1. Call to Order and Introductions

2. Public Comment

3. Consent Items:
   3.1 Approve the September 11, 2019 Minutes

4. Action Items:
   4.1 Review and Approve Local Area Policies
       a. On-the-Job Training Policy
       b. Individual Training Accounts (ITA) Policy
       c. Supportive Services Policy
       d. Needs related payments Policy
       e. Work Experience Policy
       f. Youth Incentives Policy
   4.2 Review and Approve Proposed Executive Committee Meeting Schedule Change

5. Reports:
   5.1 Chairperson’s Report
   5.2 Staff Report
   5.3 Rapid Response Update

6. Administrative Entity Updates:
   6.1 Receive and Review Fiscal Budget Update

7. Board Member Workforce Development Updates

8. Next Meeting:
   Wednesday, December 11, 2019 at 8:00 AM
   Department of Social Services Room 101, 3433 South Higuera Street SLO

9. Adjournment
Item 3.1

WORKFORCE DEVELOPMENT BOARD of San Luis Obispo County

EXECUTIVE COMMITTEE MEETING MINUTES

Date: Wednesday, September 11, 2019
Time: 8:00 AM – 10:00 AM
Location: 3433 South Higuera Room 356, San Luis Obispo, CA

Present: Carl Dudley, Isiah Gomer, Loreli Cappel, Justin McIntire
Absent: Louise Matheny, William Hills, Patrick McGuire
Staff: Dawn Boulanger, Sarah Hayter, Diana Marin Leann Ross
Guest: Jenny Huss, Allison Schiavo

Opening Discussion Item – Loreli Cappel (WDB Executive Committee Member), Justin McIntire (WDB Executive Committee Member), Dawn Boulanger (Staff) and Sarah Hayter (Staff) report out on CWA Meeting of the Minds Conference

1. Call to Order:
Chair Carl Dudley: called the meeting to order at 8:07 A.M. Quorum.

2. Public Comment:
Chair Dudley: opened the floor to public comment without response.

3. Consent Items:
3.1 Approve the June 12, 2019 Minutes
Motion: Loreli Cappel
Second: Isiah Gomer
Abstentions: None
Motion Passed Unanimously

4. Action Items:
4.1 Review and Approve Incumbent Worker Training Policy
Sarah Hayter (Staff) presented the item which is part of the agenda. The Committee approved the Incumbent Worker Training Policy. Committee asked that Policy be taken to full Workforce Development Board for further discussion and to promote implantation of policy.

Motion: Isiah Gomer
Second: Justin McIntire
Abstentions: None
Motion Passed Unanimously

5. Information Items:
5.1 Receive notification regarding procurement of WIOA AJCC services provider for program year 2020-2021
Sarah Hayter (Staff) presented the item and explained that the WIOA AJCC services provider procurement for program year 2020-21 will be going out fall of 2019. Sarah
asked the committee members if they would like the potential service provider bidders to present to the committee and invite full WDB members to attend as due to timing presentations would not align with full WDB meeting dates. The committee agreed to have bidders present. WDB staff to check with County Council to ensure that confidentiality is not an issue. The selected service provider would start July of 2020.

6. Reports:

6.1 Chairman’s Report: Carl Dudley (Chair) reported that on 6/12/19 Executive Committee reviewed and approved the WIOA MOU and appointed an Ad-Hoc committee for the AJCC procurement. The Ad-Hoc committee met on 8/20 and assessed the options for procurement of AJCC services. Due to limited funding, the committee determined that the most feasible option is to continue to include all funding and WIOA service components in a single contract (Adult, Dislocated Worker, Rapid Response and Layoff Aversion funds all into one single contract). The procurement is anticipated for release in Fall 2019 for July 1, 2020 service implementation. On August 1, 2019 the Workforce Development Board (WDB) met and approved the re-appointment of Carl as Chair; Louise as Vice-Chair as well as the appointment of Kirk Coviello to Business Council. The WDB also reviewed and approved fiscal year 2019-20 local area budget and found that there has been an almost 10% reduction in funds annually over the past 3 years. The WDB will seek grant funding and other options to diversify budget funding streams as well as better alignment with the CalWORKS and CalFresh Employment & Training funding and services. The 2019-20 budget includes a significant investment in direct services to the community via a $100,000 increase in the AJCC contract. This results in a notable decrease in DSS Operating and WDB Set-Aside budgets.

6.2 Staff Report: Dawn Boulanger (Staff) reported that there are 4 upcoming grants and grant opportunities which include SB1, the Prison to Employment Initiative, AB 1111 as well as Slingshot 2.0.

6.3 Rapid Response Report: Diana Marin (Staff) reported on Program Year (PY) 2018-19 Rapid Responses. Diana noted that nearly half of response were for the Retail Industry and all, but 1 Rapid Responses were closures. 46 total Rapid Responses in PY 2018-19

7. Administrative Entity Updates:

7.1 Receive and Review Fiscal Budget Update: Dawn Boulanger reported on the Fiscal Budget which is part of the agenda.

8. Board Member Workforce Development Updates:
No updates reported.

9. Next Meeting:
October 9, 2019 at 8:00 a.m.
Department of Social Services
3433 South Higuera Street, Room 101, San Luis Obispo

9. Adjournment:
Chair Dudley: adjourned the meeting at 9:17 A.M.

I, Diana Marin, Clerk of the Executive Committee of the Workforce Development Board of San Luis Obispo, do hereby certify that the forgoing is a fair statement of the proceedings of the meeting held Wednesday, September 11, 2019 by the Executive Committee of the Workforce Development Board of San Luis Obispo County.

Diana Marin, Executive Committee Clerk

Dated: September 11, 2019
AGENDA ITEM NUMBER: 4.1

ITEM: Review and Approve Local Area Policies

ACTIONS REQUIRED: Review and approve updates to Local Area WIOA Policies

SUMMARY NARRATIVE:

As approved in the fiscal year 2018-18 WIOA budget for San Luis Obispo County, the WDB conducted a local area policy review with workforce consultant Racy Ming Associates to ensure compliance with local, state and federal guidance. All local area WIOA policies were reviewed and updated for clarification and consistency in language, ensuring all required regulations were incorporated and referenced. County WIOA policies now ensure clear communication to WIOA service providers and WDB/Department of Social Services WIOA staff. Policies impacting fiscal matters, limiting state or federal guidance, or where local area discretion is permitted are brought to the WDB for approval.

Only one policy resulted in programmatic change through this review process. The WIOA Youth Incentive policy was modified to eliminate the previously allowed incentive for meeting WIOA performance measure of maintaining employment in the 2nd quarter post program exit. Upon review of WIOA regulations the intent of incentives in the Youth program is for accomplishment of goals achieved while in program, not post-program achievements. This was discussed with the current service provider prior to bringing this policy to the WDB for approval. Upon approval of the WDB, the WIOA Youth service provider will make any changed necessary in their policies and procedures to comply with this change.

STAFF COMMENTS:

It is recommended the WDB review the attached local policies that have fiscal impacts on the WIOA budget, discuss any questions or additional changes, and approve the revised policies for implementation in the County. Upon WDB approval, all updated local area WIOA policies will be made publicly available on the WDB County website.
POLICY NO: 05-19

TO: Service Providers

FROM: Department of Social Services

EFFECTIVE:

SUBJECT: On-The-Job Training (OJT) Policy

REFERENCES:
- Workforce Innovation and Opportunity Act (WIOA) of 2014, Section 134
- Title 20 Code of Federal Regulations (CFR) Sections 680.700-680.730
- Workforce Services Directive 15-09

PURPOSE:
This policy provides guidance regarding the use of On-the-Job Training (OJT) contracts as an allowable local training activity to enrolled WIOA Title I participants.

