LOWER SAVANNAH COG
Council of Governments

SC WORKS
LOWER SAVANNAH

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PROGRAM YEAR 2017

STATEMENT OF WORK

July 1, 2017 through June 30, 2018

PREFACE

Workforce Innovation & Opportunity Act (WIOA) Operator, Basic, Individual Career, Training, Follow-up and Certification Services Coordination Service Providers, otherwise referred to as *"Service Providers," "Sub-Recipients"* or *"Grantees"*, enter into a contractual agreement with the Lower Savannah Council of Governments *(the Administrative Entity for the Lower Savannah Workforce Development Area)*, to provide services and perform functions and program activities as outlined herein.

Services, functions, and program activities will be pursuant to provisions and regulations of the Workforce Innovation and Opportunity Act *(WIOA)* of 2014 (Public Law 113-128, July 22, 2014). Services, functions, and program activities specified herein shall be provided to eligible WIOA Adults, Dislocated Workers, and Youth (where applicable and appropriate) who reside in the Lower Savannah Workforce Development Area's *(LSWDA)* counties of Aiken, Allendale, Bamberg, Barnwell, Calhoun, and Orangeburg.

FUNDING AUTHORIZATION

All services, functions, and activities performed by the Service Provider, Sub-Recipient or Grantee in relation to this contractual agreement shall facilitate the delivery of services or WIOA program activities and related functions as outlined herein at the designated sites in the LSWDA. The Administrative Entity for the LSWDA agrees to pay an amount not to exceed the identified amounts in the following table (Insert C) to serve the number of participants identified, for cited services delivered under conditions prescribed herein.

Refer to your individual **BUDGET SUMMARY** (Part 3 of Contractual Agreement) for basis for payment and related cost objectives or categories for this contractual agreement.

The Funding Authorization Table that follows (Insert C) shows the total monetary impact for the Lower Savannah Workforce Development Area.

STAFF ACKNOWLEDGEMENT RECEIPT OF THE PY 2017 STATEMENT OF WORK

ALL PARTLY AND/OR FULLY FUNDED WIOA STAFF MEMBERS ARE REQUIRED TO HAVE A SIGNED ACKNOWLEDGEMENT OF RECEIPT OF THE STATEMENT OF WORK IN THE OFFICIAL LSWDA CONTRACT FILE

My signature below acknowledges that I have received a copy of the Statement of Work for the Program Year 2017.

I have read, I understand, and I will comply with its contents and any subsequent additions or deletions.

_____

Printed Name of Staff Member making Acknowledgement + Agency

_____ _____

Staff Signature Date Received

[C]

ADULT, DISLOCATED WORKER & OPERATOR CONTRACTUAL FUNDING AUTHORIZATION PY 2017 (April 1, 2017 - June 30, 2018)

YOUTH CONTRACTUAL FUNDING AUTHORIZATION PY 2017 (June 1, 2017 - June 30, 2018)

Service Provider	Services	County Served	Slot Level	Adult	DW	Youth	Total 2017
ECKERD WORKFORCE DEVELOPMENT	Certification Career, Training & Follow-up Services	Aiken	113	$340,560			
		Allendale	16	$49,407			
		Bamberg	23	$72,250			
		Barnwell	26	$82,411			
		Calhoun	13	$45,382			
		Orangeburg	139	$416,240			
		Total	330	$1,006,250			$1,006,250
	Certification, Career, Training & Follow-up Services	Aiken	34		$269,661		
		Allendale	5		$41,944		
		Bamberg	6		$52,129		
		Barnwell	11		$91,747		
		Calhoun	3		$16,923		
		Orangeburg	41		$329,585		
		Total	100		$801,989		$801,989
PAXEN (A PROGRAM of ECKERD)	Certification, Career, Training & Follow-up Services	Aiken	64			$314,501	
		Allendale	8			$41,181	
		Bamberg	15			$74,435	
		Barnwell	14			$71,327	
		Calhoun	7			$39,165	
		Orangeburg	77			$384,391	
		Total	185			$925,000	$925,000
ECKERD WORKFORCE DEVELOPMENT	Operator Services	LSWDA					
		Total		$46,030	$36,670	$42,300	$125,000
Total across all funding streams							$2,858,239
Totals for Service Providers				$1,052,280	$838,659	$967,300	$2,858,239

