matching Costs
- Non-duplication of past training programs
- Lay-off aversion 'at-risk' indictor(s) addressed by project.

*Applications will be processed on a first-come, first-served basis until all program funds are expended.*

**Before approval can be completed ALL of the following information must be submitted to the LWIB Office with NO EXCEPTIONS.*

1. Employer must complete **all fields** on Request for Incumbent Worker Training Funds Attachment A.
    a. Employer must provide all Required Employer Information from Attachment B.
2. Employer in conjunction with Employee must complete **all fields** on the IWTS Participant Form from Attachment C.
3. Training Provider must complete **all fields** and provide information regarding training that is required on the Required Training Courses Session Information from Attachment D.

**OJT**
For On the Job Training information see policy 24.

**"Equal Opportunity Employer/Program. Auxiliary aids and services are available upon request to individuals with disabilities."**

**ATTACHMENT A**

# REQUEST FOR INCUMBENT WORKER TRAINING FUNDS

**SOUTHERN 14 WORKFORCE INVESTMENT BOARD, INC.**

You may qualify for funding to offset the cost of training your current employees. If interested, please review the Policies & Procedures, complete the short application, and send it in. Someone from our office will contact you on the next steps. Small and large businesses are encouraged to apply.

Applying Business Name: _____

Contact Name: _____

Address: _____

City: _____ State:_____ Zip Code: _____

Telephone Number: _____ Fax: _____

E-mail Address: _____ (FEIN): _____

Total # employed fulltime by company _____ (UI Number):_____

Name of Training Program _____

Please include a narrative description for the following:

- Type of training
- Number of employees to be trained
- Justification of need for training
- Training dates
- Itemized Budget (i.e.: Training cost, books, fees, etc.)
- Layoff Aversion Indicator (Attachment D)
- Copy of training objectives/outline
- Employer match and other contributions
- Expected Outcomes
- Include wage amounts at completion and or promotions earned also future hiring expectations

_____ _____ _____

Signature of Company Official | Job Title | Date

**Please submit request to:**

**Southern 14 Workforce Investment Board, Inc.**
**P.O. Bo 186**
**Carmi Illinois, 62821**
**Or email**
**p.barbee@so14lwib.com**

"Equal Opportunity Employer/Program. Auxiliary aids and services are available upon request to individuals with disabilities."

**~~ATTACHMENT B~~**

# ~~INCUMBENT WORKER TRAINING PROJECT PLAN~~

~~Complete one (1) Project Plan Per Company~~

~~**DCEO Use Only**~~ ~~IWDS Project Number: _____~~

1. ~~Check whether the project is local or part of CSSI~~ ☐ ~~Local Project~~ ☐ ~~CSSI Project~~

## ~~Company Information~~

2. ~~Company Name: _____~~

3. ~~Project Name: _____~~

## ~~Company Contact Information~~

4. ~~Name: _____~~ 5. ~~Title: _____~~

6. ~~Organization: _____~~

7. ~~Telephone: _____~~ 8. ~~Email Address: _____~~

## ~~LWIA Contact Information~~

9. ~~LWIA Name: _____~~ 10. ~~LWIA Number: ____~~

11. ~~LWIA Contact Name: _____~~

12. ~~Telephone: _____~~ 13. ~~Email Address: _____~~

## ~~Project Description/Information~~ *~~(use the addendum if more space is needed for questions 14,15 & 18 below)~~*

14. ~~List the targeted industry(ies) and/or occupation(s) by sector:~~

| ~~Sector~~ | ~~Industry(ies)~~ | ~~Occupation(s)~~ |
|---|---|---|
| | | |
| | | |

15. ~~List the organization/companies involved in the project (briefly describe their roles):~~

| ~~Organization/Company~~ | ~~Role~~ |
|---|---|
| | |
| | |
| | |

**~~ATTACHMENT B~~**

# ~~INCUMBENT WORKER TRAINING PROJECT PLAN~~

~~16. Discuss the need for training and the expected benefits that will improve productivity (include the benefits such as opportunities for 'backfill', strengthens business relations, etc.):~~

| |
|---|
| |

~~17. Describe the type and quality of training to be provided through this project (must be job specific):~~

| |
|---|
| |

~~18. Describe the key project activities along with a projected start and end date:~~

| ~~Activities~~ | ~~Projected Start Date~~ | ~~Projected End Date~~ |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

~~19. What is the budget for the training portion of this project? (Do not include employee wages or other match):~~

| |
|---|
| |

~~20. Describe how the employer match will be provided ( include source, amount and commitment):~~

| |
|---|
| |

~~21. How many workers will be trained and obtain upgraded skills and/or jobs? (As applicable, include credentials obtained, jobs to be created or retrained, wage increases and the number to move into any targeted jobs):~~

| |
|---|
| |

~~July 2007~~

**~~ATTACHMENT B~~**

# ~~INCUMBENT WORKER TRAINING PROJECT PLAN ADDENDUM~~

~~Use this page if additional space is needed for questions 14,15, & 18.~~

~~14. List the targeted industry (ies) and/or occupation(s) by sector:~~

| ~~Sector~~ | ~~Industry(ies)~~ | ~~Occupation(s)~~ |
|---|---|---|
| | | |
| | | |
| | | |
| | | |

~~15. List the organization/companies involved in the project (briefly describe their roles):~~

| ~~Organization/Company~~ | ~~Role~~ |
|---|---|
| | |
| | |
| | |
| | |
| | |

~~18. Describe the key project activities along with a projected start and end date:~~

| ~~Activities~~ | ~~Projected Start Date~~ | ~~Projected End Date~~ |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

~~July 2007~~

**~~ATTACHMENT C~~**

# ~~Incumbent Worker Training Quarterly Report~~

## ~~Complete one (1) Quarterly Report Per Company~~

~~DCEO USE ONLY IWDS Project Number:~~

~~1. Check whether the project is local or part of CSSI ☐ Local Project ☐ CSSI Project~~

## ~~Company Information~~

~~4. Company Name:~~ _____

~~5. Project Name:~~ _____

## ~~Company Contact Information~~

~~4. Name:~~ _____ ~~5. Title:~~ _____

~~6. Organization:~~ _____

~~7. Telephone:~~ _____ ~~8. Email Address:~~ _____

## ~~LWIA Contact Information~~

~~9. LWIA Name:~~ _____ ~~10. LWIA Number:~~ ____

~~11. LWIA Contact Name:~~ _____

~~12. Telephone:~~ _____ ~~13. Email Address:~~ _____

## ~~Project Status~~

| ~~Overall Project Status~~ |
|---|
| ☐ ~~On Schedule~~ ☐ ~~Ahead of Schedule~~ ☐ ~~Behind Schedule (explain in #17)~~ ☐ ~~Need Assistance (explain in #21)~~ |

| ~~14. **Project Overview** (briefly, provide an overview of the targeted sector, industry, occupation and partners involved in the project):~~ |
|---|
| |

| ~~15. **Outcomes Achieved this Quarter** (list below in dot point format, progress toward or outcomes achieved over the past three months):~~ |
|---|
| |

| ~~16. **Progress During this Quarter** (discuss major project activities undertaken during the reporting period):~~ |
|---|
| |

~~July 2007~~

**~~ATTACHMENT C~~**

# ~~Incumbent Worker Training Quarterly Report~~

| ~~17. **Obstacles/Barriers to Implementation** (discuss any obstacles that may have prevented or impeded the implementation of training):~~ |
|---|
| |

| ~~18. **Benefits to Industries and Workers** (discuss the benefits seen by both the employer and employees that have occurred this quarter):~~ |
|---|
| |

| ~~19. **System Entry (IWDS & GRS):~~ | |
|---|---|
| ~~Expenditures have been entered into GRS~~<br>~~☐ Yes ☐ No~~ | ~~Employer Serve Record has been entered into IWDS~~<br>~~☐ Yes ☐ No~~ |
| ~~If no to either, please explain:~~ | |

~~20. **Training Completed – Program Year (July 1, - June 30, )~~

| ~~**Incumbent Worker Data**~~ | ~~Quarter Plan~~ | ~~Quarter Actual~~ | ~~Quarter Plan~~ | ~~Quarter Actual~~ | ~~Quarter Plan~~ | ~~Quarter Actual~~ | ~~Quarter Plan~~ | ~~Quarter Actual~~ |
|---|---|---|---|---|---|---|---|---|
| ~~Number who completed training~~ | | | | | | | | |
| ~~Number that received upgraded skills~~ | | | | | | | | |
| ~~Number moved into target jobs~~ | | | | | | | | |

~~**NOTE**: Attach the completed **Incumbent Worker Tracking Summary** to this Quarterly Report~~

| ~~21. Comments, Questions and Requests for Technical Assistance (Include comments/observations, questions and requests for technical assistance):~~ |
|---|
| |

~~July 2007~~

**ATTACHMENT D**

## Incumbent Worker Training Requirements
## Layoff Aversion 'At-Risk' Indicators

Below are some of the 'at-risk' indicators Illinois has identified to determine if a business is in need of intervention. In many cases, more than one 'at-risk' indicator will apply or overlap between the indicators may occur.

***Declining sales*** - A company has undergone or will undergo (must be confirmed) a significant loss in sales that puts part of their workforce in threat of layoff. Declining sales must be expressed in terms of X dollars or Y units for Z period of time (months or years) along with information that provides known or suspected reasons for the decline. When determining if a decline in sales is the cause of a potential layoff, have considerations been given to the industry as a whole, is the decline a percentage of the market, ahs product quality, production delays, or pricing contributed to the decline in sales, etc.

***Supply chain issues*** - A company loses a supplier or consumer that threatens the employment of part of their workforce, or acquired a new supplier that requires new skills to maintain the workforce. Supply chain issues must be accompanied by an explanation as to why the change occurred, whether it was the supplier's choice to end the relationship or the company's decision to order from a different firm. When determining whether a supply chain issue will contribute to a potential layoff, have considers been given to other suppliers' ability to provide same or like products, has the company considered alternative product(s) production and sales that would not require retaining of staff or layoff, can the new training required be conducted by the new supplier, etc.

***Adverse industry/market trends*** - The industry/market standards have changed to the point where new training is needed to retain the current workforce. Adverse industry or market trends are an occurrence that is from no fault of the prospective company. These may be the result of higher standards of construction materials, safety standards, or other factors that requires a change in the methods a product may be produced or materials that may be included in the construction. When considering whether adverse trends may cause a potential layoff, has the company consulted with industry experts to determine if assistance is available to assist with upgrades to the manufacturing process or employee knowledge, contacted other companies in the industry to share upgrades in skills training or equipment, etc.

***Changes in management philosophy or ownership***. - A company has undergone a new approach to conducting business or new ownership requires new skills to maintain the employment of part of the workforce. Changes in ownership are generally the result of lack of profitability, but may also occur where a company is profitable, but not profitable enough (this level of profit may meet the profit requirements of another owner) or the current owners don't have the resources to take advantage of new business strategies. An owner may also pass away unexpectedly without a succession plan in place. New or changes in philosophies will generally accompany new ownership. Changes in philosophy may also occur when operations not longer meet their core business application or are viewed as excess capacity to their overall operations When considering changes in ownership or philosophy as the cause of a potential layoff, has new ownership been determined (including such options as employee stock ownership plans), have alternatives been considered in the restructuring of the company that might reduce the number of layoffs, have community groups and labor organizations been involved in the discussions to lend their expert advice, etc.

**Worker does not have in-demand skills** - A worker's skills or functions are not longer 'in-demand' and they are at risk of losing their employment with the company without undergoing new training and acquiring new skills. A lack of in-demand skills may be the result of a change in philosophy or product line or a change in the industry demands that results in the need for new technologies and abilities by the current workforce. Products and productions lines are ever changing as they adapt to the needs of the market. With these changes comes a need for evolving of the skill set of the workers. When considering if the lack of in-demand skills is the cause of potential layoffs, has it been determined which workers have the ability to attain new in-demand skills, are there other considerations to be made with an increase in in-demand skills such as new equipment/machinery needs or safety devices, etc.

***Strong possibility of a job if a worker attains new skills*** - The workers are in a position that is subject to layoff, and by acquiring new skills training he/she can move into a position that is not subject to lay-off. New skills attainment may avert layoff for individuals within a company or may make them more attractive to other companies. When considering whether the new skills will provide a string possibility to prevent layoffs, what considerations have been given towards where the position would be moved (in-house or with a new company), does the company have the capacity to expand another line of product (new or existing) to support the workers subject to layoff, has the business community shown a need and capacity for additionally trained workers, are the workers willing to relocated if the new opportunities are with another location of the same company or with a new company in different locale, etc.

***Other 'at-risk' indicators*** - Additional causes for potential layoffs may exist that the company and local area need to outline in make a case for assistance for incumbent workers. These may be other criteria that the LWIA can gather with the consultation of the employer that puts part of their workforce 'at-risk' for layoff (e.g., trend in company layoffs).

The following information will be needed for employers whose employees will be receiving incumbent worker training.