This policy is based on SLO WDB’s interpretation of WIOA law, regulations and policies and federal, state and local laws, regulations and policies. This policy will be reviewed and updated based on any additional federal or state guidance.

BACKGROUND:
WIOA Section 134(c)(3)(D)(ii) lists on-the-job training as an allowable local employment and training activity. Section 3(44) of the WIOA defines OJT as “training by an employer that is provided to a paid participant while engaged in productive work.” Additionally, any OJT should provide knowledge or skills essential to the full and adequate performance of the job. The WIOA allows reimbursement to the employer to offset the extraordinary costs of the provision of the training and additional supervision required during the course of the training. Employer reimbursement rates are typically negotiated at a limit of 50%. However, WIOA permits Local Workforce Development Boards (WDB) to increase the reimbursement rate for OJT up to 75% under certain circumstances. (WIOA 134[c][3][H])

Through the effective use of OJT contracts, eligible WIOA participants are afforded employment opportunities that provide occupational skills training while earning a sustainable income.
POLICY:
WIOA Service Providers in San Luis Obispo County will utilize OJT contracts, as an appropriate and allowable training activity, consistent with the definitions and requirements of WIOA. OJT may be provided under a contract with an employer in the public, private non-profit, or private sector. OJT will only be provided for positions paying no less than $0.50 above the current minimum hourly wage, and for employment providing no less than 32 hours of work per week. OJT participants should not comprise the majority of employees in an organization.

WIOA Section 134(c)(3)(H)(ii) permits Local Workforce Development Boards (WDB) to increase the reimbursement rate for OJT up to 75% when taking into account:

- the characteristics of the participant and whether they are an individual with barriers to employment;
- the size of the employer, with an emphasis on small business;
- the quality of the employer-provided training and advancement opportunities, including whether the OJT contract is for an in-demand occupation and will lead to an industry recognized credential; and
- other factors that the Board may determine to be appropriate, which may include the number of individuals participating, the wage and benefit levels of the participants both during and following the completion of the OJT, and the relation of the training to the competitiveness of the participant.

The San Luis Obispo County WDB approves the use of higher reimbursement rates for certain sizes of small businesses in San Luis Obispo County as outlined below based on contract negotiation:

- 1-20 employees reimbursed at a maximum of 75%
- 21-35 employees reimbursed at a maximum of 70%
- 36 employees and above, reimbursed at a maximum of 50%

PROCEDURES:

Employer Eligibility
Careful consideration should be given when selecting a suitable employer. General business practice in terms of working conditions (safety, health), presence of health benefits, wage structure, turnover rates, adequate staff and equipment to carry out the training, and whether the employer is in compliance with federal, state and local laws, etc. are potential indicators to research.

OJT is a “hire first” program; the trainee becomes an employee of the company at the start of the training program, however it may not be someone already on the employer’s payroll, nor be hired prior to the effective date of the OJT contract (with the exception of up-skill OJT contracts for Employed Workers as outlined below in this policy). Training may begin after the OJT contract has been signed by all parties.
The employer is required to certify his/her intention to retain the trainee after the subsidized training period if the trainee accomplished the stated training goals outlined in the OJT contract.

The OJT must be conducted at the employer’s place of business or another site, and may not be subcontracted.

Participant/Trainee Eligibility
To be eligible for OJT services, the trainee must:

A. Unemployed Workers
   1. Be enrolled in the WIOA program; and
   2. Have participated in assessment activities; and
   3. Have completed an Individual Service Strategy (ISS)/Individual Employment Plan (IEP)

B. Employed Workers
   1. Conditions 1-3 under item A above must be met; and
   2. An employee who is not earning a self-sufficient wage (determined by local policy) or wages comparable to, or higher than, wages from previous employer; and
   3. The OJT relates to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, or workplace literacy.

Service Provider Responsibilities
Service Providers shall accept unconditional fiduciary responsibility for issuing federal funds on behalf of the WDB as specified in this policy. Service providers shall establish and utilize appropriate checks and balances necessary to guarantee the integrity of the OJT funding. Service Providers shall ensure systems are in place for the review, approval and payment/reimbursement of OJT contracts pursuant to current WIOA, State regulations, and local WDB directives, policies and procedures. Reimbursement amounts to employers utilizing OJT will be based on straight time hours worked in training and will not exceed the maximum allowed under WIOA and/or local policy.

OJT Contract
The San Luis Obispo County WDB requires a written, signed agreement between the Service Provider and the authorized employer prior to the start of an OJT. At minimum, an OJT contract between the Service Provider and an employer must comply with the requirements of Sections 194(1) and (4) and 101(44) of the WIOA and include:

1. The occupation(s) for which training is to be provided
2. The duration of the training.
3. The wage rate to be paid to the trainee/participant.
4. The rate of reimbursement
5. The maximum amount of the reimbursement
6. A training outline that reflects the work skills required for the position.
7. An outline of any other separate classroom training that may be provided by the employer.
8. The employer’s agreement to maintain and make available time and attendance, payroll, and other records to support amounts claimed by the employer for reimbursement under the OJT contract.
9. A written assurance by the employer that said employer complies with the following wage and labor standards:
   a. Participants/trainees shall be compensated at the same rates, including periodic increases, as trainees of employees who are situated in similar occupations by the same employer and who have similar training, experience and skills. Such rates must be in accordance with applicable minimum wage laws. If the employer operates under a collective bargaining agreement, the wage and benefits must be those specified in that union agreement and the job opening must be cleared with the appropriate union.
   b. Participants/trainees shall be provided benefits and working conditions at the same level as similarly situated trainees or employees.
10. A written assurance by the employer that said employer complies with health and safety standards established under Federal and State law.
11. Verification that the employer has adequate and current workers’ compensation insurance which must be provided to participant/trainees engaged in the OJT.
12. Documentation the employer is in compliance with requirements of the Civil Rights Act with respect to equal opportunity in employment, as well as comply with all Federal, State and local laws including those laws pertaining to nondiscrimination.
13. A written assurance that the employer is not experiencing abnormal labor conditions such as strikes, lockouts, or layoffs and the OJT participant/trainee will not dislocate or affect employment or promotional opportunities for employer’s current or laid-off employees.

OJT contracts used in the County will be used for positions that are directly linked to employment opportunities in the local area as determined by labor market information. OJT contracts will be limited in duration as appropriate to the occupation for which the participant is being trained and based on Specific Vocational Preparation (SVP) times and the previous experience of an individual. SVP is the amount of training time required by a typical worker to learn the techniques, acquire the information, and develop the competencies needed for the average performance in a specific job-worker situation. An SVP level is based on the job seeker’s applicable transferable skills and therefore the actual training period may be less than the SVP training period. The duration of an OJT contract must also take into account the content of the training and the prior work experience of the participant. This shall be documented in the participant file via the assessment process and subsequent ISS/IEP development and included in the case notes. An OJT contract should not exceed 6 months or 1,040 hours.
Service Providers must develop and implement policies and procedures that describe the process to be used to determine appropriate OJT participants and employers; and the basis for determining the duration and reimbursement level of the OJT. Service Provider’s policies and procedures must clearly identify the parameters to be used when increasing the reimbursement levels above 50%.

PROHIBITIONS

1. Consistent with the WIOA Section 194(4) and 20 CFR 680.700(b), OJT contracts using funds under the Act shall not be provided to employers who have exhibited a pattern of failing to provide participants with continued long-term employment, including the provision of wages, working conditions and employment benefits consistent with other employees with similar tenure and duties.

2. OJT contracts shall not be entered into with employers of a business or part of a business that has relocated from any location in the United States, until such company has operated at the new location for 120 days, if the relocation resulted in any employee losing her/his job at the original location.