WIOA SERVICE PROVIDERS

OPERATOR SERVICES

Aiken, Allendale, Bamberg, Barnwell, Calhoun and Orangeburg Counties
Name: Eckerd Workforce Development
Address: 100 N. Starcrest Drive, Clearwater, Florida 33765
Contact Person: Kalen Kunkel
Title: One-Stop Operations Director
E-mail Address: kkunkle@eckerd.org
Phone Number: 843-412-5914

ADULT & DISLOCATED WORKER SERVICES

Aiken, Allendale, Bamberg, Barnwell, Calhoun and Orangeburg Counties
Name: Eckerd Workforce Development
Address: 100 N. Starcrest Drive, Clearwater, Florida 33765
Contact Person: Kalen Kunkel
Title: One-Stop Operations Director
Title: One-Stop Operations Director
E-mail Address: kkunkle@eckerd.org
Phone Number: 843-412-5914

YOUTH SERVICES

Aiken, Allendale, Bamberg, Barnwell, Calhoun and Orangeburg Counties
Name: Paxen - A Program of Eckerd
Address: 1380 Sarno Road, Melbourne, Florida 32935
Contact Person: Jonathan Zeigler
Title: Sr. Operations Director
E-mail Address: jzeigler@eckerd.org
Phone Number: 803-321-615-4636

LSWDA SC WORKS CENTERS

Aiken County
Name: SC Works Aiken Center
Physical Address: 1571 Richland Avenue, Aiken, SC 29801
Mailing Address: Post Office Box 3097, Aiken, SC 29802-2418
Telephone Number: 803-641-1065
Status: Comprehensive Center
Hours of Operation:8:30am - 5:00pm, M-F
Fax Number: 803-641-7241
Contact Person: Jennifer Jenkins
E-mail Address: JJenkins@eckerd.org
Telephone Number: 803-226-1098
WIOA Overview: Mon. 9:00 AM & Wed. 2:00 PM

Allendale County
Name: SC Works Allendale Center
Physical Address: 398 Barnwell Hwy, Allendale, SC 29810
Telephone Number: 803-584-3263
Status: Affiliate/Satellite Center
Hours of Operation: 8:30am – 5:00 pm, Tues. & Thurs.
Fax Number: 803-584-7066
Contact Person: Jennifer Jenkins
E-mail Address: JJenkins@eckerd.org
Telephone Number: 803-226-1098
WIOA Overview: Tues & Thurs 10:00 AM

Bamberg County
Name: SC Works Bamberg Center
Physical Address: 19 Maple Ave., Brooker Center Denmark, SC 29042
Telephone Number: 803-956-6030
Status: Affiliate/Satellite Center
Hours of Operation: 8:30am - 5:00pm, Tues. & Thurs.
Fax Number: 803-793-6575
Contact Person: Jennifer Jenkins
E-mail Address: JJenkins@eckerd.org
Telephone Number: 803-226-1098
WIOA Overview: Tues 10:00 AM & Thur 2:00 PM

Barnwell County
Name: SC Works Barnwell Center
Physical Address: 248 Wall Street, Barnwell, SC 29812
Mailing Address: 248 Wall Street, Barnwell, SC 29812
Telephone Number: 803-450-1000
Status: Affiliate/Satellite Center
Hours of Operation: 8:30am - 5:00pm, M-Thurs.
Fax Number: 803-259-3126
Contact Person: Jennifer Jenkins
E-mail Address: JJenkins@eckerd.org
Telephone Number: 803-226-1098
WIOA Overview: Mon 2:00 PM & Wed 10:00 AM

Workforce Centers continued…

Calhoun County
Name: SC Works Calhoun Center
Physical Address: 101 Courthouse Drive, St. Matthews, SC 29135
Mailing Address: 101 Courthouse Drive, St. Matthews, SC 29135
Telephone Number: 803-874-2443 **Fax Number:** 803-874-2447
Status: Affiliate/Satellite Center **Contact Person:** Jennifer Jenkins
Hours of Operation:8:30am - 5:00pm, Wed. & Thurs. **E-mail Address:** JJenkins@eckerd.org
Telephone Number: 803-226-1098
WIOA Overview: Wed 11:00 AM & Thurs 2:00 PM