**Note There is a limit of 1 employer per plan. You will have the same number of plans under your grant than you do employers. You can initialize these grants as needed. You can also clone a plan by selecting the "Add an Additional Project for this Grant" button located at the top of the project detail page.

If you select and employer who has been associated with another project you will be prompted to get approval from Commerce. After you submit the request your project will remain in an "On Hold" status until approved. Then your project will be unlocked and you will be able to continue entering contacts and worksites, and other project information.

## Organization Information

- Employer/Business Name
- Street Address
- City
- State
- ZIP Code
- Phone Number
- Agency Type (Select one of the following):
    - Adult Education Center
    - Association
    - Business
    - Community Based Organization
    - Community College
    - Faith Based Organization
    - Foundation
    - Government Entity
    - Hospital/Nursing Home
    - Illinois workNet Center
    - Labor Union
    - Other
    - Other School
    - Proprietary School
    - Public/Private University or College
    - Public Secondary School
- Employer Industry
- Federal Employer ID Number (FEIN)
- UI Account Number

- Is this location also a work site (where employees who will be training report to work on a routine basis)?
- Owner's Ethnicity and Female Owned Business:
    - White
    - Black
    - Hispanic
    - American Indian or Alaskan Native
    - Asian
    - Hawaiian or Pacific Island
    - Prefer Not to Answer
    - Female Owned
- Enter the match as a dollar amount contributed.
- How the employer match will be provided.
- Enter the total number of employees at this location.
- Enter the total number of employees at this location that will receive training.
- Provide a meaningful description of the impact of this training at this job site.

## Contacts

- At minimum, identify a primary contact.
    - First Name
    - Last Name
    - Contact Type (Primary or Secondary Contact)
    - Email Address

## Work Sites

Identify all of the specific work sites where the incumbent workers that will receive training go to work each business day.

- Employer/Business Name
- Street Address
- City
- State
- ZIP Code
- Phone Number
- Agency Type
- Enter the total number of employees at this location.
- Enter the total number of employees at this location that will receive training.
- Provide a meaningful description of the impact of this training at this job site.

workNet CENTER
americanjobcenter

*This is information needed for **each participant** and entered in the Illinois workNet Incumbent Worker Tracking System.*

## Training Program Information

| | | |
|---|---|---|
| Company Name: | | Date: |
| Participant Last Name: | First Name: | Middle Initial: |
| Job Title: | | Wage: |
| SSN: | Birth Date: | ZIP Code: |
| Email: | | Date Hired: |

## Private Information

| | | |
|---|---|---|
| **Gender**:<br>☐ Male ☐ Female<br>☐ Prefer Not to Answer | **Race/Ethnicity**: ☐ American Indian or Alaskan Native<br>☐ Asian ☐ Black ☐ Hawaiian or Pacific Islander ☐ White ☐ Hispanic<br>☐ Prefer Not to Answer | |
| **Disability**:<br>☐ Yes ☐ None | If **Yes**, complete the following:<br>**Disability Status:**<br>☐ Developmental Disability<br>☐ Disability Affecting Employment<br>☐ Learning Disability<br>☐ Prefer Not to Answer | **Category of Disability:**<br>☐ Physical Impairment<br>☐ Mental Impairment<br>☐ Both |
| **Veterans Status:**<br>☐ Yes ☐ No | If **Yes**, complete the following:<br>☐ Qualified Spouse of a Veteran<br>☐ Transitioning Service Member ☐ Prefer not to Answer Veteran | |
| **Education Level:** | ☐ In Secondary School or Equivalency Program<br>☐ Secondary School Graduate or Equivalent<br>☐ Completed 1 or More Years of Post-Secondary Education<br>☐ Post-Secondary Certification, License, or Educational Certificate (Non-Degree<br>☐ Associates Degree<br>☐ Bachelor's Degree<br>☐ Advanced Degree Beyond Bachelor's Degree | |

**To Be Completed by Employer**

| | | |
|---|---|---|
| **Will Training Upgrade Occupation?**<br>☐ Yes ☐ No | **Outcome Occupation/Job Title:** | **Wage Increase:** |
| **Employment Status :**<br>☐ Yes ☐ No | ☐ Employed ☐ Not in Labor Force ☐ Unemployed<br>☐ Received notice of termination/Military Separation ☐ Not Employed | |

Training Course and Session Information Required for the Incumbent Worker Tracking System
February 8, 2015

The following information will be needed for each training course for the Incumbent Worker Tracking System.

**Training Course**

- Course Title
- Course Description
- Provider Name
- Credentials Earned Through Completing the Course
- Classification of Instructional Programs (CIP) Code for Each Course – The codes are selected from a CIP Code search.

**Training Course Sessions**

- Session Start Date
- Session End Date
- Session Title
- Instructor's First Name
- Instructor's Last Name
- Instructor's Phone Number
- Instructor's Email
- Course Location Name
- Address
- City
- State
- ZIP Code
- Repeat for Multiple Sessions of the Same Course

# TRAINING PROVIDER AND TRAINING PROGRAM ELIGIBILITY ~~SERVICES PROVIDER REQUIREMENTS~~

Southern 14 Workforce Investment Board, Inc. LWIA #26

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The Southern 14 Workforce Investment Board, Inc. and its service providers shall use the most current Department of Commerce WIOA Policy Letters and Notices for WIOA Title I Training Provider and Program Certification.

Policies may be found on https://apps.illinoisworknet.com/WIOAPolicy/Policy/Home.

The most up to date ETPL List can be found at https://www.illinoisworknet.com/Training/Pages/WIOATrainingProgramSearch.aspx.

Southern 14 Workforce Investment Board, Inc. will follow the Monitoring and Oversight E-Policy listed at 7.2.2.15.

# SUPPORTIVE SERVICES POLICY

Southern 14 Workforce Investment Board, Inc, LWIA #26

For purposes of the provision of supportive services to participants enrolled in career services and/or training the Southern 14 Workforce Investment Board, Inc. shall use the definition of 'supportive services' as contained in the Workforce Innovation and Opportunity Act. This definition is as follows: the term *'supportive services means services such as transportation, child care, dependent care, housing, and needs-related payments, that are necessary to enable an individual to participate in activities authorized under the Workforce Innovation and Opportunity Act'.* The intent of Supportive Services is to provide participants with key assistance necessary to successfully engage in WIOA career and training activities such as a traditional classroom or work-based training that are vital to entering or re-entering the workforce.

## Participant Eligibility

Supportive services will only be provided to individuals who are participating in career or training services, including work-based training, and are unable to obtain supportive services through other programs providing such services. Supportive services will only be provided when they are necessary to enable individuals to participate in WIOA Title I activities. All requests for services must be substantiated and must further the employment goal for that participant.

All supportive services will be determined on an individual basis and provided based upon the availability of funds.

Supportive Services will be offered to students attending online classes on a limited basis with prior approval from the Southern 14 Board or the Southern 14 Executive Director. Requests will be considered on an individual basis and should be submitted, by the Agency's WIOA Director in writing, along with documentation justifying the need for the supportive service. Documentation justifying the need should include verification of attendance from the instructor, as well as the need for or benefit to the participant. A request without sufficient documentation will not be processed.

## Child Care

Child care, if determined necessary per the local entities, will be reimbursed at the following rates:

- When Child Care Resources are obtained, LWIA #26 will pay the copay to a maximum of $250/ month. When Child Care Resources are not obtained, LWIA #26 will pay, per child: 1-2 hours, **$10.00**; 3-4 hours, **$15.00**; 5-7 hours, **$20.00**; over 7 hours, **$25.00** (excluding payment to a parent or step-parent of children, or persons residing in the household).

- The child care reimbursement rate may be increased or reduced to a lower rate by a service provider, for participants within their contracted counties.

- LWIA 26 will not pay more than the usual and customary rate charged to privately

paying customers.

- Participants must submit a copy of their childcare provider's fee schedule which will be maintained in the participant's file. Participant's inability to obtain Child Care Resources will be documented with case notes and maintained in the participant's file.

- Requests for payment will include attendance sheet(s) with appropriate signatures. Requests not received in a timely manner may be subject to non-payment.

**Transportation**

Recognizing the individual nature among approved Service Providers, the following mileage reimbursement is allowable for training and/or required job search:

- Reimbursement amount for automobile travel will be based on of the mileage rate established by the Federal Government (General Services Administration).
    - Mileage rate may be capped, increased or reduced to a lower rate by a service provider, for participants within their contracted counties. However, any increase shall not exceed the current standard mileage rate established by the Internal Revenue Service. The Board Office should be notified within 60 days of any increase or decrease in the rate utilizing the Request for Mileage Reimbursement Change Form.
- Mileage reimbursement shall be allowable only for authorized travel.
- Requests for payment will include attendance sheets with appropriate signatures. Documentation will be maintained in the participant's programmatic and/or fiscal file.
- To receive mileage reimbursement, participants must provide documentation showing; proof of vehicle insurance, valid driver's license, and vehicle registration. If the vehicle is owned by someone other than the participant, evidence of permission to use the vehicle must be provided.
- Requests not received in a timely manner may be subject to non-payment.
- For participants residing in any of the 14 counties comprising LWIA #26 and eligible to receive TAA(Trade) benefits; mileage will be reimbursed using the eligibility criteria and at the per-mile rate mandated by the TAA.

**Other Supportive Services**

In addition to those listed above, other supportive services may be provided to enable individuals to participate in career or training services, such as traditional classroom and or work-based training. WIOA supportive services should not be used for general income support purposes for individuals not participating in career or training services. Examples of allowable supportive services for WIOA title I participants may include but are not limited to:

- Transportation assistance such as public transportation cost, private vehicle insurance, and repair;
- Linkages to community services and health care;
- Assistance with housing and legal aid services;
- Assistance with educational testing;
- Assistance with books, fees, school supplies, including computer and other electronic equipment, as well as other necessary items for students enrolled in postsecondary education classes;
- Reasonable accommodations for individuals with disabilities;
- Assistance with uniforms and other appropriate work attire, as well as work-related tools, including such items as eyeglasses, protective eye gear, and other essential safety equipment;
- Payments and fees for employment and training-related applications, tests, and certifications;

All requests for services must be substantiated and must further the employment goal for that participant.

**Documentation**

Proper justification for any purchase under this policy must be documented in the case notes of the participant, showing support for that participant's Universal Career Plan ~~Individual Employment Plan (IEP) or Individual Service Strategy (ISS)~~. Case notes will also include statements supporting attempts to obtain funding to meet participants' need(s) through other sources.

**Computer, Software, and Other Electronic Devices**

Computer, software, and other electronic devices **REQUIRED** for the training program may be reimbursed as other supportive services if all of the following are met:

- Documentation supporting the need for the computer or other electronic devices, such as course syllabus or letter from the instructor indicating the need. If specific software is also required it should be included in the supporting documentation.
- Prior Authorization is required for reimbursement of both the computer and other electronic devices, as well as the required software.
- Participants will not be reimbursed for the purchase of computers or other electronic devices if the training institute provides the opportunity to borrow or rent the necessary equipment.
- Reimbursement for a computer or other electronic equipment is limited to $500 per participant and must include the original signed receipt.
- Reimbursement for required software is limited to $250 per participant and must include the original signed receipt.
- A signed copy of the agreement listed below is required before the reimbursement is made and must be maintained in the participant's file.

For purchased computers, software and other electronic devices students must agree to the following:

I, _____, understand that I am being provided with a computer, software, and other electronic devices through the WIOA Title I funding administered by the Southern 14 Workforce Investment Board, Inc. because it is a requirement of my program as documented by my training institution. I further certify that my training institution does not offer a lending or rental program for the required computer, software, or other electronic devices.

I am also aware that once I take possession of this computer, software, and other electronic devices, I am responsible for all required updates, repairs, and/or damages to the device. I also understand that this device becomes my property and WIOA Title I, administered by the Southern 14 Workforce Investment Board, Inc. or its sub-recipients (_____) holds no ownership rights to this device. Should the device become damaged/stolen, my responsibility to fix or replace it to meet the requirements to complete the course. I realize that the cost associated with the device is my responsibility and that WIOA will not pay for internet service.

Student Signature: _____ Date: _____

Career Planner Signature: _____ Date: _____

## Youth Stipends & Incentives

The Workforce Innovation and Opportunity Act (WIOA) 20 CFR 681.640 states that incentive payments to youth participants are permitted for recognition and achievement directly tied to training activities and work experiences. This policy governs the award of incentive for youth participants. The policy will be implemented provided WIOA funds are available and incentives are allowable and be in effect indefinitely or until it is superseded by another policy. Incentive awards can be reduced or modified based on availability of funding and/or administration decision.

Incentive payments:

- Are NOT considered to be supportive services and therefore do not trigger or extend participation in the youth program.
- May be provided to both In-School Youth (ISY) and Out-of-School Youth (OSY) as long as they comply with WIOA, but may not be funded with Workforce Innovation and Opportunity Act (WIOA) Adult or Dislocated Worker program funding.
- May leveraged non-WIOA funds for incentives that WIOA cannot fund, however if made with non-WIOA leveraged funds may not be used towards the twenty (20) percent youth work experience requirement.
- Are NOT allowed during follow-up services.