3. No funds provided to employers for OJT may be used to directly or indirectly assist, promote or deter union organizing.

4. No funds provided to employers for OJT may be used to employ the participant/trainee in a position involving political activities.

5. No funds provided to employers for OJT may be used in the employment or training of participants/trainees involved in the construction, operation, or maintenance of that part of a facility which is used for religious instruction or worship (sectarian activities).

6. The employer or immediate supervisor shall not provide OJ T training to a member of his/her immediate family (defined as: wife, husband, son, daughter, mother, father, brother, brother-in-law, sister-in-law, son-in-law, daughter-in-law, mother-in-law, father-in-law, aunt, uncle, niece, nephew, grandparent or grandchild).

7. The employer is an Employment Agency that provides only temporary or intermittent employment.

8. The employer has laid off a WIOA participant and subsequently recalled or rehired the individual for the same position.

9. OJT contracts cannot provide for commissions, sales, piece-work, occupations requiring licensing as a prerequisite for hiring, or occupations that would include tips.
MONITORING
Service Providers issuing the OJT contract shall monitor the OJT employer and/or the entity performing the training, at the worksite, at least one time during the term of the agreement. All monitoring results must be documented and retained by the Service Provider.

The purpose of monitoring an OJT agreement is to:

- Ensure participant employment is substantiated by payroll and time attendance records;
- Ensure that the training is being provided as specified in the agreement;
- Ensure that all parties are adhering to the contract provisions; and,
- Ensure performance reviews are conducted in compliance with the OJT contract conditions.

The Department of Social Services, as the Administrative entity for the WDB will monitor Service Providers for compliance with this OJT policy as part of the regularly scheduled program and fiscal monitoring, as appropriate.

EXCEPTION TO POLICY:
There may be extenuating circumstances that would warrant an exception to this policy. Any authorizations exceeding the OJT parameters as listed in this policy must be approved by the DSS Program Manager.

AVAILABILITY OF FUNDING:
Service providers will take necessary steps to disburse WIOA participant training funds in a manner to provide services throughout the program year to customers who are in need and to meet State-mandated Participant Training Expenditure requirements as outlined in the Service Providers’ contract with DSS.

ACTION:
WIOA Title I Service Providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.

INQUIRIES:
Any questions regarding this policy may be directed to the DSS Program Manager at 805-781-1838.

Workforce Development Board (WDB) Approval Required? Yes X No____
Initial approval date: 11/02/2017

WDB revision approval date: __________________
POLICY NO: 06-19

TO: Service Providers

FROM: Department of Social Services

EFFECTIVE:

SUBJECT: Individual Training Accounts (ITAs)

REFERENCES:
  § Workforce Innovation and Opportunity Act (WIOA), Section 129 (c)(2)(D) and Section 134 (c) (G)
  § WIOA Final Rule 20 CFR 680.300-680.330
  § WIOA Final Rule 20 CFR 681.550

PURPOSE:
This policy provides guidance regarding the use of Individual Training Accounts (ITA's) for the procurement of training services for enrolled and eligible WIOA Title I participants. ITA’s may be established on behalf of eligible individuals to fund occupational skills training programs identified on the State approved, Eligible Training Provider List (ETPL). Selection of program of training from the ETPL must include an analysis of skills assessments, labor market conditions/trends and the training provider's performance.

This policy is based on SLOWDB’s interpretation of WIOA law, regulations and policies and federal, state and local laws, regulations and policies. This policy will be reviewed and updated based on any additional federal or state guidance.

BACKGROUND:
WIOA Section 134(d)(4)(G) identifies in general, training services shall be provided through Individual Training Accounts for eligible individuals through the America’s Job Center of California (AJCC) delivery system. Training services provided through ITA’s shall be directly linked to occupations that are in demand in the local area, the planning region or other area to which the participant is willing to locate. The local board may also approve training services for occupations determined by the local board to be in sectors
of the economy that have high potential for sustained demand or growth in the local area.

Training services provided under this section of WIOA shall be provided in a manner that maximizes informed consumer choice in the selection of an eligible provider. The local board shall make available the State list of eligible providers of training services with a description of the programs through which the providers may offer the training services and the performance information and performance cost information relating to eligible providers of training services. This ETPL is located on the State of California CalJOBS site at caljobs.ca.gov.

**POLICY:**
It is the policy of the San Luis Obispo Workforce Development Board (WDB) to fund training through Individual Training Accounts (ITAs) only with those vendors listed on the State of California Eligible Training Providers List (ETPL). The WDB has approved the issuance of ITAs not to exceed $8,000 total cost, including tuition and other training-related items supplied by the training provider.

Exceptions to use of Individual Training Account
Training services may be provided pursuant to a contract for services in lieu of an individual training account if:

1. Such services are on-the-job training, customized training, incumbent worker training, or transitional employment; or
2. The local board determines there are an insufficient number of eligible providers of training services in the local area involved (such as in a rural area) to accomplish the purposes of a system of individual training accounts; or
3. 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 individuals with barriers to employment.

The WDB must take action to authorize the use of contracts through items 2 or 3 above, prior to Service Providers using those rationales for training.

**PROCEDURES:**

**Participant/Trainee Eligibility**
To be eligible to receive an ITA, the participant must:

1. Be enrolled in the Adult, Dislocated Worker, or Out-of-School Youth program; and
2. Be assessed by a WIOA Service Provider staff member and be determined to be in need of training to secure or retain employment; and
3. Select an eligible training provider in consultation with Service Provider staff that is listed on the State of California’s ETPL; and
4. Have an Individual Employment Plan (IEP) or Individual Service Strategy (ISS) in the participant file supporting the need for classroom training through an ITA and confirmation that completion of the training is likely to lead to employment;
5. Be unable to obtain grant assistance from other sources to pay the costs of their training; or
6. Require assistance beyond available grant assistance from other sources to pay the costs of such training.

Assessment
Individuals must, at a minimum, receive either an interview, evaluation, or assessment, and career planning with sufficient detail to enable the Service Provider staff to determine if the individual is eligible for and in need of training services. A partner program assessment, conducted within the past six (6) months, may be used in the evaluation process. The case file must contain a determination of need for training services as determined through the assessment process and must be documented in the IEP or ISS. The Service Provider staff must ensure the participant is making an informed selection based on assessments, local labor market information, training provider performance information and any other relevant information regarding the potential for the individual to gain employment upon completion of the training.

Career services are not mandatory prior to training services, however, if they are not provided prior to training, the case file must include documentation to justify the need to provide training without an interview, evaluation or assessment and career planning.

Service Provider staff must determine, through the assessment process, the following prior to approving training through the ITA:

1. The individual is 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 career services; and
2. The individual is in need of training services to obtain or retain employment leading to economic self-sufficiency or wages comparable or higher than wages from previous employment; and
3. The individual has the skills and qualifications to participate successfully in training services.

Pell Grant Provisions
WIOA funding for training is limited to participants who are unable to obtain grant assistance from other sources to pay the costs of their training, including such sources
as state-funded training funds, Trade Adjustment Assistance, and Pell Grants, or require WIOA assistance in addition to other sources of grant assistance, including Pell Grants.

Service Providers must coordinate funds available to pay for training and make funding arrangements with other partners and entities. Funding sources to consider include Temporary Assistance for Needy Families (TANF), state-funded training funds, and Pell Grants, so that WIOA funds supplement, rather than supplant, other sources of training grants.