Orangeburg County
Name: SC Works Orangeburg Center
Physical Address: 1804 Joe S. Jeffords Hwy, Orangeburg, SC 29115
Mailing Address: Post Office Box 1533, Orangeburg, SC 29116
Telephone Number: 803-534-3336 **Fax Number:** 803-531-8869
Status: Comprehensive Center **Contact Person:** Jennifer Jenkins
Hours of Operation:8:30am - 5:00pm, M-F **E-mail Address:** JJenkins@eckerd.org
Telephone Number: 803-226-1098
WIOA Overview: Mon 10:00 AM & Wed 2:00 PM

REPORT SCHEDULE for WORKFORCE CENTERS & SERVICE PROVIDERS

	REPORTS	DUE DATES											
		Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
	Completed Storage **BOXES**			Week of 30th			Week of 31st			Week of 31st			Week of 30th
	Local Area Award Nomination Packets			14th									
	Recruitment Reports- Adult & Dislocated Worker due monthly as indicated Recruitment Reports- Youth due monthly **Plan due the 15th of the first month of contract*	Plan due 15th*	8th	8th	8th	8th	8th	8th	8th	8th	8th	8th	8th
A.	**Financial Reporting**												
	Property Inventory List		Closeout- 14th				15th						
	Financial Status Report, FSR Supplement, Request for Payment, Invoice, Cumulative Multi-County Summary Report, Cumulative Expenditure, Budget Summary Report	8th	8th	8th	8th	8th	8th	8th	8th	8th	8th	8th	8th
B.	**Financial Closeout**	**30 days after the expiration of the applicable contract/grant**											
	Contracts/Grants ending June 30th	30th											

PY 2017 WIOA Annual and Quarterly Reports Schedule *

Reporting Item	Annual Report Due October 1, 2016	PY 2016 Report Quarter			
		1st Quarter July–Sept, 2016 Due November 15, 2016	2nd Quarter Oct–Dec, 2016 Due February 15, 2017	3rd Quarter Jan–Mar, 2017 Due May 15, 2017	4th Quarter April–June, 2017 Due August 15, 2017
Total Participants	7/1/16 to 6/30/17	10/1/15 to 9/30/16	1/1/16 to 12/31/16	4/1/16 to 3/31/17	7/1/16 to 6/30/17
Total Exiters	4/1/16 to 3/31/17	7/1/15 to 6/30/16	10/1/15 to 9/30/16	1/1/16 to 12/31/16	4/1/16 to 3/31/17
Entered Employment Rate	10/1/15 to 9/30/16	1/1/15 to 12/31/15	4/1/15 to 3/31/16	7/1/15 to 6/30/16	10/1/15 to 9/30/16
Placement in Employment or Education	10/1/15 to 9/30/16	1/1/15 to 12/31/16	4/1/15 to 3/31/16	7/1/15 to 6/30/16	10/1/15 to 9/30/16
Attainment of Degree or Certificate	10/1/15 to 9/30/16	1/1/15 to 12/31/15	4/1/15 to 3/31/16	7/1/15 to 6/30/16	10/1/15 to 9/30/16
Employment Retention Rate	4/1/15 to 3/31/16	7/1/14 to 6/30/15	10/1/14 to 9/30/15	1/1/15 to 12/31/15	4/1/15 to 3/31/16
Six Months Average Earnings	4/1/15 to 3/31/16	7/1/14 to 6/30/15	10/1/15 to 9/30/15	1/1/15 to 12/31/15	4/1/15 to 3/31/16
Measurable Skill Gains	7/1/16 to 6/30/17	N/A	N/A	N/A	N/A