## Work-Based Learning and Workshop Compleation Incentive

This incentive policy applies to WIOA youth clients participating in WIOA Work-Based Learning programs and participating in all required workshops. Youth incentive will be based on successful completion of required workshops as outlined in the participant's Universal Career Plan ~~Individual Service Strategy (ISS) or Work Experience Individual Employment Plan~~. The maximum incentive a youth can receive is $250 for successful completion of all required workshops and work-based learning components. Successful completion is defined as completion all workshop expectations, including but not limited to 95% actual attendance, active class participation, knowledge of and completion of class materials (as demonstrated by pre and post-test scores) and successful completion of work-based learning assignments. Workshop attendance and punctuality will be documented by timesheets on which the client will sign in and out daily. The timesheet must be completed and signed by the client and the workshop facilitator. Virtual workshops will be verified and documented by the career planner. Class participation and completion of class material will be documented by the workshop facilitator.

To be eligible to receive any incentive, youth must maintain required monthly contact with career planner, as well as demonstrating progression in the work-based learning component outlined in the participant's Universal Career Plan ~~Individual Service Strategy (ISS) or Work Experience Individual Employment Plan~~. Progression will be documented by the worksite supervisor and the career planner through submission of timesheets, monthly evaluations, and skill progression.

## Classroom-Based Stipends for Youth

At a minimum, stipend policies should be based on the following components:

(1) Stipends are allowable expenditures for unpaid work experience when the provision of a stipend is included in the individual service strategy.

(2) Calculate the stipend by multiplying class hours times minimum wage less FICA and Medicare, (for example 7 hours x ($8.00-(8.00 x .0765)) = $51.73).

(3) Successful participation in and completion of the classroom-based activity must occur for the stipend to be paid. Stipend pay should reflect the current minimum wage as regulated by the Internal Revenue Service. The stipend may be increased or reduced to a lower rate by the service provider but should reflect no less than the current minimum wage or as dictated by the grant.

(4) The maximum incentive a youth can receive is $250.

(5) To be eligible to receive stipends, youth must maintain required monthly contact with career planner, as well as demonstrating progression in the work-based learning component outlined in the participan's Universal Career Plan ~~Individual Service Strategy (ISS) or Work Experience Individual Employment Plan~~. Progression will be documented by the worksite supervisor and the career planner through submission of timesheets, monthly evaluations, and skill progression.

**High School Diploma/GED Incentive for Youth**

Once the individual receives their High School Diploma/GED they will be eligible to receive a one-time incentive of $50.00. The ROE, School Contact Person, Service Provider, Career Planner, or participant will obtain proof of the Diploma/GED and let the appropriate Service Provider know of the attainment of the incentive for processing the check.

# Request for Mileage Reimbursement Change

LWIA #26 Local Policy No. 15

Provider Name: _____ Current Reimbursement: _____

Current GSA: _____ Proposed Reimbursement: _____

**Transportation**

**Recognizing the individual nature among approved Service Providers, the following mileage reimbursement is allowable for training and/or required job search:**

- **Reimbursement amount for automobile travel will be based on of the mileage rate established by the Federal Government (General Services Administration).**

- **Mileage rate may be capped, increased or reduced to a lower rate by a service provider, for participants within their contracted counties. However, any increase shall not exceed the current standard mileage rate established by the Internal Revenue Service. The Board Office should be notified within 60 days of any increase or decrease in the rate utilizing the Request for Mileage Reimbursement Change Form.**

Specific Reason for Request

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

LWIB Board Approval Date

_____ _____

# ADULT NEEDS-RELATED PAYMENTS POLICY

Southern 14 Workforce Investment Board, Inc. LWIA #26

Title I-A funds allocated to the 14 counties of the Southern 14 Workforce Investment Board Area 26 may be used, if available, to provide needs-related payments to participants in accordance with the approved local plan, as appropriate. Needs-related payments shall be provided to a customer only in order to enable such customer to participate in training or education programs under this program. To be eligible for needs-related payments a customer must meet the following guidelines per WIOA Section 133(b)(2)(B):

## DEFINITIONS

Adult: An individual who is age 18 or older.

Needs Related Payments: Financial assistance to participants for the purpose of enabling individuals to participate in trainings and is one of the supportive services authorized by WIOA Section 133(b)(2)(B)

Unemployed Individual: An individual who is without a job and who wants and is available for work. The determination of whether an individual is without a job shall be made in accordance with the criteria used by the Bureau of Labor Statistics of the Department of Labor in defining individuals as unemployed.

Supportive Services: Customer services for dislocated workers that are necessary to enable WIA eligible individuals, who cannot afford to pay for such services, to participate in authorized WIA activities. Such services include but are not limited to transportation, vehicle insurance and repairs, clothing and shoes, child and dependent care, referrals to medical services (payment of medical services such as physicals or shots when related to training or employment), eye glasses and dental procedures, linkages to community services, housing and utility assistance.

## POLICY

A. Eligibility NRPs are not intended to meet all needs of a worker enrolled in training and are limited to workers who need assistance to complete their long-term training plans.

   1. Adult Eligibility: to be eligible for NRPs, an Adult must:
      a. Be unemployed;
      b. Not qualify for Unemployment Insurance compensation (UI); and,
      c. Be enrolled in a program of training services under WIOA Section 134 (c) (3)

   2. If these eligibility requirements are met, individuals may be awarded NRPs from WIA funding prior to the start date of training classes for the purpose of enabling them to participate in programs of employment and training services that begin within thirty (30) calendar days.

   3. The Bureau of Workforce Development (BoWD) may authorize local areas to extend the thirty-day grace period to address appropriate circumstances.

B. Payment Determination

   1. The level of NRPs made to Adults may not exceed the equivalent weekly amount of the LWIA's annual 100% LLSIL for a family of one.

C. Administration and Oversight

Listed below are the requirements on how documentation and payments for Adult NPR should be handled by each service provider in LWIA 26.

1. LWIA 26 service providers for adult services are required to maintain the following documentation on each eligible NRP recipient:

   a. A copy of a UI entitlement decision or confirmation of UI benefits being exhausted;
   b. A copy of request for training classes for each period of training (quarter, semester, block, class, etc.);
   c. Verification of enrollment/registration, participation, grades, and completion of training classes (confirmation from Registrar's office and course instructor);
   d. A signature by the participant attesting to his/her understanding of NRP requirements and instructions;
   e. All eligibility determinations must be documented; and
   f. A comprehensive reporting system of all NRPs.

D. Fraud

1. To prevent fraudulent payment activity LWIA 26 service providers must:
   a. Perform a cross check with UI to ensure that participants are not receiving UI, State Training Benefits, TRA, and NRPs at the same time;
   b. Verify training participation before payments are authorized; and,
   c. Report fraud when discovered to begin the collection process from appropriate sources.

2. In the event of the discovery of fraudulent activity, all payments to the fraudulent party will cease and all funds paid will be recovered.

3. All cases of fraud or suspected fraud will be forwarded to the appropriate legal authorities for prosecution per WIA Policy Letter No. 06-PL-28.

4. NRPs have been classified as non-taxable income by the Internal Revenue Service (IRS).

E. Verification Forms

LWIA 26 service providers should use the attached NEP Analysis Form #001 and NRP Weekly Verification of Income & Training Form #002 for each adult client who received NRP's.

**I have read, understood and agree to comply with the policies for Needs Related Payments.**

_____

**Participant Signature** **Date**

To Be Complete By LWIA Career Planner

I have reviewed these policies with the participant, have determined their eligibility to receive Needs Related Payments and have explained the procedures for collecting Needs Related Payments.

Career Planner Signature Date

# DISLOCATED WORKER NEEDS-RELATED PAYMENTS POLICY

Southern 14 Workforce Investment Board, Inc. LWIA #26

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Funds allocated to the 14 counties of the Southern 14 Workforce Investment Board, Inc. may be used, if available, to provide needs-related payments to participants in accordance with the approved Local plan, as appropriate per **WIOA Section 133(b)(2)(B)**. Needs-related payments shall be provided to an eligible dislocated worker only in order to enable such worker to participate in training or education programs under this program. NRPs are not intended to meet all needs of a worker enrolled in training and are limited to workers who need assistance to complete their long-term training plans. To be eligible for needs-related payments participants must meet the following guidelines:

## DEFINITIONS:

**Dislocated Worker:** An individual who has been terminated or laid off, or who has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise; is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days.

**Needs Related Payments:** Financial assistance to participants for the purpose of enabling individuals to participate in trainings and is one of the supportive services authorized by **WIOA Section 133(b)(2)(B)**

**Unemployed Individual:** An individual who is without a job and who wants and is available for work. The determination of whether an individual is without a job shall be made in accordance with the criteria used by the Bureau of Labor Statistics of the Department of Labor in defining individuals as unemployed.

**Supportive Services:** Such services include but are not limited to transportation, vehicle insurance and repairs, clothing and shoes, payment of medical services such as physicals or shots when related to training or employment, eye glasses and dental procedures, linkages to community services, housing and utility assistance. These services can be provided to eligible individuals who cannot afford to pay for such services to participate in authorized WIOA activities.

## POLICY

(A) IN GENERAL. Funds allocated to a local area for adults under paragraph (2)(A) or (3), as appropriate, of section 133(b), and funds allocated to the local area for dislocated workers under section 133(b)(2)(B), may be used to provide needs-related payments to adults and dislocated workers, respectively, who

1. are unemployed and do not qualify for (or have ceased to qualify for) unemployment compensation for the purpose of enabling such individuals to participate in programs of training services under subsection (c)(3).

(B) ADDITIONAL ELIGIBILITY REQUIREMENTS. In addition to the requirements contained in subparagraph (A), a dislocated worker who has ceased to qualify for unemployment compensation may be eligible to receive needs related payments under this paragraph only if such worker was enrolled in the training services —

(i) by the end of the 13th week after the most recent layoff that resulted in a determination of the worker's eligibility for employment and training activities for dislocated workers under this subtitle; or

(ii) if later, by the end of the 8th week after the worker is informed that a short-term layoff will exceed 6 months.

If these eligibility requirements are met, individuals may be awarded NRPs from WIOA funding prior to the start date of training classes for the purpose of enabling them to participate in programs of employment and training services that begin within thirty (30) calendar days. The Bureau of Workforce Development (BoWD) may authorize local areas to extend the thirty-day grace period to address appropriate circumstances.

(C) LEVEL OF PAYMENTS. The level of a needs-related payment made to a dislocated worker under this paragraph shall not exceed the greater of—

(i) the applicable level of unemployment compensation; or
(ii) if such worker did not qualify for unemployment compensation, an amount equal to the poverty line, for an equivalent period, which amount shall be adjusted to reflect changes in total family income.

(D) ADMINISTRATION AND OVERSIGHT. Listed below are the requirements on how documentation and payments for Adult NRP should be handled by each service provider in LWIA 26.

1. Service providers are required to maintain the following documentation on each eligible NRP recipient:
   a. A copy of a UI entitlement decision or confirmation of UI benefits being exhausted;
   b. A copy of request for training classes for each period of training (quarter, semester, block, class, etc.);
   c. Verification of enrollment/registration, participation, grades, and completion of training classes (confirmation from Registrar's office and course instructor);
   d. A signature by the participant attesting to his/her understanding of NRP requirements and instructions;
   e. All eligibility determinations must be documented; and
   f. A comprehensive reporting system of all NRPs.

(E) FRAUD

1. To prevent fraudulent payment activity the LWIA must:
   a. Perform a cross check with UI to ensure that participants are not receiving UI, State Training Benefits, TRA, and NRPs at the same time;
   b. Verify training participation before payments are authorized; and,
   c. Report fraud when discovered to begin the collection process from appropriate sources.

2. In the event of the discovery of fraudulent activity, all payments to the fraudulent party will cease and all funds paid will be recovered.

3. All cases of fraud or suspected fraud will be forwarded to the appropriate legal authorities for prosecution per WIA Policy Letter No. 06-PL-28.

4. NRP's have been classified as non-taxable income by the Internal Revenue Service (IRS).

(F) Verification Forms

LWIA 26 service providers should use the attached NRP Analysis Form #001 and NRP Weekly Verification of Income & Training Form #002 for each dislocated worker client who received NRP's.

I have read, understood and agree to comply with the policies for Needs Related Payments.

_____ / / ____

Participant Signature Date

To Be Complete By LWIA Career Planner

I have reviewed these policies with the participant, have determined their eligibility to receive Needs Related Payments and have explained the procedures for collecting Needs Related Payments.