A WIOA participant may enroll in WIOA-funded training while his/her application for a Pell Grant is pending as long as the AJCC Service Provider has made arrangements with the training provider and the WIOA participant regarding allocation of the Pell Grant, if it is subsequently awarded. In that case, the training provider must reimburse the AJCC service provider the WIOA funds used to underwrite the training for the amount the Pell Grant covers. Reimbursement is not required from the portion of Pell Grant assistance disbursed to the WIOA participant for education-related expenses.

All WIOA participant’s that are eligible for training must apply for financial aid prior to the start of training. A copy of the Free Application for Student Aid (FAFSA) must be available in the participant case management file if applicable. Failure to comply with this requirement will stop the approval of training funds. If the school/training program does not allow for the use of Pell Grants, it must be substantiated with a copy of the ETPL listing or other documentation and maintained in the participant file. Eligibility or denial of eligibility for Pell must also be recorded in a case note.

Documentation
The Service Provider must ensure adequate documentation is maintained for each participant, including but not limited to, the following:

1. Copy of the application or acknowledgement of application for Free Application for Federal Student Aid (FAFSA), or verification that the school does not allow for the use of Pell Grants.
2. Copy of the award letter verifying the participant is eligible to receive a Pell Grant, anticipated amount and dates of projected disbursement. If the individual is determined not eligible for a Pell Grant, documentation that supports the determination.
3. Upon receipt of Pell Grant, verification of the actual amount disbursed.

Individual Training Accounts
The following guidelines are to be followed:

1. ITA funding amounts must be consistent with the information listed on the ETPL. In no circumstance may the amount exceed the ETPL information.
2. Service Provider must establish procedures for remittance of costs to vendors associated with the ITAs and is solely responsible for ensuring payment is made on behalf of the participant.

3. Service Provider must only issue ITAs for training vendors that are evaluated, approved and placed on the ETPL.

4. In no event shall an ITA carry a time or dollar balance after the program of training is either completed or terminated.

5. The maximum length of training under a single ITA shall be two years.

6. More than one ITA may be issued to a participant within a two-year period provided the total cost of the ITA does not exceed $8,000 and the trainings are related and necessary.

7. An ITA shall cover the cost of training, including tuition and other training-related items supplied by the training provider (e.g., books, license fees, training materials, registration fees, supplies, uniforms, DMV printouts, physical examinations, immunizations, health fees and insurance) but will not include the costs of supportive services.

8. Training services must lead to an industry recognized certificate, license, credential or degree.

Service Providers must develop and implement policies and procedures that describe the process to be used to determine participants as eligible, suitable and able to benefit from occupational skills training. The polices and procedures must include:

1. Any requirements and/or research that must be conducted prior to approval of an ITA, such as: labor market information research, interview with schools, etc.

2. Development of IEP, ISS and/or other career planning to substantiate the need and suitability of selected training program.

3. Evaluation of available resources to fund the training and ensure there is no duplication of funds.

4. Requirements for timely entry of data, including activity and case notes.

5. Monthly contact requirements and follow up regarding attendance and progress, grades, Pell grants and identification of any new or recurring supportive service needs.

6. Timely collection of tuition refunds (as outlined in the training vendor’s refund policy) when the participant is unable/unwilling to complete the training program.

EXCEPTION TO POLICY:
There may be extenuating circumstances that would warrant an exception to this policy. Any authorizations exceeding the ITA parameters as listed in this policy must be approved by the DSS Program Manager.

AVAILABILITY OF FUNDING:
Service providers will take necessary steps to disburse WIOA participant training funds in a manner to provide services throughout the program year to customers who are in
need and to meet State-mandated Participant Training Expenditure requirements as outlined in the Service Providers’ contract with DSS.

**ACTION:**
WIOA Title I Service Providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.

**INQUIRIES:**
Any questions regarding this policy may be directed to the DSS Program Manager at 805-781-1838.

Workforce Development Board (WDB) Approval Required?  Yes X  No____
Initial approval date: ___5/30/2018________
WDB revision approval date: ________________
POLICY NO: 07-19
TO: Service Providers
FROM: Department of Social Services
EFFECTIVE:
SUBJECT: Supportive Services

REFERENCES:
- Workforce Innovation and Opportunity Act (WIOA) of 2014, Sections 3(59),129(c)(2)(G), 134(d)(2) and (3)

PURPOSE:
This policy provides guidance regarding parameters for granting supportive services to enrolled WIOA Title I Adult, Dislocated Worker and Youth program participants.

This policy is based on SLOWDB’s interpretation of WIOA law, regulations and policies and federal, state and local laws, regulations and policies. This policy will be reviewed and updated based on any additional federal or state guidance.

BACKGROUND:
The Workforce Innovation and Opportunity Act (WIOA) of 2014 provides guidance on the provision of supportive services for WIOA Title I eligible Adults, Dislocated Workers and Youth as needed to participate in WIOA authorized activities. Supportive services may be provided when the services are necessary to enable an individual, who cannot afford to pay for such services, to participate in WIOA Title I Career, Training or Youth services and provided that such services are not available from other sources.

Additionally, Workforce Development Boards may establish limits on the provision of supportive services, including a maximum amount of funding and maximum length of time for supportive services (including needs based payments, described in Policy 20-08) to be available to participants.
POLICY:
The San Luis Obispo County Workforce Development Board will make available supportive services to appropriate WIOA Adult, Dislocated Worker and Youth participants enrolled in Career, Training or Youth services. Supportive services shall not exceed maximum limits for specific categories as defined in this policy and may not exceed an overall maximum of $1,000 per enrollment cycle of a participant. As funding for WIOA supportive services may be limited, Service Providers must ensure they have established protocols for referral to other community resources and programs to assist participants with meeting their supportive service needs.

Supportive services may be provided to eligible individuals who:

1. Demonstrate a financial need to receive support services to enable the individual to participate in Career, Training or Youth services, as documented in a budget and Individual Employment Plan (IEP) or Individual Service Strategy (ISS); and

2. Are unable to obtain supportive services through other programs providing such services.

WIOA authorized supportive services may include, but are not limited to:

- Linkages to community services;
- Assistance with transportation;
- Assistance with child care and dependent care;
- Assistance with housing;
- Needs related payments (further defined in Policy XX-XX);
- Assistance with educational testing;
- Reasonable accommodations for individuals with disabilities;
- Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eyeglasses and protective eye gear;
- Assistance with books, fees, school supplies, and other necessary items for students enrolled in post-secondary education classes; and
- Payments and fees for employment and training-related applications, tests and certifications.

PROCEDURES:

A. Determination of Need

1. Supportive services payments will only be provided when the service is allowable, justifiable, deemed necessary and reasonable, and documented in the Individual Employment Plan (IEP) or Individual Service Strategy (ISS). These forms shall be complete, include a budget reflective of each participant’s financial situation, and shall be used to justify the provision of any supportive services payments and/or reimbursement.

2. Prior to payment of any supportive service, Service Provider staff shall make and document every attempt to ensure that each participant has exhausted all other opportunities to obtain services from other local agencies in the community prior to
approval and submission of any payment and/or reimbursement.

3. Provision of supportive services must be qualified and documented as being essential in assisting an individual to successfully participate in WIOA Career, Training or Youth activities or as necessary for a participant to accept and/or retain employment.

B. Provisions
1. To the extent possible, similarly situated participants will receive similar payments.

2. When supportive service cannot be funded by the primary WIOA Title I Service Provider but are necessary for the participant to continue in the program, the WIOA Title I Service Provider will explore other methods to assist participants in securing such assistance.

3. Supportive Services may not be provided after exit or during Follow-Up for the Adult and/or Dislocated Worker programs. Youth participants may receive supportive services after exit providing the delivery of such services is documented in the ISS with sufficient documentation of need.