*THE ANNUAL AND QUARTERLY REPORT SCHEDULE WILL BE UPDATED AND DISTRIBUTED TO REFLECT WIOA MEASURES AND UPDATES

Program Year 2017 Statement of Work
July 1, 2017 through June 30, 2018

PERFORMANCE MEASURES CHART

Funding	*Mandated Measures*	*Local Level Goals*	*Mark* 50%	*Mark* 90%	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Adult	Employment Rate - 2nd Quarter after Exit	*75.30%*	*37.65%*	*67.77%*				
	Employment Rate - 4th Quarter After Exit	*72.90%*	*36.45%*	*65.61%*				
	Median Earnings - 2nd Quarter After Exit	*$ 4,859.00*	*$ 2,429.50*	*$ 4,373.10*	$ -	$ -	$ -	$ -
	Credential Attainment - 1 Year After Exit	*52.50%*	*26.25%*	*47.25%*				
	Measurable Skills Gain	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*
Dislocated Worker	Employment Rate - 2nd Quarter after Exit	*79.30%*	*39.65%*	*71.37%*				
	Employment Rate - 4th Quarter After Exit	*77.30%*	*38.65%*	*69.57%*				
	Median Earnings - 2nd Quarter After Exit	*$ 6,405.00*	*$ 3,202.50*	*$ 5,764.50*	$ -	$ -	$ -	$ -
	Credential Attainment - 1 Year After Exit	*56.00%*	*28.00%*	*50.40%*				
	Measurable Skills Gain	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*
Youth	Employment, Training or Education Rate - 2nd Quarter after Exit	*76.60%*	*38.30%*	*68.94%*				
	Employment, Training or Education Rate - 4th Quarter after Exit	*69.10%*	*34.55%*	*62.19%*				
	Median Earnings 2nd Quarter After Exit	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*
	Credential Attainment - 1 Year After Exit	*69.60%*	*34.80%*	*62.64%*				
	Measurable Skills Gain	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*
Effectiveness in Serving Employers		*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*	*N/A*

Goals = *State Negotiated Levels with DOL (NPL); 8/8/2016* ***{Local Levels negotiated 10/31/16}***

*** Measures are baseline indicators**

INCENTIVES SCHEDULE OF PAYMENT YOUTH ONLY

PAYABLE INCENTIVES		
1	**Measurable Skills Gain** (performance measure)	**$ 100.00** ***(one-time payment)***
2	**Successful Completion of Work Experience** (Must have Satisfactory or better on their end of program review from the employer)	**$ 100.00** ***(one-time payment)***
3	**Attainment of High-School Diploma or GED and Placement in Education, Training or Employment** (performance measure)	**$ 200.00** ***(one-time payment)***
4	**Attainment of a Recognized Credential** (performance measure)	**$ 200.00** ***(one-time payment)***
5	Contingent upon full approval from the State **Follow-Up:** **2nd Quarter after Exit** (Must provide wage documentation or verify wage data)	**$ 200.00** ***(one-time payment)***
	TOTAL MAXIMUM PAYMENT RECEIPT ➔	**$ 800.00**

APPROVED TRAINING CLUSTERS

Please know that these are the *only approved Training Areas at this time* for the Lower Savannah Region:

1. **Healthcare**
   Medical Care; Ambulatory Services; Residential Care Facilities; Diagnostic Laboratories; Hospitals; Healthcare Practitioners & Technical Occupations; Health Diagnosing & Treating Practitioners; Health Technologies & Technicians; Healthcare Support such as Nursing; Psychiatric; Home Health Aides; Secretaries & Administrative Assistants; Information & Record Clerks; Information Technology Administration, Design and System Support

2. **Transportation, Distribution, & Logistics (TDL)**
   Goods; Warehousing & Storage; Support for Activities related to modes of Transportation, such as Roads, Rail, Water & Air; Motor Vehicle Operators; Rail Transportation Occupations; Air Transportation; Office & Administrative Support for Material Recording; Scheduling; Dispatching & Distributing; Installation, Maintenance & Repair Occupations for Vehicle & Mobile Equipment Mechanics, Installers & Repairers; Information Technology Administration, Design and System Support

3. **Construction**
   Construction of buildings or engineering projects such as highways and utility systems; Construction & Extraction Occupations; Office & Administrative support occupations; Installation, Maintenance & Repair Workers such as Vehicle & Mobile Equipment Mechanics, Installers, & Repairers; Information Technology Administration, Design and System Support