_____ / / ____

Career Planner Signature **Date**

# PROCUREMENT POLICY FOR CLIENT SERVICES

Southern 14 Workforce Investment Board, Inc. LWIA #26

Southern 14 Workforce Investment Board will solicit proposals from interested organizations to operate the following year-round programs under the Workforce Innovation Act (WIOA):

## ADULT AND DISLOCATED WORKER ACTIVITIES

The program will prepare and equip eligibile Adults and Dislocated Workers with the necessary skills to meet the current and upcoming workforce needs of employers in our business communities. Communities to be served will be Alexander, Edwards, Gallatin, Hamilton, Hardin, Johnson, Massac, Pope, Pulaski, Saline, Union, Wabash, Wayne and White Counties in Southern llinois.

Services to be provided must include outreach, eligibility determination, assessment, referral to and coordination with support service providers, case management, training, job search and placement assistance and follow-up services per WIOA Section 134 (c)(2)(A)(B)(C).

## YOUTH ACTIVITIES

The Youth Program will provide comprehensive education and employment opportunities to eligible in-school youth ages 14 through 21 and out of school youth ages 16-24.

All entities responding to the local board for the Youth Program will explain in their proposal which of the fourteen ~~ten~~ required activities ~~defined in WIOA Section 129, (2) A through J N~~ are to be directly delivered through their agency or organization.

The entity or entities responding to the Boards Request for Proposals will then publicly solicit a ~~minimum of two times~~ for activities providers for the activities not directly delivered by their agency or organization.

All activities not responded to, or for which the response was rejected by either the entity or Southern 14 Workforce Investment Board after the Request for Proposal process has been completed, may be hired on an as-needed basis at the discretion of the successful respondent to the Boards Request for Proposal.

All providers of activities shall be held under the same laws, policies, and guidelines as Southern 14 Workforce Investment Board and their sub-contractors.

The Southern 14 Workforce Investment Board, Inc., at its discretion, reserves the option to make changes to any contract awarded based on local policies or clarification of federal regulations, state legislature, or guidance provided by the state or federal government regarding the implementation of the Workforce Innovation and Opportunity Act.

*All Respondents (even current Service Providers) must submit a full RFP every three years.*

# CONFIDENTIAL MEDICAL INFORMATION

Southern 14 Workforce Investment Board, Inc., LWIA #26

In accordance with regulation Title 29 -Subtitle A - Part 37 - Subpart B - §37.37 all identifying medical information provided by applicants, registrants, eligible applicants, eligible registrants, or participants will be maintained in a confidential manner, in a separate secure location with access to those records restricted.

Monitoring of Personally Identifiable Information (PII) will occur in accordance with Local Programmatic Monitoring schedule.

# AREA 26 LOCAL MONITORING POLICY

Southern 14 Workforce Investment Board, Inc., LWIA #26

The LWIA 26 Staff will conduct programmatic, fiscal and physical inventory monitoring of Title I B (Adult, Dislocated Worker, Youth and Trade) programs at the area service providers level each program year using the most current State of Illinois Department of Commerce Bureau of Workforce Development Program Compliance Monitoring Guide available and the Fiscal Monitoring Procedures and Instrument for WIOA Title IB Service Providers.

The LWIA 26 Staff will also use the most current WIOA Notice which sets guidelines for determining *needs-related payments* and self sufficiency Lower Living Standard Income Level (LLSIL) and LWIA 26 local eligibility policy.

Various IWDS (Illinois Workforce Development System) reports are utilized in annual monitoring. Monitoring will also include reviewing IWDS Security Reports as needed to identify expired logins.

## FISCAL MONITORING

The Fiscal Officer will conduct an onsite monitoring visit to each Service Provider on an annual basis.

Each program year the monitoring team from DCEO monitors the fiscal activity of the board office, as well as each service provider.

Any monitoring findings or management recommendations will be dealt with and resolved in a timely manner.

## PROGRAMMATIC MONITORING

The Compliance Monitor will conduct an onsite programmatic monitoring of Title I B programs at the area service providers level each program year using the most current State of Illinois Department of Commerce -Program Compliance Monitoring Guide available, Policies and Notices and LWIA 26 local policies.

Each program year the monitoring team from DCEO monitors the fiscal activity of the board office, as well as each service provider.

Any monitoring findings or management recommendations will be dealt with and resolved in a timely manner.

### Monitoring Findings

Following monitoring, any findings will be discussed at an exit conference and a written notification of the finding(s) or management recommendations will be sent to the service provider.

### Monitoring Follow-up

Service Providers will be given 30 days from date of notification letter to address all finding(s) with proper documentation. Findings will be corrected prior to the next scheduled monitoring visit.

Reporting

Programmatic monitoring of service providers will be reported at the first LWIA 26 board meeting ~~and~~ following receipt of service provider response.

Records Retention

Programmatic monitoring records will be kept at the LWIA 26 office for 3 years after monitoring date.

## INVENTORY MONITORING

The Southern 14 Workforce Investment Board, Inc. will mainatin property records as required by the Workforce Innovation and Opportunity Act on all property purchased with Title IB grant funds.

Approval from the Department of Commerce for all nonexpendable personal property acquired either through purchase or lease-purchase with a unit purchase price of $5,000 or more will be obtained before the purchase is made as required by Policy Letter 05-PL-16 *(or most current policy)*.

An inventory shall be maintained at the LWIB level for all purchases of nonexpendable personal property with an acquisition cost of $1,000 to $4,999~~.~~ Records shall be maintained in accordance with the federal regulations, any loss, theft or damage to grant property will be reported to the Department of Commerce as required by Policy Letter 05-PL-16 *(or most current policy)*.

Monitoring to physically check the inventory of contracted service providers and workNet Centers equipment will be conducted once during the program year.

Disposition of nonexpendable personal property will be handled in accordance with Policy Letter 05-PL-16 *(or most current policy)*. Before disposal of any equipment, LWIA 26 will attempt to get the maxium return on item. Any proceeds from sale of property will be reprogrammed.

All property with an acquisition cost between $250.00 and $1,000.00 purchased for the LWIA No. 26 staff office will be maintained on an office inventory list.

## EQUAL OPPORTUNITY MONITORING

The Equal Opportunity (EO) Officer will conduct a~~n onsite~~ monitoring ~~visit to~~ of each LWIA 26 Illinois workNet Center and satellite office on an annual basis to assess Equal Opportunity compliance. Additionally, a sample of participant files will be reviewed to ensure that medical information is being maintained in a confidential manner as outlined in Local Policy 2.

Any monitoring findings or management recommendations will be dealt with and resolved in a timely manner.

**Greivance and Complaint Policy**
Southern 14 Workforce Investment Board, Inc., LWIA #26

**Purpose/Introductions:**

To inform Workforce Innovation Opportunity Act (WIOA) recipients and sub-recipients, other interested or affected parties, and customers/program participants in the LWIA #26 of the procedures for filing grievances or complaints alleging violations of the WIOA Title I-B Program and other WIOA-related regulations or policies, as well as comply with the procedures issued by the State of Illinois. This policy does not apply to allegations of discrimination based on race, color, religion, sex, national origin, age, disability, or political affiliation or belief. Individuals alleging discrimination are required to follow the procedures specified in the brochure *Illinois Department of Commerce and Economic Opportunity, Office of Employment & Training, Discrimination Complaint Procedures* provided to WIOA program participants during the program intake process.

**References:**

WIOA
2014
Section
181(c)
WIOA, CFR
683-
Subpart F
20 CFR Part 667.600-Subpart F
Illinois workNet WIOA ePolicy Chapter 8 Section 5 and all of its subsections and attachments
https://apps.illinoisworknet.com/WIOAPolicy/Policy/Index/223

Illinois workNet WIOA ePolicy Chapter 10 Section 8 and all of its subsections and attachments https://apps.illinoisworknet.com/WIOAPolicy/Policy/Index/435

**Additional Attachments**

Attachment A – Complaint and Grievance Brochure
Attachment B – Complaint and Grievance Procedures Participant Acknowledgement Form-Equal Opportunity Is The Law
Attachment C-WIOA Participant Complaint Form

**Background:**

The Workforce Innovation and Opportunity Act mandates the development of policy and procedures for the filing of complaints and grievances submitted by participants and other interested persons affected by, and who allege, violations of the requirements of WIOA Title I-B and, WIOA-related regulations or policies. The customer program complaint and grievance policy applies to WIOA **program complaints only**, such as specific complaints about the service providers' services,

activities, case management efforts and ability to provide appropriate WIOA services.

Each WIOA Title 1 funded service provider must adhere to this complaint policy. LWIA #26 (Local Workforce Innovation Area 3/LWIA3) will request that service providers file regular reports on any customer complaints which are received and resolved at the provider's level. These reports, formal complaints, grievances, and attendant actions will be kept on file at LWIA #26 for each provider.

**Scope of this Policy:**

LWIA #26 is the appropriate agency of contact when the complaint specifically concerns WIOA Title 1- B, and WIOA-related regulations or policies administered by LWIA #26 or its contracted WIOA service providers. In addition to Grievances against an employer for violations of labor standards. It does not cover complaints about WIOA-mandated partner programs. Such complaints should be made via the internal processes of those partner organizations.

**Disclaimers:**

This Policy does NOT address the procedure for processing complaints alleging discrimination under WIOA Section 188 Nondiscrimination and Equal Opportunity Regulations (29 CFR Part 38). Such complaints must be handled in accordance with the procedures set forth in the regulatory part. Furthermore, this Policy does NOT replace or relate to the separate policies regarding the accessibility and ADA compliance of an organization to its customers. For more information on the ADA as it relates to public accommodations and accessibility of commercial facilities, call the ADA Information Line at 1.800.514.0301 (voice) or 1-833-610-1264 (TTY) or visit their website at https://www.ada.gov .

**Definitions:**

The following definitions apply to this policy only.

- "Appellant" means the person or organization that requests a review from the State of Illinois Office of Employment and Training (OET) of either a decision made by the Local Area Hearing Officer that is not satisfactory or if the Local Area Hearing Officer fails to timely issue a decision on a Complaint or Grievance as described herein.
- "Complaint" means an allegation of a violation of WIOA or WIOA-related regulations or policies by another person, persons, or organization.
- "Complainant" means the person submitting the complaint.
- "Days" means calendar days, not business days.
- "Grievant" means the person submitting a grievance.
- "Grievance" means an allegation against an employer that receives WIOA Title IB funding for a violation of labor standards.
- "LWIA" or "Local Area" means Local Workforce Innovation Area.
- "LWIB" means Local Workforce Innovation Board.
- "Party" means either the Complainant, Grievant, Appellant or the Respondent. Collectively, the Complainant, Grievant, Appellant and Responder(s) shall be referred to as the "Parties".
- "Respondent" means the person(s) or organization(s) against whom a Complaint or Grievance or appeal of a Complaint or Grievance decision has been filed.

**Policy/Procedures:**

This policy sets forth the procedures to be followed in Local Workforce Innovation Area #26 regarding program Complaints and Grievances that may occur during the administration of any WIOA funded activities and WIOA related regulations and policies. These procedures outline the receipt, review, and resolution of the Complaints and Grievances.

Under WIOA, customer program Complaints and Grievances are viewed as opportunities to improve services. The primary goals of this complaint process is to address specific customer concerns, resolve the issues in the most expedient manner, learn from the Complaint and Grievance, and implement resolutions throughout the entire system.

A. General Requirements

There are two types of issues covered by this policy.

1. Complaints are those that are non-criminal complaints of violations of WIOA and WIOA-related regulations.
2. Grievances are those filed against an employer for violations of labor standards.

***Please note, criminal complaints alleging fraud, waste, misconduct, or other illegal activity under WIOA must be reported immediately to the Department of Labor's Office of Inspector General as required by 20 CFR 683.620. These types of complaints or grievances are not covered by this policy.***

B. Notifying Customers of Grievance/Complaint Procedures

All WIOA program participants will be provided *Attachment A* informational brochure during program intake. The information brochures will be displayed throughout LWIA #26 facilities.

C. WIOA The Local Area Complaint/Grievance Officer (Equal Opportunity Officer) All WIOA program participants will be provided *Attachment B* during program intake. The designated Equal Opportunity Officer and contact information for non- discrimination allegations is:

Jessica Barbre, Administrative Assistant & EO Officer
Southern 14 Workforce Investment Board
~~304 E. Robinson St~~ PO Box 186
Carmi, IL 62821

D. WIOA Grievance and Complaint Filing Procedures

It is the desire of LWIA #26 that grievances and complaints are resolved at the lowest level possible; therefore, when a customer has a concern/ complaint, he/she will meet with the Program Supervisor or Agency Director to discuss and attempt resolve of the concern. If the concern(s) cannot be resolved immediately by either the Program Supervisor or Agency Director, the individual will be provided with the *(WIOA Grievance/Complaint Form)* and brochure. The Complainant/Grievant will be instructed regarding completing the form and the required timelines for completion.

The Complainant/Grievant will be provided information regarding where to submit the Complaint/Grievance.