4. Unallowable costs include, but are not limited to the following:
   - Interest on borrowing;
   - Deposits (including housing deposits),
   - Fines, penalties and bad debt expenses,
   - Payment for goods/services incurred or received prior to participant enrollment in WIOA
   - Certain legal fees
   - Payments for real or personal property that bears title

5. Receipts or invoices must be detailed sufficiently to ascertain that charges do not include unallowable items.

6. Maximum allowable supportive service expenses per participant will not exceed $1,000 per enrollment cycle. Service Provider staff must ensure sufficient funding is available prior to obligating supportive service funds.

C. Supportive Service Categories
WIOA allows for a wide menu of supportive services. The following are the most generally utilized and authorized supportive services. Supportive services not specifically identified in this directive must be submitted to the DSS Program Manager for approval prior to authorization.

1. Transportation

Transportation assistance is intended to assist WIOA enrolled Adult, Dislocated Worker, and Youth participants with the cost of utilizing public transportation and/or operating a specific automobile that is registered in the name of the participant for a participant to commute to and from work, training or other training or work related WIOA activities. In the event the participant does not possess a car/valid driver's
license, they may request reimbursement for transportation provided by another licensed driver. All documentation requirements shall apply to the designated driver. Vehicle registration and vehicle insurance may not be paid utilizing WIOA funds. The participant’s eligibility and need for transportation assistance must be documented and continue to be evaluated and noted in the case notes at least every 60 days.

a. Service provider must ensure the most economical and sustainable method of transportation assistance is approved for each participant. This will include an evaluation of ability for the participant to continue attendance in training should the participant exhaust the supportive service maximum rate.

b. Service provider must have policies and procedures in place to ensure copies of current driver’s license, insurance and registration are on file for any mileage or auto repair assistance.

c. Mileage reimbursement shall not exceed $3.00 per day for in-county and $5.00 per day for out-of-county, up to the $1,000 maximum for the duration of enrollment. However, the sum of all supportive services (transportation, child care, other services) cannot exceed $1,000.

d. Attendance must be verified for all days in which mileage is claimed.

e. Regional 31-Day Passes may be purchased for individuals to participate in ongoing training or for the first month of employment/on-the-job training.

2. Child Care Assistance

Participants with children 12 years or younger are eligible for child care when it is determined other funding sources, including but not limited to CalWORKS, are not available to pay for such services. Payments for child care may not exceed the Regional Market Rate Ceilings for subsidized child care (http://www3.cde.ca.gov/rcscc/). The selection of safe and adequate child care providers is the sole responsibility of the parent or guardian of the child in need.

3. Automobile Repair

Automobile repair may be authorized for participants who are currently employed or in a WIOA approved training or require assistance to start or retain employment. Case Manager must verify that the vehicle is currently registered and insured under the participant’s name. Auto repair is limited to one vehicle per participant enrollment cycle and such repairs can only be for minor repairs, such as tires, brakes, water pump, etc., not to exceed $250. Regular automobile maintenance, such as oil change, smog inspection, and tune-up services are not reimbursable under this policy.

4. Medical Services

In order to pay for medical services, they must be necessary to enable participation in an approved training activity or to allow a program participant to accept or maintain employment. Supportive services for medical services shall not exceed $150.
Medical services shall be limited to eye examinations, the purchase of eye glasses, hearing tests, the purchase of hearing aids, physical examinations, drug testing, immunizations, health screenings (such as tuberculosis (TB) or hepatitis screening), and x-rays studies as required by a training provider or as a prerequisite for obtaining employment with a specific employer.

5. Housing Assistance

Participants with an immediate need for housing assistance to prevent an eviction may qualify to receive funds towards a one-time emergency housing payment. Housing assistance may not exceed $250 and should only be used in combination with other funding to ensure the participant will not be evicted from current dwelling. WIOA funds may not be used to assist with rental deposits or final month’s rent.

The DSS Program Manager must pre-approve all requests for housing assistance. This request must be submitted in writing with all other required documentation, including a current rental agreement, and must clearly demonstrate all actions taken and resources explored by a participant prior to the request.

6. Text Books, Fees and Supplies

WIOA participants enrolled in “non-WIOA” funded training (including community college or university) programs may be eligible for supportive services to assist with the purchase of books, fees and supplies as needed to participate in their training activity.

   a. The training program must relate to the participant’s enrollment goal, be documented in the IEP/ISS and be verified by the case manager.
   b. A current copy of the syllabus and list specifying text book(s) and associated costs required to complete the training activity must be obtained prior to authorization.
   c. ETPL WIOA funded training programs are not eligible to receive supportive service reimbursements related to the purchase of books. All books related to this type of training shall be included in the original contractual agreement with the training provider.

7. License/Certification Fees

License/Certification fees are allowable when the expense directly relates to a condition of employment, training and/or for attaining employment.

   a. Verification that the testing or exam is needed to participate in the WIOA activity, non-WIOA funded training, or employment must be obtained from the training agency and/or employer.

8. Clothing and Uniforms

Professional, work-appropriate or interview clothing, uniforms and shoes may be purchased for enrolled WIOA program participants, not to exceed $200.
a. Purchase of interview clothing is limited to one (1) set (i.e. blouse or shirt and pants, shirt and skirt, or a single dress, and shoes).

b. Uniforms should be limited to no more than two (2) uniforms.

9. **Tools and Safety Equipment**

Work appropriate tools and necessary safety equipment may be purchased as needed for enrolled WIOA participants to obtain and/or retain employment or participate in training, to a maximum of $200.

a. Tool and safety equipment purchases related to the participant’s occupational goal are allowed providing the training provider or employer submits a list of specific tools or equipment required. The list should include costs and must indicate the tools/equipment are a requirement for training or employment.

b. Tools and safety equipment purchased during the training phase of a participant's program shall not be duplicated during the participant’s employment phase.

D. **Service Provider Responsibilities**

Service Providers shall accept unconditional fiduciary responsibility for issuing federal funds on behalf of the WDB as specified in this policy. Service providers shall establish and utilize appropriate checks and balances necessary to guarantee the integrity of the supportive services funding. Service Providers shall ensure systems are in place for the review, approval and payment of supportive services pursuant to current WIOA, State regulations, and local WDB directives, policies and procedures.

1. All supportive services payments and collection of back-up documentation (i.e. receipts, mileage logs) will be the sole responsibility of the service provider. Service provider must ensure:

   a. Payment records will be maintained, completed and readily available for monitoring or audit reviews.

   b. Participant records and financial records will meet the standards for financial management and participant data systems.

   c. Records will be maintained in accordance with records retention requirements.

   d. Original receipts that are dated, itemized, reflect amount paid and type of payment made, with the vendor’s printed name, address and phone number are required for reimbursement payment.

   e. Original invoices that are dated, itemize services or goods, reflect amount billed, with the vendor’s printed name, address and phone number are required for payment to vendors.

2. Service provider shall ensure that a case note regarding the type of supportive
services received and the corresponding activity are entered in CalJOBS within five (5) working days from the service date.

3. Service provider shall ensure that the total supportive services expenditures for each participant does not exceed the maximum allowable amount of $1,000.

EXCEPTIONS TO POLICY:
There may be emergency or extenuating circumstances that would warrant a higher than average expenditure in any of the service categories. Any authorizations exceeding the average expenditure as listed above must be approved by the DSS Program Manager.

AVAILABILITY OF FUNDING:
Service providers will take necessary steps to disburse the supportive services in a manner to provide services throughout the program year to customers who are in need. It is expected that the availability of funds will fluctuate during the program year as participant need varies.

Supportive services funds distribution is ultimately contingent upon the availability of funds. In response to changing needs and the resulting variations in usage, the supportive service average amounts are subject to change, but will not exceed the maximum expenditures identified in this policy.

ACTION:
All WIOA Adult, Dislocated Worker and Youth Program Service Providers shall comply with this policy. This policy will remain in effect from the date of issue until such time that a revision is required.

INQUIRIES:
Any questions regarding this policy may be directed to the DSS WIOA Program Manager at 805-781-1838.

Workforce Development Board (WDB) Approval Required?  Yes  No

Initial approval date: ______________

WDB revision approval date: ______________
POLICY NO: 08-19

TO: Service Providers

FROM: Department of Social Services

EFFECTIVE:

SUBJECT: Needs-Related Payments

REFERENCES:

- Workforce Innovation and Opportunity Act (WIOA) sec. 134(d)(3)

PURPOSE:
The purpose of this policy is to provide guidance regarding the provision of needs-related payments under the Workforce Innovation and Opportunity Act (WIOA).

This policy is based on SLO WDB’s interpretation of WIOA law, regulations and policies and federal, state and local laws, regulations and policies. This policy will be reviewed and updated based on any additional federal or state guidance.

BACKGROUND:
The Workforce Innovation and Opportunity Act (WIOA) provides supportive service program guidelines for WIOA eligible adult, dislocated workers and youth as needed to assist the individual in reaching his/her employment and training goals.

The WIOA allows for needs-related payments to provide financial assistance to participants for the purpose of enabling them to participate in training as a supportive service. Unlike other supportive services, to qualify for needs-related payments, a participant must be enrolled in training service.

POLICY:
It is the policy of the San Luis Obispo Workforce Development Board to provide needs-related payments for the purpose of providing financial assistance within the guidelines of WIOA when sufficient funding exists. Funding will be reviewed on a yearly basis to determine availability of funds for needs-related payment.

PROCEDURE:
Needs-Related payments may be provided when deemed necessary and reasonable for individuals enrolled in training services. All other funding sources must first be exhausted and services may not be duplicated when available from other sources.

Eligibility
In addition to WIOA eligibility, an individual must meet the following criteria to qualify for need-related payments:

Adults must:
1) Be unemployed; and
2) Not qualify for, or have ceased to qualify for, unemployment compensation; and
3) Be enrolled in a program of training services under WIOA sec. 134 (c)(3). In most cases, the training would be occupational skills training provide through an Individual Training Account. Other training services may qualify based on an assessment of need.

Youth (18-24 years of age) must:
1) Be unemployed; and
2) Not qualify for, or have ceased to qualify for, unemployment compensation; and
3) Be enrolled in a program of training services under WIOA sec. 134 (c)(3). In most cases, the training would be occupational skills training provide through an Individual Training Account. Other training services may qualify based on an assessment of need.

Dislocated Workers must:
1) Be unemployed; and
2) have ceased to qualify for, unemployment compensation or trade readjustment assistance under TAA or NAFTA-TAA; and
3) Be enrolled in a program of training services under WIOA sec. 134 (c)(3) by the end of the 13th week after the most recent layoff that resulted in a determination of the worker's eligibility as a dislocated worker, or if later, by the end of the 8th week after the worker is informed that a short-term layoff will exceed 6 months; or
4) Be unemployed and did not qualify for unemployment compensation or trade readjustment assistance under TAA and be enrolled in a program of training services under WIOA sec. 134 (c)(3). In most cases, the training would be occupational skills training provide through an Individual Training Account. Other training services may qualify based on an assessment of need.

Level of Payments
The level of needs-related payments shall not exceed:

1) The applicable level of unemployment compensation for a dislocated worker: or
2) If the 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.

For Needs-Related payments, the Assessment and Individual Employment Plan (IEP) will provide for a re-assessment of need, at a minimum every 60 days, to accommodate any change in an individual financial status.

**ACTION:**
DSS WDB staff and service providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.

**INQUIRIES:**
Inquiries should be addressed to the DSS WIOS Program Manager at 805-781-1838.

Workforce Development Board (WDB) Approval Required? Yes____ No____

Initial approval date: ______________

WDB revision approval date: ______________
POLICY NO: 11-19

TO: Service Providers

FROM: Department of Social Services

EFFECTIVE:

SUBJECT: Workforce Innovation and Opportunity Act (WIOA) Work Experience (WEX) Policy and Procedures

REFERENCES:

- WIOA Sections 129(c)(2);134(c)(3);188(a)
- Department of Labor, Training and Employment Guidance Letter (TEGL) 21-16, WIOA Youth Formula Program Guidance; and 19-16, WIOA Adult, Dislocated Worker and Wagner-Peyser Employment Service Guidance
- Employment Development Department, Workforce Services Directive (WSD) 17-07, WIOA Youth Program Requirements

PURPOSE:
For the purpose of this policy, Service Provider, is the recipient of WIOA funds from the San Luis Obispo Workforce Development Board (SLOWDB).

The purpose of this policy is to provide direction and guidance to service providers in the administration of WEX opportunities for WIOA Adult, Dislocated Worker and Youth participants.

POLICY:

A. Overview

WEXs are offered to promote the development of good work habits and basic work skills for individuals who have never worked, have very limited occupational exposure or have been out of the labor force for an extended period of time.

A WEX must be based on the identified needs of the individual participant, must provide a planned and structured learning experience that will contribute to the achievement of
the participant’s career and employment goals, and should be directly related to local in-
demand industry sectors.

Work experience for WIOA Adults and Dislocated Workers is an individualized career service within Career Services and is defined as a planned structured learning experience that takes place in the workplace for a limited period of time.

Work experience for WIOA Youth is similarly defined with the additional requirement that a paid and unpaid work experience must include academic and occupational education.

WEXs are a contractual exchange between the Service Provider, WEX employer, and WEX participant. A WEX is not designed to replace an existing employee or position. A WEX may be in the private for-profit sector, the non-profit sector or the public sector. A WEX may be paid or unpaid. When a WEX is paid, the wages are paid directly to the WEX participant and not the WEX employer. WEX employers are not monetarily compensated. Labor standards apply in any WEX, paid or unpaid, where an employee/employer relationship exists, as defined by the Fair Labor Standards Act.

WEX employers are expected to provide a participant with the employability skills and knowledge of employer expectations that lead to unsubsidized employment. Each measurable skill to be learned must be listed in the WEX agreement.

WIOA participants may enter into more than one WEX prior to exit from services. Individuals who have received funding through an ITA, cohort or other WIOA funded training are also eligible for WEX. Funding for training and WEXs are separate. However, participants cannot exceed the maximum hours stated in Item D and maximum funding stated in Item E allowed for each participant.

Service Providers should review and revise, if necessary, their internal policies and procedures in order to meet the expectations of this policy.

This policy is based on SLOWDB’s interpretation of WIOA law, regulations and policies and federal, state and local laws, regulations and policies. This policy will be reviewed and updated based on any additional federal or state guidance.