1. Local Level Complaint/Grievance Procedures
   a. Complaints must be filed within 180 days of the allegedviolations.
   b. All individuals filing Complaints and Grievances shall be free from restraint, coercion, retaliation, and discrimination.
   c. The Complainant and Grievant must file the Complaint or Grievance in writing to the Local Area Complaint/Grievance Officer at the address shown below utilizing the *Workforce Innovation and Opportunity Act Grievance/Complaint Form.* The form will be submitted to:

Jessica Barbre, Administrative Assistant & EO Officer
Southern 14 Workforce Investment Board
~~304 E. Robinson St~~ PO Box 186
Carmi, IL 62821

d. The Complaint or Grievance must include the following information:
   1) Name, address, and telephone number of the Complainant/Grievant;
   2) Name, address and telephone number of the person(s) and/or Organization(s) that the Complaint/Grievance is against (the Respondent(s));
   3) A clear concise statement of the allegations(s) and facts of the case;
   4) The date of the alleged occurrence(s);
   5) The provisions of the Workforce Innovation and Opportunity Act, or the WIOA regulations, or policies believed to have been violated;
   6) The resolution being sought; and
   7) The signature of the Complainant/Grievant or their legal guardian/representative, if applicable.

e. Upon receipt of a Complaint or Grievance, the Local Area Complaint/Grievance Officer or designee, shall acknowledge receipt of the Grievance or Complaint, if possible, by certified mail, return receipt requested. This must be done within ten (10) days of receipt of the Complaint or Grievance. If sending an acknowledgement via certified mail is not reasonable or possible, it may be sent by email or regular U.S. Mail. This acknowledgement shall be sent to the Complainant/Grievant and the Respondent(s) and shall:

   1) Attach a copy of the Complaint/Grievance filed;
   2) Outline the steps to be taken to resolve the matter;
   3) Advise the Parties to attempt to reach an informal resolution;
   4) Notify all Parties of the right to request a hearing if an informal resolution cannot be met; and
   5) Provide a summary of the issues to be decided.

f. If a Complainant or Grievant seeks to amend or withdraw a Complaint/Grievance, the Complainant/Grievant must make a request to the Local Area Complaint/Grievance Officer in writing.

g. Complaints or Grievances may be resolved through an informal resolution or a hearing process.

h. An opportunity for an informal resolution and a hearing shall be completed within 60 days of the filing of the Complaint or Grievance.

i. If a Party is e dissatisfied with the local hearing decision or no decision is made within sixty (60) days of filing a Complaint or Grievance, the Party may file an *Appeal* to the state.

j. If a Grievant alleges a violation of labor standards, that individual may submit the Grievance to a binding arbitrations procedure, if there is a collective bargaining agreement that covers the parties to the Grievance, which so provides.

2. *Local Level Information Resolution and Hearing Process*

a. *Informal Resolution*

1. When a Complaint or Grievance has been resolved through an informal resolution process, the Complainant or Grievant and the Respondent(s) shall

enter into a formal written resolution agreement.

a. If the complainant and respondent choose to resolve the Complaint or Grievance through an informal resolution, they must make good faith efforts to to do so before the scheduled hearing date and within sixty (60) days of the filing of the Complaint or Grievance.

b. Parties are encouraged to resolve matters informally; however, failure to informally resolve a matter does not warrant dismissal of the Complaint or Grievance, nor should it be taken into consideration as part of the factors to be judged during the resolution process.

*b. Hearing*

1. Requests for a hearing shall be made by the Complainant or Grievant to the Local Area Complaint/Grievance Officer as soon as possible after the Complaint or Grievance is filed, but in no event later than 30 days of filing of a Grievance or Complaint.
    a. The Local Area Complaint/Grievance Officer shall appoint a Hearing Officer to conduct the hearing on Complaints or Grievances.
    b. The Local Area Hearing Officer shall be the Equal Opportunity Officer.
    c. Any Party may make a request for a change in the Local Area Hearing Officer within five (5) days of receiving notification of the hearing schedule and the designation of the Local Area Hearing Officer.
    d. Only one (1) request for designation of an alternate Local Area Hearing Officer may be made by any party for each Complaint or Grievance filed

2. Written hearing notices shall be sent by the Local Area Hearing Officer to the Complainant or Grievant and respondent(s), at least 15 days prior to the scheduled hearing date to allow for proper preparation of the case. The notice will include the date, time and place of the hearing.
    a. The Hearing Officer shall conduct the hearing in an informal manner. Technical rules of evidence do not apply.
        i. If circumstances allow, the Local Area Hearing Officer may conduct the hearing via telephonic or electronic means.
        ii. The Parties shall be allowed the opportunity to present evidence, cross-examine witnesses, and be represented by legal counsel.
        iii. The Party requesting the hearing shall have the burden of establishing the facts and the entitlement of relief requested.
        iv. The Respondent(s) shall cooperate by making available any information and releasing any documentation requested by the Complainant or Grievant after the Local Area Hearing Officer deems it appropriate and relevant to the Complaint or Grievance.
        v. The Respondent(s) shall also make available any person under their control or employ to testify, if these persons are requested to testify by the Complainant or Grievant and the Local Area Hearing Officer deems the testimony to be elicited from such persons appropriate and relevant to the Complaint and Grievance.
        vi. Hearings will only cover those issues listed in the written complaint. If a Complainant or Grievant files more than one (1) Complaint or Grievance against the same Respondent(s) at or near the same time, the Local Area Hearing Officer may combine the issues from the Complaints or Grievances into a single hearing for purposes of

administrative efficiency and after providing notice to the Parties.

b. Complete records shall be kept of the hearing via audio recording.

c. The Local Area Hearing Officer or designee will make a written decision and it shall be sent by certified mail, with return receipt requested, within 60 days of the filing of the complaint.

d. The Local Area Hearing Officer's decision shall contain the following:

- The names of the Parties involved;
- A statement of the allegations;
- A statement of the facts presented during the hearing;
- The issue(s) being decided;
- The decision and the reasons for the decision;
- A statement of corrective actions or remedies, if appropriate;
- A statement assuring that all steps included in these Complaint and Grievance Procedures have been adhered to; and Notice that either party has the right to appeal to the State the decision by the Local Area Hearing Officer within ten (10) days of receipt of the decision.

e) A copy of all decisions will be concurrently sent to:

Illinois Department of Commerce & Economic Opportunity
Senior State Equal Opportunity Compliance Officer and Investigator
217-558-2418, TTY number 800-785-6055
https://dceo.illinois.gov/aboutdceo/state-eo-officer.html

**Action Required**

All WIOA recipients and sub-recipients shall review this policy and distribute it to appropriate individuals within the organizations. The policy shall be made available to all participants and other interested parties who may wish to file a complaint or grievance. All WIOA program participants shall receive a copy of *Attachment A and Attachment B* during intake.

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A proud member of AMERICA'S WORKFORCE NETWORK

# ILLINOIS DEPARTMENT OF COMMERCE AND ECONOMIC OPPORTUNITY

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## Workforce Innovation and Opportunity Act

### Discrimination Complaint Procedures

*Equal Opportunity Employer/Program Auxiliary Aids and Services Are Available Upon Request to Individuals With Disabilities*



## Illinois Department of Commerce and Economic Opportunity

## Discrimination Complaint Procedures

***WHO MAY FILE A DISCRIMINATION COMPLAINT?***

Any person who believes that either he/she, or any specific class of individuals, has been or is being subjected to discrimination prohibited by Section 188 of the Workforce Innovation and Opportunity Act of 2014, which prohibits discrimination on the grounds of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in a WIOA Title I-financially assisted program or activity, or 29 CFR Code Of Federal Regulations Part 38 which implements Section 188 of WIOA, may file a written complaint, either by him/herself or through a representative.

***WHERE MAY A DISCRIMINATION COMPLAINT BE FILED?***

A complainant may file a discrimination complaint with the local workforce area equal opportunity officer, State Equal Opportunity Officer, or the Civil Rights Center (CRC). Complaints filed with the CRC should be sent to the address listed in the notice "Equal Opportunity Is The Law", which is at the end of this pamphlet.

***WHAT FORMS SHOULD BE USED TO FILE A DISCRIMINATION COMPLAINT?***

A complainant may file a complaint by completing the State of Illinois Workforce Investment Act Complaint form and the Complaint Information and Privacy Act Consent Forms, which may be obtained either from the local workforce area equal opportunity officer, the State Equal Opportunity Officer. Upon receipt of a

discrimination complaint filed at the local workforce area, the equal opportunity officer will issue a written notice to the complainant containing the following information:

- Acknowledgment of receipt of the complaint;
- Notice that the complainant has the right to be represented in the complaint process;
- A statement of the issues raised in the complaint;
- Whether the local workforce area will accept the issue for investigation or reject the issue, and the reasons for each rejection;
- Establishing a period for fact finding or investigation of the circumstances underlying the complaint; and,
- Indicating the use of the ADR process in an attempt to resolve the complaint.

***WHEN MUST A DISCRIMINATION COMPLAINT BE FILED?***

A complaint must be filed within 180 days of the alleged discrimination. However, for good cause shown, CRC may extend the filing time. This time period for filing is for the administrative convenience of CRC, and does not create a defense for the respondent.

***TIME LIMITS***

The time limits for complaints are measured in calendar weeks (seven consecutive days). A time limit begins upon receipt of a written complaint whether or not the complaint received has insufficient information. Time limits have been established to ensure both expeditious resolution of complaints, and provide the necessary time for adequate review of all appropriate material. Should an aggrieved person(s) or entity neglect to adhere to the time requirements set throughout this procedures, the aggrieved party(ies) are considered to have abandoned his/her complaint and the matter shall be considered resolved. In turn, failure by management to render a decision within the allotted time at any step constitutes denial and the complainant may proceed to the next step.

***WHAT INFORMATION MUST A DISCRIMINATION COMPLAINT CONTAIN?***

The complaint must be filed in writing and must contain the following information:

- The complainant's name and address (or another means of contacting the complainant);
- The identity of the respondent (the individual or entity that the complainant alleges is responsible for the discrimination);
- A description of the complainant's allegations must include enough detail to allow the CRC or the local workforce area equal opportunity officer, as applicable, to decide whether: CRC or the local workforce area, as applicable, has jurisdiction over the complaint; the complaint was filed in time; and, the complaint has apparent merit; in other words, whether the complainant's allegations, if true, would violate any of the nondiscrimination and equal opportunity provisions of WIOA or Part 38; and, the complainant's signature or the signature of the complainant's authorized representative.

***POLICY/ CONFIDENTIALITY***

It is the policy of DCEO and the U.S. Department of Labor/CRC that no one be punished or penalized for filing a complaint under WIOA. It is also the policy not to disclose the identity of any person who has furnished information or assistance in the investigation of a WIOA violation unless absolutely necessary, nor may any person, organization, or agency, discharge or in any way discriminate or retaliate against a person for the filing of a complaint or the rendering of testimony in any proceeding or investigation.

***WHAT TO DO IF YOU BELIEVE YOU HAVE EXPERIENCED DISCRIMINATION:***

If you think 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:

State Equal Opportunity Officer
Illinois Department of Commerce and Economic Opportunity
500 East Monroe Street
Springfield, Illinois 62701

or:

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


Internet Address http://www.illinois.gov/dceo

| 500 East Monroe Street Springfield, Illinois 62701 | James R. Thompson Center 100 West Randolph Street, Suite 3-400 Chicago, Illinois 60601 | 607 East Adams Street Springfield, Illinois 62701 | 2309 West Main, Suite 118 Marion, Illinois 62959 |
|---|---|---|---|
| 217/782-7500 Fax: 217/524-1627 xTDD: 800/785-6055 | 312/814-7179 Fax: 312/814-6732 xTDD: 800/419-0667 | 217/785-2800 Fax: 217/785-2618 xTDD: 217/785-6055 | 618/997-4394 Fax: 618/997-1825 x TDD Relay: 800/526-0844 |



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# EQUAL OPPORTUNITY IS THE LAW

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, or political affiliation or belief, or, against any beneficiary of, applicant to, or participant in programs financially assisted under Title I of the Workforce Innovation and Opportunity Act, on the basis of the individual's citizenship status or participation in any WIOA Title I–financially assisted program or activity.

The recipient must not discriminate in any of the following areas: 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; or making employment decisions in the administration of, or in connection with, such a program or activity.

Recipients of federal financial assistance must take reasonable steps to ensure that communications with individuals with disabilities are as effective as communications with others. This means that, upon request and at no cost to the individual, recipients are required to provide appropriate auxiliary aids and services to qualified individuals with disabilities.

## WHAT TO DO IF YOU BELIEVE YOU HAVE EXPERIENCED DISCRIMINATION

If you think 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 (or the person whom the recipient has designated for this purpose);

Jessica Barbre, ~~Administrative~~ Assistant Director and EO Officer Southern 14 Workforce Investment Board
~~304 E. Robinson St~~ PO Box 186
Carmi, IL 62821

or

**Director, Civil Rights Center (CRC), U.S. Department of Labor**
**200 Constitution Avenue NW, Room N-4123, Washington, DC 20210**
or electronically as directed on the CRC website at www.dol.gov/crc.

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 may file a complaint with CRC before receiving that Notice. 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). 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.