B. Participant Eligibility

All WEX participants must meet program eligibility requirements, be enrolled into the respective WIOA program, and have received an assessment resulting in the development of an Individual Employability Plan (IEP) for Adult and Dislocated Worker participants and an Individual Service Strategy (ISS) for Youth participants. The IEP and ISS must document the participant’s need for and benefit from a WEX.
C. **Employer Eligibility**

The WEX Employer:
- Must be registered with the Internal Revenue Service (IRS) and have an account with the California State Employment Security Department for Unemployment Insurance and carry Workman’s Compensation Insurance; [20 CFR 683.280]
- Must be licensed to operate in the State of California and provide their Federal Employer Identification Number (FEIN);
- Must have safe and healthy working conditions with no previously reported health and safety violations that have been reported but have not been corrected;
- Does not illegally discriminate in training or hiring practices because of race, color, sex, national origin, religion, physical or mental disability, political beliefs or affiliations or age; [WIOA Section 188(a)(2)]
- Shall not terminate the employment of any of their current employees or otherwise reduce its workforce either fully or partially (such as reduction in hours or benefits) with the intention of filling the vacancy with a WEX participant or as the result of having a WEX participant; [20 CFR 683.270]
- Shall not allow the WEX activity to result in the infringement of promotional opportunities of their current employees; [20 CFR 683.270]
- Shall not allow the participant to be involved in the construction, operation or maintenance of any part of any facility that is used, or to be used, for religious instruction or as a place for religious worship. [WIOA Section 188(a)(3)]

D. **WEX Timeframe and Allotted Hours**

When determining the duration of a WEX activity, the following must be provided to justify the duration of the WEX:

- Objectives of the WEX;
- Length of time necessary for the participant to learn the skills identified in the training plan;
- The employer having sufficient quantity of meaningful work activities for the participant; and
- Service provider budget.

Each WIOA youth participant is allowed up to 480 WEX hours per year.

E. **WEX Compensation**

Participants enrolled in a paid WEX shall be compensated an hourly wage at not less than the State or local minimum wage, whichever is higher. Participants shall be paid only for the hours worked during the WEX as documented on the participant’s WEX time sheet.

WEX participants shall not be paid for:
- Sick leave;
• Vacation breaks;
• Lunch breaks; or
• A holiday recognized by the service provider as a “paid holiday”.

WEX participants are not authorized to work overtime.

When determining the hourly wage for a WEX participant, the following considerations must be addressed. This list is not intended to be all inclusive:
• Objectives of the WEX;
• Type of work performed during the WEX;
• Skill set of the participant;
• Skill set required for the WEX; and/or
• Service provider budget.

Each WIOA participant is allowed up to $7,200 WEX funding per year.

PROCEDURES:

A. WEX Agreement

WEX Agreements must contain, at a minimum, the following:
• Clear statement of purpose;
• Identification of all parties including the WEX participant;
• Requirements of the WEX employer, WEX participant and WIOA service provider;
• WEX start and end dates;
• Training job title and responsibilities;
• Required tools, equipment or uniforms, if applicable;
• Supportive services that are needed by the participant, if applicable;
• Detailed computation of the anticipated wages to be earned;
• Concurrence between employer and union when WEX is under a collective bargaining agreement, if applicable;
• A training plan that is incorporated by reference in the body of the contract; and
• Signature and dates of all parties to the agreement.

A single WEX Agreement may be written for group training with a single training site provided the working conditions, job description, training plan, wage rates and terms of the WEX Agreement are the same for all participants covered by the agreement.

WEX agreements may be modified. All modifications must be in writing and signed by all parties prior to the effective date of the modification. Verbal modifications of WEX agreements are not valid.
B. Monitoring

Service providers must ensure regular and on-going monitoring and oversight of the WEX. Monitoring may include on-site visits and phone/email communication with the WEX employer/trainer and WEX participant to review the participant’s progress in meeting training plan objectives. Any deviations from the WEX Agreement should be dealt with promptly.

WEX documentation, including but not limited to, the participant’s training and payroll records may be reviewed by Federal, State and local fiscal and program monitors. These entities will have the right to access, examine and inspect any site where any phase of the WEX program is being conducted. The Service Provider will maintain its records and accounts in such a way as to facilitate the audit. Records must be maintained for three (3) years after the conclusion of the WEX.

C. Recordkeeping and Documentation

All documentation relating to the selection of a candidate for a WEX opportunity and the development and maintenance of the participant’s WEX Training Plan shall be included in the participant’s hard and/or electronic case file. Participant files must be available to federal, state and local monitors for compliance review. The following WEX documents must be maintained in the participant file:

- Comprehensive assessment identifying a WEX as an appropriate service;
- Completed IEP/ISS documenting the WEX services and outcomes;
- WEX Agreement Packet (completed prior to the start of the WEX);
  - Training Plan (completed prior to the start of the WEX);
  - Pre- and Post-Assessments;
  - Time cards/sheets; and
  - Case notes documenting WEX progress and outcomes.

All WEX activities must be recorded in the CalJOBs system.

ACTION:
All DSS WDB staff and service providers shall comply with this policy. This policy will remain in effect from the date of issue until such time that a revision is required.

INQUIRIES:
Any questions regarding this policy may be directed to the DSS WIOA Program Manager at 805-781-1838.
Initial approval date: _____ _____

WDB revision approval date: ______________
POLICY NO: 12-19

TO: Service Providers

FROM: Department of Social Services

EFFECTIVE:

SUBJECT: Youth Incentives Policy

REFERENCES:

• Title 20 Code of Federal Regulations (CFR) Part 681.640
• 2 CFR Part 200 (Uniform Guidance)
• TEGL 21-16
• EDD Directive 17-07, WIOA Youth Program Requirements

PURPOSE:
The purpose of this policy is to provide guidance regarding the provision of incentive payments for enrolled youth under the Workforce Innovation and Opportunity Act (WIOA) Youth program.

POLICY:
The San Luis Obispo County Workforce Development Board will make incentives available to qualified WIOA Youth participants, as funding allows, to a maximum of $300 per participant.

Incentives paid for with WIOA funds must be connected to recognition of achievement of milestones in the program tied to work experience, education, or training.

Award of incentives shall be:

1. Tied to services and goals identified in the Individual Service Strategy (ISS);
2. Outline in writing the incentive before the commencement of the program providing the payment;
3. Aligned with the program’s organizational policies; and

PROCEDURES:
Youth participants may be eligible to receive incentive payments in four (4) primary incentive categories. Each goal and potential incentive amount must be documented in the youth’s Individual Service Strategy (ISS). Case managers must secure adequate documentation to support payment of incentives when earned. All incentive payments must be within the cap limits as identified in this policy.

Service Providers must ensure they have established protocols for the payment, documentation and awarding of incentive payments to eligible WIOA Youth.

The three (3) approved incentive categories are:

- Attainment of High School Diploma, General Education Diploma (GED) or equivalent, maximum of $100
- Attainment of a recognized postsecondary credential, maximum of $50
- Successful completion of 40 or more hours of Work Readiness curriculum, maximum of $100

The incentive caps, relative definitions and documentation examples for each category are:

1. **Attainment of High School Diploma, GED or equivalent**
   
   WIOA Youth program participants enrolled in a secondary education program that obtain a diploma or recognized equivalent are eligible to receive this incentive.
   
   a. Amount – not to exceed $100
   b. Acceptable documentation may include:
      - Copy of Diploma
      - Copy of GED
      - Other documentation clearly identifying the attainment of diploma, GED or equivalent

2. **Attainment of a recognized postsecondary credential**

   Individuals who complete a series of classes/courses or educational instruction leading to the attainment of a recognized postsecondary credential are eligible to receive this incentive. This incentive is intended to recognize the attainment of measurable technical or industry occupational skills, not work readiness or general safety/hygiene skills.
A recognized postsecondary credential is defined as a credential consisting of:

- An industry-recognized certificate or certification;
- A certificate of completion of an apprenticeship;
- A license recognized by the State or Federal government; or
- An associate or baccalaureate degree

A recognized postsecondary credential is awarded in recognition of an individual’s attainment of measurable technical or industry/occupational skills necessary to obtain employment or advance within an industry/occupation. These technical or industry/occupational skills generally are based on standards developed or endorsed by employers or industry associations.

Work readiness certificates are not included in this definition as they are not recognized industry-wide and do not measure technical or industry/occupational skills necessary to gain employment or advancement within an occupation. Likewise, such certificates must recognize technical or industry/occupational skills for specific industry/occupation rather than general skills related to safety, hygiene, etc., (such as OSHA-10 or ServSafe) even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment.