Signature of Recipient:_____ Date:_____

# EQUAL OPPORTUNITY/NONDISCRIMINATION COMPLAINT REPORT PROCEDURES

## PURPOSE:

To provide an Equal Opportunity/Nondiscrimination (EO) form to become a part of the EO reporting system.

## SCOPE:

The Equal Opportunity/Nondiscrimination Complaint Report form will provide a uniform format for recording and reporting the receipt and processing of discrimination complaints arising at the local level, or if known, at the Federal level.

**Additional Attachments:**
Attachment A- Service Provider Quarterly Complaint Form

## GENERAL INSTRUCTIONS:

Each LWIA will prepare and submit a copy of this report (Attachment A- Service Provider Quarterly Complaint Form); or written correspondence indicating no complaints were filed to the Bureau of Workforce Development, Department of Commerce and Economic Opportunity on a quarterly (every three months) basis.

The State EO Officer must receive the report on or before the fifth (5th) of the month, following the end of each quarter.

**Record Retention Requirements**

Each LWIA shall maintain records regarding complaints and actions taken for a period of not less than three years from the date of resolution of the complaint.

Entries on the form should be on one line of this report for each complaint received, pending or closed out, during the quarterly period covered. Following is a breakdown of entries:

(1) The number assigned to the complaint. To standardize case numbers assigned to complaints, the following method is to be used -the consecutive order in which the complaint was received, and the current program year (i.e. 1-02);

(2) The date the complaint was received or filed;

(3) The name and address of the complainant; category of complainant (i.e., employee, applicant, participant, client or organization);

(4) The name and address of the respondent; category of respondent (service provider, administrative entity, grant recipient or private employer);

(5) The basis of complaint (race, color, national origin, age, sex, religion, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in WIA).

(6) ACTION/ISSUE (for example, discharge, failure to hire, suspension);

(7) Hearing date and whether informal or formal (for example, 1-10-02 Formal);

(8) Date and results of final disposition (for example, 1-1-93 complaint withdrawn, resolved);

(9) Date referred and type of referral agency; (for example, 1-1-01 Federal-CRC, State-DCEO)

This report should be submitted to:

The Illinois Department of Commerce and Economic Opportunity
Office of Equal Opportunity Monitoring and Compliance
Mr. Tim Golemo
State Equal Opportunity Compliance Officer and Investigator
500 East Adams - Floor 8
Springfield, Illinois 62701

The July through June report is self-explanatory. Complete these reports for all discrimination complaints filed during the program year and submit to the above address by July 5th, the end of the program year.

# DETS/RAPID RESPONSE POLICY

Southern 14 Workforce Investment Board, Inc., LWIA #26

The Southern 14 Workforce Investment Board and its service provider entities shall use the most current Department of Commerce policies/notices and its attachments in order to ensure an effective, planned and coordinated response to plant closings and mass layoffs under the Workforce Innovation and Opportunity Act of 2014.



*So. 14 LWIB Approved 6.14.16*

# FUND TRANSFERS, RE-ALLOCATION AND DEOBLIGATIONS

Southern 14 Workforce Investment Board, Inc. LWIA #26

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## FUNDING TRANSFERS:

Funds utilization should be an ongoing review by the service provider, as well as Board fiscal staff, to ensure that all funding sources will be fully expended by the grant end date. Providers have the flexibility to exceed the budget of any line item by 10%, expenditure exceeding this flexibility requires a formal modification. A formal review will be conducted with providers on or before January 31, reviewing current spending levels and obligations and may suggest modifications.

1. Request to Transfer Funds and Requests to Receive Transferred Funds will be made in writing to the WIB office. ***Requests must state the funding stream and the amount available for transfer or receipt on or before February 28,*** All Request to Transfer Funds and Requests to Receive Transferred funds must be signed by the agency Executive Director.

2. Agencies eligible to receive or transfer funds will be contacted in writing. Information obtained in step one (1) above will be provided to these agencies and their agreement to accept or release these funds will be sought.

3. If an eligible agency is willing to accept or release funds they must respond in writing to the WIB office the funding stream and amounts they are willing to accept or release within ten (10) business days.

4. If no agency is agreeable to accept or release funds the service provider requesting the transfer will be notified in writing that no transfer of funds will be possible at this time.

5. The agency desiring transfer of funds may resubmit a request, including updated information, to the WIB office in writing on a quarterly basis.

6. All fund transfer requests and contract changes as a result of these transfers will be reported to the board at the first board meeting following the completion of steps one (1) through four (4) of this policy.

## DE-OBLIGATION OF FUNDS

If the local area has funds de-obligated by the state due to non-expenditure in a funding stream by a grantee, that grantee's contract will reflect the full de-obligation incurred due to that grantees under expenditure.

Adjustment by the LWIB based on the following procedures.

1) The dollar amount of the de-obligation within a funding stream to reduce funding will be added together to obtain a total.

2) Formula allocation contracts for the same funding stream and covering the same time period as the de-obligations will be added together to obtain a total.

3) The total amount of de-obligations obtained in step #1 will be divided by the total contract amount obtained in step #2 to obtain a percentage of de-obligations.

4) The percentage obtained in step #3 will be applied to the following year formula allocation contract of the service provider who requested transfers and the contract will be reduced by the amount obtained. Service Provider that de-obligates funds will have that dollar percentage reduced in the next years funding stream. Other Service Providers will not be penalized.

Funds removed from a service provider's contract through implementation of this policy will be reallocated to remaining service providers based on need and a review of past performance and expenditure levels.

# Illinois workNet™ Partnership Policy

Southern 14 Workforce Investment Board, Inc., LWIA #26

The intent of the Local Illinois workNet™ Partnership Policy is to:

## I. ESTABLISH PARTNERSHIP GOALS

a. Expand access to workforce services beyond traditional partnerships.
b. Provide the benefits of participating with the workforce system network to partner organizations.
c. Educate local organizations on the workforce system and how it fits with their mission and services.
d. Brand partners to convey a cohesive continuum of services.
e. Ensure, across local geographies and demographics that all communities are being served in ways that best meet their needs.
f. Develop long-lasting partnerships that are mutually beneficial.
g. Set goals for the quantity of partners.
h. Define outcomes that will benefit partners, community members, and LWIA #26.

## II. IDENTIFY PARTNERSHIP ROLES

Illinois workNet partners are organizations that provide access to the Illinois workNet Portal and/or disseminate marketing materials to promote use of the Illinois workNet Portal.

The 3 categories of Illinois workNet partnerships are:

1. **Access/Service Provider Sites**: WIOA funded partners and other partners that disseminate information about the Portal, use Illinois workNet to assist their clients, provide public internet access computers or provide internet access computers to their clients or students. These sites also provide services to the benefit of their clients such as preparing for career transition, training, assisting businesses, and connecting to work support services. Further, these organizations maintain staff for the purpose of providing services.

2. **Access Site**: Site is not WIOA funded and provides access to the Portal to assist their clients but does not provide services beyond access. For example, a library is an access site because a client may access the Portal via a computer at the library but they do not provide services beyond connecting the individual to resources.

2. **Dissemination Sites**: Partner site that disseminates the information and refers customers to Illinois workNet. These sites may not have internet access or a place for public access computers.

## II. RESEARCH POTENTIAL PARTNERS

Potential Illinois workNet Partners include existing Workforce Investment Act mandated partners and non-mandated organizations, including community-based and faith-based organizations, local chambers of commerce, education entities, social service organizations, and libraries in your local LWIA that help individuals connect to career planning, job search, job readiness, education/training, and/or work support services and resources. Partners also include business services.

a. **Determine if a potential partner is a good fit –** Partners may include agencies and organizations that already provide services within the Illinois Workforce System and agencies and organizations that are not traditionally within the System but will benefit by using the Portal as a means to provide free and easy access to career and training transition, business service resources for staff and customers, workforce support resources and training for staff.

b. **Identify any accessibility issues (per WIOA EO policy) –** Determine accessibility both programmatically (public computer use) and architecturally (facility). Programmatic accessibility views a program in its entirety and must be available when architectural accessibility is not required. Architectural accessibility deals with the actual location/facility and ensures an individual with a disability has equal access to a facility as a person without a disability.

   Any partner that receives **WIOA** funds **must** comply with all EO accessibility requirements. This means they must ensure any person with a disability has equal access to facilities and/or programs including any necessary reasonable accommodations. Not all partners will have customers come to their facility or allow public access to computers, but should consider the following for the non-**WIOA** funded partners:

   - If they do have customers using their facility, their location should meet EO accessibility requirements.
   - If they provide public-access computers, they should provide appropriate assistive technologies.
   - If they work directly with the public, they should provide appropriate and reasonable accommodations upon request.

c. **Organizations that are EXCLUDED from being an Illinois workNet partner include:**
   - Agencies or groups that misrepresent their services in any way.
   - Agencies or groups that deny services on the basis of color, race, religion, sexual preference, or nationality.
   - Agencies or groups whose service is illegal.
   - Agencies or groups whose services cannot be verified.
   - Agencies or groups that have credible or serious complaints about their service registered against them.

## III. EDUCATE POTENTIAL PARTNERS AND DEMONSTRATE THE BENEFITS OF PARTNERSHIP

The local partnership strategy for LWIA #26 is to:

a. provide a consistent and positive branding message to community members.

b. provide a means to convene networks of partner organizations that provide critical in-person and online services and resources.

c. emphasize that access to the Portal and Course are FREE!

d. expand access to people in the communities where they live and work.

e. provide ease of use and access to quality resources and saves time and money by leveraging existing resources.

f. connect the LWIB #26 community to local opportunities and resources to include those provided by partner organizations.

g. include resources verified to be accurate and pertinent so users do not have to search for them.

h. link customers to consistent information in the communities where they live and work.

i. train staff on accessing and using career transition resources.

j. assure consistent access and quality to customers.

LWIA #26 will use the Rebranding Marketing templates and Illinois workNet Partner Buy-in Kit materials to provide a consistent message on the benefits of partnership.

## IV. ESTABLISH AND DEFINE THE ROLES OF THE PARTNERSHIPS

The partnership process will ensure that partnerships are officially established and provide assurances that each partner clearly understands their role. In lieu of written agreements, partnerships are confirmed by establishing a partner event where the mutual benefits across all partners are acknowledged and defined. At this event, partners are provided clear lines of communication and resources. LWIA #26 will use the Rebranding Marketing Plan to customize local marketing materials provided in the Resource Room Starter Kits.

## V. INITIATE ONGOING COMMUNICATION AND EVENTS THAT FOSTER PARTNERSHIPS

LWIA #26 will implement an ongoing partner communication plan to ensure that partners are engaged in a consistent and timely manner. The plan will identify types of communication, when communication will be released, and who will be responsible for initiating the communication. Communication will include regularly scheduled:

- Phone calls
- Information emails
- Partner meetings and events
- Visits to partner sites

## VI. ASSESS THE PARTNERSHIPS TO DETERMINE IF THEY SHOULD CONTINUE OR BE REDEFINED

As partnerships evolve they will be continually assessed. Checkpoints will be established at least annually for the purpose of determining if partnerships should continue, be redefined, or ended. A set of criteria and questions will be used to ensure that the assessment is consistent across all partners. Examples of criteria and questions include:

- Question: Has the mission and, therefore services offered by the partner changed?
- Criteria: Partners will provide resources or services that fit within the continuum of services needed by individuals and/or businesses to increase their chances for economic success.
- Question: Has the partner fully participated with meetings, events, and other activities?
- Criteria: All partners agree to fully participate based on their pre-defined roles.
- Question: Has the partner organization and their customers benefited from the partnership?
- Criteria: Partners will provide resources or services to the direct benefit of individuals and/or businesses.
- Question: As a result of the partnership have planned outcomes been met?

- Criteria: The partner plan was implemented based upon meeting predefined outcomes.
- Question: Has the partnership expanded access to the virtual and physical workforce system?
- Criteria: Partnerships will fill gaps in geographic areas to assure access to both the virtual and physical workforce systems.
- Question: Has the community benefited from the partner?
- Criteria: Community members will directly benefit from access to and knowledge of partner services.
- Question: Was the original intent of the partnership fulfilled?
- Criteria: The partnership was in keeping with the predefined role.
- Question: Has the partnership impacted the continuum of workforce services in a positive way?
- Criteria: Individuals and businesses have a variety of needs that are directly impacted by changing circumstances in their environment, and because needs vary, partners have carried out an important role in providing specialized services.
- Question: Are customers satisfied with the quality of the partner's services?
- Criteria: Partners will provide a consistent quality of services.

The checkpoints will also include LWIA #26 assessing their role in the partnerships by providing a means for the partners to provide feedback on how they could further enhance relationships and what they should change in the partnership process to improve outcomes. Examples of questions to ask partners include:

- Has the partner organization benefited from the partnership?
- Has the partner's customers benefited from the partnership?
- Was the extent of the partnership fully understood?
- Were communications too often or just right?
- Were the partner activities beneficial to the partner and what would the partner change?
- How could the LWIB/LWIA do a better job of building partnerships?
- What would you like to do more of and less of?
- Was the training beneficial to your staff and customers?
- Would you like to continue as a partner? If not, why? If yes, why?

As partnerships are redefined, added, or ended the local Illinois workNet Coordinator will keep the Illinois workNet Site Management Database up to date.

**LWIA #26 Contact Information**

Name: Southern 14 Workforce Investment Board, Inc.
Address: ~~304 East Robinson, Suite 210~~ 1700 College Ave
Carmi, IL 62821
Phone: ~~618-382-5024~~ 618-382-8869
Email: boffice@so14lwib.com
~~Fax: 618-382-7038~~

*LWIA Signature / Date*

*LWIB Signature / Date*

# TRADE PROGRAM REQUIREMENTS

Southern 14 Workforce Investment Board, Inc.

LWIA #26 will follow the most current state Policy Letters and Notices for guidance and direction in implementing the Trade program requirements.

LWIA #26 and all subcontractors will comply with the most current state reporting requirements.

# Career Services

Southern 14 Workforce Investment Board, Inc. LWIA #26

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*Career Services* available to *WIOA* Adults and Dislocated Workers, replace core and intensive services previously available under the Workforce Investment Act. While the majority of career services were either a core or intensive service, additions have been made to include the requirement for assessments and the development of a Universal Career Plan ~~*Individual Employment Plan (IEP)*~~. There are three types of career services authorized by WIOA, TEGL No. 19-16, Basic career services, individualized career services and follow-up services. The provision of individualized career services must be based on the employment needs of the individual as determined jointly by the individual and the career planner (case manager), and may be identified through a Universal Career Plan ~~individual employment plan (IEP)~~. Assessments can be provided by any of the agency partner programs or service providers. Individual employment plans provide direction for the *Customer* from the moment they enter the system until they exit and attain long-term meaningful employment. Although WIOA distinguishes levels of service, this distinction is not intended to imply that there is a sequence of services. These services can be provided in any order.

Career services under this approach provide local areas and service providers with flexibility to target services that meet the needs of the customer, while still allowing for tracking of outcomes for reporting purposes. Career Services are defined in 20 CFR 678.430, and rules governing their provision to adults and dislocated workers are discussed in 20 CFR 680.100 through 195. The three categories of career services are as follows, and are further defined in TEGL 16-16 "One-Stop Operations Guidance for the American Job Center Network".

*Basic Career Services*

Basic career services are universally accessible and must be made available to all individuals seeking employment and training services in at least one comprehensive American Job Center per local area. Generally, these services involve less staff time and involvement and include services such as: eligibility determinations, initial skill assessments, labor exchange services, provision of information on programs and services, and program referrals.

Basic Career Services may include, but not limited to:

- Eligibility Determination.
- Outreach, Intake, Orientation.
- Initial assessment of skill levels & supportive service needs.
- Job search assistance (Self-directed) or Staff-assisted).
- Placement assistance (includes "Referred to Employment") (Staff-assisted).
- Career Counseling (includes "Staff-assisted career guidance").
- Providing info on local in-demand sectors, occupations, or nontraditional employment with earnings, skill requirements, and opportunities for advancement for those jobs.

- Provision of referrals and associated coordination of activities with other programs and services.
- Provision of workforce and labor market employment statistics information.
- Provision of info on job vacancies and info on job skills necessary to fill vacancies.
- Provision of info on availability of supportive services or assistance.

*Individualized Career Services*

Individualized career services must be provided to participants after case manager determine that such services are required to retain or obtain employment, consistent with any applicable statutory priorities. Generally, these services involve significant staff time and customization to each individual's need. Individualized career services include services such as: specialized assessments, developing an individual employment plan, counseling, work experiences (including transitional jobs), etc.

Individualized Career Services may include, but not limited to:

- Comprehensive and specialized assessments.
- Development of a Universal Career Plan ~~IEP~~.
- Group and or Individual Counseling.
- Career Planning.
- Short-term prevocational services.
- Internships and work experiences (including transitional jobs).
- Workforce preparation activities.
- Financial literacy services.
- Out-of-area job search assistance and relocation assistance.
- English-language acquisition and integrated education and training programs.

*Follow Up Services*

Follow- up services are designed to provide continuing support to adults and dislocated workers who entered employment, as outlined in Local Policy #19. The goal of follow-up services for adults and dislocated workers who enter employment at exit is to ensure job retention, wage gains and career progress. Follow-up services must be made available for a minimum of **12** months following the first day of employment, but provision of such services are dependent on the needs of the customer as reflected in the individual's employment development plan.

# WIOA TRAINING OPTIONS

Southern 14 Workforce Investment Board, Inc., LWIA #26

The requirements of this policy relate to general eligibility of training providers of training programs. The Southern 14 Workforce Investment Board, Inc. and its service providers shall follow the most current Department of Commerce Policies and Notices. These policies and notices may be found at https://www2.illinoisworknet.com/WIOA/Resources/Pages/WIA-WIOAPolicies.aspx

**(A) IN GENERAL - WIOA Section 133(c)(3)**

i. ELIGIBILITY.—Except as provided in clause (ii)funds allocated to a local area for adults under paragraph (2)(A) or (3), as appropriate, of section 133(b), and funds allocated to the local area for dislocated workers under section 133(b)(2)(B), shall be used to provide training services to adults and dislocated workers, respectively—

(I) who, after an interview, evaluation, or assessment, and career planning, have been determined by a one-stop operator or one-stop partner, as appropriate, to—

(aa) be unlikely or unable to obtain or retain employment, that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment, through the career services described in paragraph (2)(A)(xii);

(bb) be in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment; and

(cc) have the skills and qualifications to successfully participate in the selected program of training services;

(II) who select programs of training services that are directly linked to the employment opportunities in the local area or the planning region, or in another area to which the adults or dislocated workers are willing to commute or relocate;

(III) who meet the requirements of subparagraph (B); and

(IV) who are determined to be eligible in accordance with the priority system in effect under subparagraph (E).

(ii) USE OF PREVIOUS ASSESSMENTS.—A one-stop operator or one-stop partner shall not be required to conduct a new interview, evaluation, or assessment of a participant under clause (i) if the one-stop operator or one-stop partner determines that it is appropriate to use a recent interview, evaluation, or assessment of the participant conducted pursuant to another education or training program.

(iii) RULE OF CONSTRUCTION.—nothing in this subparagraph shall be construed to mean an individual is required to receive career services prior to receiving training services.

**(C) PROVIDER QUALIFICATION** —Training services shall be provided through providers identified in accordance with section 122.

**(B) QUALIFICATION -** Contracts.

(i) REQUIREMENT.—Notwithstanding section 479B of the Higher Education Act of 1965 (20 U.S.C. 1087uu) and except as provided in clause (ii), provision of such training services shall be limited to individuals who—

(I) are unable to obtain other grant assistance for such services, including Federal Pell Grants

established under subpart 1 of part A of title IV of the Higher Education Act of 1965 (20 U.S.C. 1070a et seq.); or

(II) Require assistance beyond the assistance made available under other grant assistance programs, including Federal Pell Grants.

(ii) REIMBURSEMENTS.—Training services may be provided under this paragraph to an individual who otherwise meets the requirements of this paragraph while an application for a Federal Pell Grant is pending, except that if such individual is subsequently awarded a Federal Pell Grant, appropriate reimbursement shall be made to the local area from such Federal Pell Grant.

(iii) CONSIDERATION.—In determining whether an individual requires assistance under clause (i)(II), a one-stop operator (or one-stop partner, where appropriate) may take into consideration the full cost of participating in training services, including the costs of dependent care and transportation, and other appropriate costs.

**(D) TRAINING SERVICES.**

Training services may include:

(i) occupational skills training, including training for nontraditional employment;
(ii) on-the-job training;
(iii) incumbent worker training in accordance with subsection (d)(4);
(iv) programs that combine workplace training with related instruction, which may include cooperative education programs;
(v) training programs operated by the private sector;
(vi) skill upgrading and retraining;
(vii) entrepreneurial training;
(viii) transitional jobs in accordance with subsection (d)(5);
(ix) job readiness training provided in combination with services described in any of clauses (i) through (viii);
(x) adult education and literacy activities, including activities of English language acquisition and integrated education and training programs, provided concurrently or in combination with services described in any of clauses (i) through (vii); and customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.

**(E) General Training Requirements**

1. All training programs must be provided by an eligible training provider, allowed in accordance with state policy.

   a. The career planner must work with the individual seeking training services to select a training provider program that will lead to an employment related placement in a demand occupation.

2. All training programs, unless otherwise noted within this policy letter or with state policy must be certified and include a target occupation(s) from the current Demand Occupation List for Area #26 (EDR #8).

3. Training Contract Requirements

   a. All training contracts or written agreements must include at a minimum the following:
      1) Who is providing the training;

2) Who is to receive the training;
3) What training will be provided;
4) Where the training will be provided;
5) The length of the training to be provided (to include the start and end date, number of days per week, and number of hours per day);
6) The cost of the training program (to include only reasonable and acceptable costs); and
7) If applicable, the amount of employer matching or leveraged support and how it will be provided.

b. Access current training offerings to ensure that the contracts are not duplicating existing training courses and curricula. These training contracts can be performance-based to ensure that they result in real outcomes for the student.

c. For training that will be held away from a traditional classroom setting, assurances that reasonable working conditions are being provided (including health and safety standards established under State and Federal laws) must be included in the contract or written agreement.

4. Regardless of the type of training to be provided to a customer, an Universal Career Plan ~~Individual Employment Plan (IEP)~~ shall be developed that includes, at a minimum:

a. Employment goal and wage expectation;
b. Employment assistance determination;
c. Training goal(s), including any industry recognized credentials expected to be obtained;
d. Training plan, including the need for remedial, pre-requisite, vocational or occupational training;
e. Length of training program, including expected training breaks;
f. All necessary training components, especially when multiple types of training are to be provided (i.e. remedial training leading to OJT or customized training); and
g. Supportive services necessary for the customer to complete the training.

5. All training programs must be in accordance with local workforce investment area training limits and other requirements.

a. Local areas may consider waivers or exceptions to these limits for certain training programs such as OJT's, Class Size Training, or Customized Training to meet the needs of area employers.

## (F) Training Options

### 1. Individual Training Accounts (ITAs)

The Individual Training Account (ITA) is established for eligible individuals to finance training services. The ITA is established on behalf of a participant. WIOA Title I Adult and Dislocated Workers purchase training services from eligible providers they select in consultation with the case managers.

*For further clarification and guidance on Individual Training Accounts, see Southern 14 LWIB Local Policy No. 7.*

**2. On-the-Job Training (OJT)**

On the Job Training (OJT) is training by an employer(s) that is provided to a paid participant while engaged in productive work in a job that will provide the knowledge or skills essential to adequately perform the job.

*For further clarification and guidance on On-the-Job Training, see Southern 14 LWIB Local Policy No. **24***

**3. Customized Training**

CUSTOMIZED TRAINING.—The term ‘‘customized training’’ means training—

(A) that is designed to meet the specific requirements of an employer (including a group of employers);

(B) that is conducted with a commitment by the employer to employ an individual upon successful completion of the training; and

(C) for which the employer pays—

(i) a significant portion of the cost of training, as determined by the local board involved, taking into account the size of the employer and such other factors as the local board determines to be appropriate, which may include the number of employees participating in training, wage and benefit levels of those employees (at present and anticipated upon completion of the training), relation of the training to the competitiveness of a participant, and other employer-provided training and advancement opportunities; and

(ii) in the case of customized training (as defined in subparagraphs (A) and (B)) involving an employer located in multiple local areas in the State, a significant portion of the cost of the training, as determined by the Governor of the State, taking into account the size of the employer and such other factors as the Governor determines to be appropriate.

WIOA Section 3 (14)(A)(B)(C(i)(ii) & CFR Title 20 - Chapter V - Part 663 - Subpart G - §663.715

**4. Incumbent Worker Training (IWT)**

Incumbent Worker Training is defined in state policy. This type of training is to be provided when current employees need to improve their skills in order to avoid being laid off from a company that is at risk of downsizing or closing.

*For further clarification and guidance on Incumbent Worker Training, see Southern 14 LWIB Local Policy No. 25.*

**(G) Programs of Demonstrated Effectiveness**

1. This is an exception to the ITA requirements if the local board determines that there is a training services program of demonstrated effectiveness offered in the local area by a community-based organization or another private organization to serve special participant populations that face multiple barriers to employment.

a. The following criteria must exist to utilize the exception:

1) The training must be for a special low income population with multiple barriers to employment, including substantial language or cultural barriers, offenders, homeless, and disabled individuals.
2) The training must be provided by a Community-Based Organization (CBO) or other private organization.
3) The training provider must be an eligible WIOA Training provider.

b. Other requirements

The LWIB must develop criteria to determine 'effectiveness' in the context of this exception. These criteria may include:
1) Financial stability;
2) Low income targeted group needing training in a class size setting; or
3) A situation where it makes sense to use this exception versus an ITA.