Below is a list of the types of organizations and institutions that award recognized postsecondary credentials (not all credentials by these entities meet the definition of recognized postsecondary credential).

- A State educational agency or a State agency responsible for administering vocational and technical education within a State;
- An institution of higher education described in Section 102 of the Higher Education Act of 1965 (20 USC sec. 1002) that is qualified to participate in the student financial assistance programs authorized by title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in Federal student financial aid program;
- An institution of higher education that is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or tribes;
- A professional, industry, or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skill, Inc., Machining Level I Credential) or product manufacturer or developer (e.g., Certified IT Professional (MCITP), Certified Novell Engineer, a Sun Certified Java Programmer, etc.) using a valid and reliable assessment of an individual's knowledge, skills and abilities;
- ETA's Office of Apprenticeship or a recognized State Apprenticeship
Agency;
• A public regulatory agency, which awards a credential upon an individual’s fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., Federal Aviation Administration aviation mechanic license, or a State-licensed asbestos inspector);
• A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans or other eligible person; or
• Job Corps, which issues certificates for completing career training programs that are based on industry skills standards and certification requirements.

Participants may receive a maximum $25 for attaining a credential from instruction of less than one school quarter (10 weeks or less). For credential attainment from courses longer than one school quarter (11 weeks or more), they may receive a maximum $50. Acceptable documentation includes a copy of the certificate or credential.

3. Attainment of Work Readiness certificate

This incentive is available for WIOA youth participants who complete a minimum of 40 hours of work readiness curriculum, as evidenced by pre/post tests and a certificate of achievement/completion. Service Provider must submit their proposed curriculum leading to a minimum of 40 hours of instruction to the Administrative Entity for approval prior to authorizing any payment for this category.

a. Amount – not to exceed $100
b. Acceptable documentation must include:
   ▪ Pre/Post tests; and
   ▪ Timesheets; and
   ▪ Certificate of Achievement/Completion

A. Service Provider Responsibilities

Service Providers shall accept unconditional fiduciary responsibility for issuing federal funds on behalf of the WDB as specified in this policy. Service providers shall establish and utilize appropriate checks and balances necessary to guarantee the integrity of the disbursement of incentive funding. Service Providers shall ensure
systems are in place for the review, approval and payment of incentives pursuant to current WIOA, State regulations, and local WDB directives, policies and procedures.

1. All incentive payments and collection of back-up documentation (i.e. credentials, certificates, timesheets) will be the sole responsibility of the Service Provider. Service Provider must ensure:

   a. Payment records will be maintained, completed and readily available for monitoring or audit reviews.

   b. Participant records and financial records will meet the standards for financial management and participant data systems.

   c. Records will be maintained in accordance with records retention requirements.

2. Service Provider shall ensure that a case note regarding the type of incentive received and the corresponding activity for the incentive are entered in CalJOBS within five (5) working days from the service date.

3. Service Provider shall ensure that the total incentive expenditures for each participant do not exceed category limits and the maximum allowable amount of $300.

4. To the extent possible, Service Provider shall ensure similarly situated participants will receive similar incentives.

5. Should gift cards be offered as an option for payment of incentives, Service Provider must ensure the use and purchase of gift cards complies with restrictions identified in 2 CFR Part 200, Uniform Guidance.

B. Availability of Funding

Service providers will take necessary steps to manage the incentives budget so as to provide services throughout the program year to customers who meet the criteria for planned incentives.

ACTION:
All WIOA Youth Service Providers shall comply with this policy. This policy will remain in effect from the date of issue until such time that a revision is required.
INQUIRIES:
Any questions regarding this policy may be directed to the DSS WIOA Program Manager at 805-781-1838.

Workforce Development Board (WDB) Approval Required?  Yes _X_  No

Initial approval date: ___11-2-17_________

WDB revision approval date: ________________
AGENDA ITEM NUMBER: 4.2

ITEM: Review & Approve Proposed Executive Committee Meeting Schedule Change

ACTIONS REQUIRED: Review and approved proposed schedule change

SUMMARY NARRATIVE:

The Executive Committee currently meets on the second Wednesday of non-WDB months from 8:00am – 10:00am. This includes the months of July, September, October, December, January, March, April, and June.

Currently, remaining 2019-2020 program year meeting dates for the Executive Committee are as follows:

October 9, 2019
December 11, 2019
January 8, 2020
March 11, 2020
April 8, 2020
June 10, 2020

The proposed schedule change would move the meeting to the second Thursday of non-WDB months.

December 12, 2019
January 9, 2020
March 12, 2020
April 9, 2020
June 11, 2020

BUDGET/FINANCIAL IMPACT:
No current fiscal impact

STAFF COMMENTS:
The proposed schedule changes are recommended to ensure quorum and regular occurrence of Committee meetings. If the proposed schedule change is not approved, the meeting will remain at the currently scheduled meeting dates of the second Wednesday of non-WDB months.
### RAPID RESPONSES IN Q1

#### Quarter 1 (July-September)

<table>
<thead>
<tr>
<th>Business Name</th>
<th>Date Discovered</th>
<th>Response Type</th>
<th>Location</th>
<th>Industry</th>
</tr>
</thead>
<tbody>
<tr>
<td>SLO Bike and Run</td>
<td>8/2/19</td>
<td>Non WARN- Closure</td>
<td>San Luis Obispo</td>
<td>Retail</td>
</tr>
<tr>
<td>rePlanet Recycle (5 Locations)</td>
<td>8/5/19</td>
<td>WARN- Closure</td>
<td>Paso Robles, Nipomo, San Luis Obispo</td>
<td>Other Services</td>
</tr>
<tr>
<td>Flanders Bicycle</td>
<td>8/7/19</td>
<td>Non WARN- Closure</td>
<td>San Luis Obispo</td>
<td>Retail</td>
</tr>
<tr>
<td>Crystal Spring’s Water Co/ Nestle</td>
<td>8/7/19</td>
<td>Buyout/Layoff</td>
<td>San Luis Obispo</td>
<td>Other Services</td>
</tr>
<tr>
<td>Planted</td>
<td>8/9/19</td>
<td>Non WARN- Closure</td>
<td>Arroyo Grande</td>
<td>Accommodation &amp; Food Service</td>
</tr>
<tr>
<td>Branzino</td>
<td>8/12/19</td>
<td>Non WARN- Closure</td>
<td>San Luis Obispo</td>
<td>Accommodation &amp; Food Service</td>
</tr>
<tr>
<td>Animal Kingdom (2 Locations)</td>
<td>8/12/19</td>
<td>Non WARN- Closure</td>
<td>Pismo Beach &amp; Grover Beach</td>
<td>Retail Store</td>
</tr>
<tr>
<td>Charles Shoes</td>
<td>8/13/19</td>
<td>Non WARN- Closure</td>
<td>San Luis Obispo</td>
<td>Retail Store</td>
</tr>
<tr>
<td>Rosies Workwear</td>
<td>8/21/19</td>
<td>Non WARN- Closure</td>
<td>San Luis Obispo</td>
<td>Retail Store</td>
</tr>
<tr>
<td>Del Ozone</td>
<td>9/20/19</td>
<td>Non WARN- Closure</td>
<td>San Luis Obispo</td>
<td>Manufacturing</td>
</tr>
<tr>
<td>Inter-Con Security</td>
<td>9/26/19</td>
<td>WARN-Layoff</td>
<td>San Luis Obispo</td>
<td>Other Services</td>
</tr>
</tbody>
</table>

37.5% There were 16 Rapid Responses in Q1, 6 were in the Retail Industry.