**(H) Limited Training Service Providers**

WIOA Section 134(d)(4)(G)(ii)(II), and the federal rule at 20 CFR 663.430(a)(2), provide that contracts for training rather than ITAs may be used when there is an insufficient number of eligible providers in a local area. This exception applies primarily to rural areas.

1. When the LWIB determines that there are an insufficient number of eligible providers in the local area to accomplish the purpose of a system of ITAs, the Local Plan must describe the process to be used in selecting the providers under a contract for services.

2. This process must include a public comment period for interested providers of at least 30 days.

3. An LWIA that has determined that there are insufficient eligible providers in the local area to accomplish the purposes of the Act and complies with the requirements of 20 CFR 663.430 may use ITA's to a limited degree or not at all.

a. This provision may be interpreted as a 'blanket' waiver regarding the requirement to use ITAs.

b. However, given the current widespread use of ITAs in all areas of Illinois (including rural areas), it is not expected that this provision could be justified on a blanket basis.

c. However, there may be instances when one or more programs are either unavailable altogether or are available from one or a very few eligible providers - resulting in limited choice for training consumers.

d. In such cases it is more justifiable to apply this provision on an exception basis rather than as a blanket.

e. Applying this exception on a program-by-program basis is more consistent with the direction provided in federal rule that exceptions to the use of ITAs be infrequent.

f. Therefore, an LWIB may invoke this provision on a program-by-program basis.

g. The LWIB must document the formal action determining that there are an insufficient number of eligible providers and make appropriate modification to the Local Plan to support the exception(s).

h. To the extent exceptions are made, such an LWIA will be considered to be in compliance, regardless of the percent of combined adult and dislocated worker training funds expended through these contracts or the proportion of customers served through ITAs.

i. However, it is expected that the LWIB will continue to make efforts to maximize customer choices for training options under the contract for services procurement approach.

j. As required by 20 CFR 663.505(b)(1)(ii), contracts for training entered into under this exception may only be to eligible training providers as determined under WIOA Section 122 (i.e., these programs must be on the State list of certified training programs).

**(I) Work Experience (Adult and Dislocated Worker)**

Not all educational experiences available to WIOA participants are classified as training services or occur under conditions similar to those outlined in the Training Options (Section B.). Work Experience can be used by the customer to successfully complete their training goals.

1. Work experience is a planned, structured learning experience that takes place in a workplace for a limited period and may be paid or unpaid. Work experience differs from OJT and IWT training in that there is no hiring occurring prior to or agreement to hire following the learning experience. Work experience is considered an intensive service under WIA.

   a. Participants in a paid work experience must be provided a reasonable wage to the extent that it is consistent with that paid for similar work according to OMB Circular A-87 or A-122, which ever applies.

   b. The employment of participants must not occur at a workplace where:

      1) A participant's employment would unfavorably impact current employees (a youth participant would displace all or a portion of a current employee's hours including overtime, wages, employment, benefits, or promotional opportunities);
      2) A participant's employment would impair existing contracts for services or collective bargaining agreements;
      3) A participant's employment would replace the work of employees who have experienced layoffs; or
      4) An employer has terminated a regular employee or otherwise reduced its workforce with the intention of replacing them with participants subsidized with these funds.

   c. The work experience has meaningful and adequate supervision (with provisions made for supervision when the regular supervisor may not be available).

   d. The work experience is achieving the goals for which it was designed (possible with documented learning experiences).

e. LWIB 26 financial limits for work-based training. Training dollars are capped at $15,600 ~~10,000~~ per employee. Special exception to this guideline must be approved in writing by Southern 14 Workforce Investment Board, Inc. The training program should generally not exceed at total of 1,040 full-time hours of actual training (the equivalent of full-time training for six (6) months). Special exceptions to this policy must be approved in writing by Southern 14 Workforce Investment Board, Inc.

## (J) Reporting Requirements of Training Contracts

The programmatic reporting requirements include entry of information on participants into the Illinois Workforce Development System (IWDS) including:

1. All services and activities **must** be documented in IWDS **within five (5) business ~~ten (10) calendar~~ days of the occurrence of the start and end dates of the services and activities in which the participant is enrolled as well as the participant's exit date** to ensure current information is available for Federal reporting purposes.

## (K) Financial Reporting

1. Obligations and expenditure reporting for local level contracts will be completed in the DCEO Grantee Reporting System (GRS) using the guidelines and instruction found in state policy.

2. Grantees must report their accrued expenditures by the 20th day of the following month.

## (L) Performance

1. Customers that are formally registered in WIOA will be included in the local area's federal performance standards.

# WIOA YOUTH BACHELOR'S DEGREE POLICY

Southern 14 Workforce Investment Board, Inc. LWIA #26

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Title IY funds allocated to the 14 counties of the Southern 14 Workforce Investment Board Area 26 may be used,~~–~~**depending on funding eligibility**, to provide financial assistance to eligible **WIOA** Youth seeking a baccalaureate degree. To be eligible to receive financial assistance for a baccalaureate degree program:

1) The bachelor's degree program that the participant is seeking is available and can be obtained at a public college or university within the state of Illinois, or at a four year public college or public university that agrees to waive out of state tuition fees or, if the participant agrees to pay the difference between in-state tuition and out-of-state tuition.

2) The eligible youth must have completed their secondary education with a "C" average and exhibit the maturity and the ability to complete a baccalaureate program.

3) The eligible youth's associate degree must be obtained through a local community college whose district they reside in unless that college does not offer the associate degree the student is seeking. Any transferable credits beyond their associate's degree toward their bachelor's degree will be obtained from a local community college when possible. Local community college is defined as a community college whose college district includes any of the 14 counties that comprise Local WIOA #26. Students already possessing an associate degree are exempt from this requirement.

~~4~~) The eligible youth will consult with a WIOA ~~-~~career planner and the community college advisor to map their individual bachelor's degree program requirements to achieve the maximum transferable credits.

5) The bachelor's degree will be in a high growth area which will lead to employment in the local area unless the participant signs a relocation agreement.

*So 14 LWIB Approved 6.14.16*

# CONTENT POLICY FOR ILLINOIS WORKNET

Southern 14 Workforce Investment Board, Inc., LWIA #26

## Illinois workNet Purpose

Illinois workNet is a unique, free, and user-friendly online resource that provides career, education, and work support information for all Illinois residents and businesses.

***For individuals*** seeking career information or employment, Illinois workNet provides information on job opportunities and career, education, and work support services.

***For businesses***, Illinois workNet provides assistance to recruit workers, find training resources, and access other types of assistance to remain competitive.

***Illinois workNet aims to cultivate*** a well-trained workforce by providing valuable resources for the state's businesses and citizens, creating a solid foundation for a thriving 21st century economy.

## A. Illinois workNet Standards

All local information published to the portal must support the goals of the portal. Some of the goals are through virtual access:

- enable individuals and businesses to benefit from access to Web-based workforce services to include Universal Core Services and information that, in the past, were typically provided through physical locations
- streamline access to workforce-related resources and services through a customer friendly interface
- bring together career resources and economic development
- maintain a high level of information quality
- support a dynamic environment that assures current and relevant statewide and local information
- be accessible to all Illinois citizens

## B. General Guidelines

- All information must be accurate, grammatically correct, and up to date. Expired information should not remain on the portal.
- All links must work and be to Web site information that is relevant to the purpose and goals of the portal and require minimal, if any, registration.
- All images must be within the content manager's graphic specifications and represent the goals of the portal.

- Local information is placed in the appropriate posting area.
- LWIAs may not charge not-for-profit organizations for advertising services on Illinois workNet.

## C. Workforce Innovation and Opportunity Act (WIOA) Policy

LWIAs may charge for the use of local banner space according to WIOA regulations stated at CFR Title 20 - Chapter V - Part 667 - Subpart B - §667.200 and Administrative requirements which govern WIOA stated at http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=4b8a9273c2924418b1fb0a4977e70c6c&mc=true&n=sp20.4.667.b&r=SUBPART&ty=HTML#se20.4.667_1200 as long as it falls within the guidelines of the inclusion and exclusion policy.

WIOA regulations state at 667.200(a)(5) The addition method, described at Title 29 - Subtitle A - Part 95 - Subpart C - §95.24 or Title 29 - Subtitle A - Part 95 - Subpart C - §95.25 (as appropriate), must be used for all program income earned under WIOA title I grants. When the cost of generating program income has been charged to the program, the gross amount earned must be added to the WIOA program. However, the cost of generating program income must be subtracted from the amount earned to establish the net amount of program income available for use under the grants when these costs have not been charged to the WIOA program.

## D. Local content that can be INCLUDED in Illinois workNet:

All local information published to the portal must support the goals of the portal. Event information or services that are provided to the community to support finding a job, exploring careers and education/training, and locating work support information can be published to the portal. Information published on the portal can come from any of the following entities:

- Federal, state and local government offices and nonprofit community-based agencies that provide a community service
- Organizations such as professional organizations, churches, social clubs, social or fraternal organizations and civic groups that offer a service for the community-at-large which is not restricted to their members
- Public and private housing providers that offer subsidized or below market rent apartments
- For profit businesses that offer a unique service which is not widely offered by the nonprofit community, such as board and care facilities, sober houses, companies that modify motor vehicles to accommodate drivers with disabilities
- Hotlines, help lines, information lines and information and referral lines that are administered by a nonprofit or government entity
- School districts, colleges and universities, within Illinois and states that border Illinois
- Consumer protection and basic business services that are either government designated or contracted
- Comprehensive and specialized information and referral services

- For-profit agencies that provide free or low-cost services
- Commercial, for-profit, or not-for-profit businesses that are advertising open staff positions

## E. Local content that is EXCLUDED from Illinois workNet:

Events, promotions, or services that are published on the portal:

- may not be illegal, obscene, threatening, defamatory, invasive of privacy, infringing of intellectual property rights, or otherwise injurious to third parties or objectionable
- may not consist of or contain software viruses, political campaigning, direct or indirect lobbying, religious campaigning, commercial solicitation, chain letters, mass mailings or any form of "spam".

## F. Organizations that are EXCLUDED from Illinois workNet:

- Agencies or groups that misrepresent their services in any way
- Agencies or groups that deny services on the basis of color, race, religion, sexual preference, or nationality
- Agencies or groups whose service is illegal
- Agencies or groups whose services cannot be verified
- Agencies or groups that have credible or serious complaints about their service registered against them
- Commercial or for-profit products or services such as selling a car, advertising products

## Illinois workNet Privacy Policy

Individuals and businesses that provide personal information to Illinois workNet for the purpose of setting up an account are protected by the Privacy Act of 1974, as amended (5 U.S.C. 552a). This Act requires Illinois workNet to notify end users that the Privacy Act protects the information they are providing. Further, Illinois workNet parties will not share any personal information with any other organization or individual unless required by Department of Justice or by a court in connection with litigation. To learn more about the Illinois workNet Privacy Policy visit http://www.illinoisworknet.com/vos_portal/residents/en/admin/privacyPolicy.htm

**Data Security** The Illinois WorkNet system provides security for end user data. Secure Socket Layer (SSL) is used when a user enters any personal data, from registering, to logging into the application, and any updates to personal information. SSL ensures sensitive user data such as a password or SSN is encrypted when being transmitted from the client browser to the server and back. The data is stored in a secure database within a secure datacenter.

## Local Content Policy Agreement

Illinois workNet sites agree to use the adopted Illinois workNet Local Content Policy and understand that the site must meet all specified requirements.

## LWIA Contact Information

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| LWIA Signature / Date | LWIB Signature / Date |
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Developed for Illinois Department of Commerce ~~and Economic Opportunity~~ By Southern Illinois University, Department of Workforce Education and Development

# INCENTIVE ALLOCATION POLICY

Southern 14 Workforce Investment Board, Inc. LWIA #26

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Incentive funds will be allocated to the service providers that exceeded performance in the measures for which the local area received funds based upon the amount of funds allocated by the state for those measures.

**Qualification Requirements**

1. In order to qualify for a performance incentive bonus, ***all performance measure outcomes*** must meet or exceed 80 percent (> 80%) of the negotiated levels and at least one performance measure outcome must meet or exceed 100 percent (> 100%) of the negotiated level.

2. In order to qualify for a training expenditure incentive bonus, a service provider must meet or exceed the required training expenditure levels (40%) for the WIOA Title I Adult and Dislocated Worker Programs.

If the area did not receive funds for a measure there will be no funds allocated to the service providers for that measure.

If one service provider exceeded in a measure and the other two met or failed, the provider that exceeded would receive all of the funds for that measure. If two of the service providers exceeded in a measure and one met or failed that measure the money would be divided evenly between the two that exceeded the measure. If three exceeded the measure the funds would be divided equally among the three.

The information used to evaluate the Client Customer Satisfaction Rate (CCRS) and the Employer Customer Satisfaction Rate (ECSR) is confidential, there is no way to tell which areas contributed to these measures. If the local area receives money for having exceeded in either of these measures, funds will be distributed equally among all of the service providers.

Receipt and distribution of the incentive funds will be reported to the board annually.