4. **Manufacturing**
   Mechanical, Physical, Chemical Transformation of Materials, Substances, or Components into new products; Paper Manufacturing; Chemical Manufacturing; Electrical & Electronic Equipment Manufacturing; Assemblers & Fabricators; Food Processing Occupations; Metal & Plastics Workers; Office & Administrative Support for those occupations such as Recording, Scheduling, dispatching & Distributing; Transportation of Manufactured Materials; Information Technology Administration, Design and System Support

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I. LEGEND

Resource documents are hyperlinked and identified by underline and yellow highlight. Most items are available on the Lower Savannah Workforce Development Areas Website at www.LSWIA.org.

II. DEFINITIONS

A. ACCRUAL BASIS

The United States Department of Labor requires recipients of federal grant awards and its sub-recipients to report on an accrual accounting basis. Accrual Basis - methods of accounting whereby financial transactions for a specific period are recorded as incurred without regard to the date of receipt or disbursement.

B. ACCRUED EXPENDITURE

Charges that have been incurred by the grantee during a given period, requiring the provision of funds for:

- Goods and other tangible property
- Services performed by employees, contractors, sub-grantees, subcontractors, and other payees
- Other amounts owed under programs for which no services are required

C. AD HOC REPORTS

(Definitions for WIOA Ad Hoc Reports)

Ad Hoc Reports are supplemental reports accessed through the home page of the SCWORKS ONLINE SERVICES (SCWOS). All WIOA Program Directors, or their designee, shall have access to these reports. Use these reports to assist with program management and monitoring purposes. Correct data as necessary in the SCWORKS ONLINE SERVICES system in a timely manner.

LSWDA Administrative Staff will send Ad Hoc Reports to the Service Provider and the SC Center Operator on the 1st and the 15th of each month. The Service Provider will have 10 working days to reply to the report.

D. ADULT

1. An eligible participant who is 18 years or older;
2. Unemployed or underemployed; and
3. Is not self-sufficient nor meets the definition of self-sufficiency.

E. BASIC SKILLS DEFICIENT

(LSWDA Instruction PY'15-003 Revision #1)

1. The individual computes or solves problems, reads, writes, or speaks English at or below the 9th (8.99 or below) grade level; or
2. WorkKeys® score that indicates a Reading for Information (RFI), Applied Math (AM) or Locating Information (LI) Scale Score at or below Level <4; or
3. Is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society.

F. BUSINESS SERVICES

Business Services provide marketing and technical services to promote On-the-Job (OJT) and Incumbent Worker (IWT) training opportunities throughout the Lower Savannah Workforce Development Area. Services include the entirety of the business community as well as the SC Works Centers.

G. CASE CLOSURE

Case Closure happens when there are no other planned services for the participant and the participant is intended to soft exit.

H. CASE NOTE

The notes or clear statements, facts, taken by a case manager/career coach about a case being worked on. Required at least every 45 days.

I. COGNIZANT AGENCY

The "cognizant agency" usually refers to that federal agency which contributes the largest share of the federal funds to the auditee. It may be that federal agency which has approved a cost allocation plan or an indirect cost rate, or that federal agency agreeing to become the cognizant agency for the sub-recipient.

J. COMMON LAW MARRIAGE

South Carolina recognizes Common Law Marriage. Individuals claiming to be married by common law must:

1. Be free to enter into the common law marriage.
2. Must not be married to another individual.
    a. If previously married, the marriage must have been annulled, or
    b. the divorce must be final, ***AND***
3. Must present themselves as married to the public.
4. Gender neutral/same sex marriage is recognized.

Individuals meeting the criteria above will be considered as married under the WIOA definition of marriage.

K. COMMON EXIT/PROGRAM OUTCOME

Common Exit is defined per WIOA Joint Rule 677.150(c) as the "the last date of service. The last date of service means the individual has not received any services for 90 days and no future service are planned. For the purpose of this definition, "services" do not include self-service, information-only services or activities, or follow-up services."

***Good Sense Tip**: The Common Exit strategy is in effect. The common exit strategy will determine when WIOA Follow-Up Services actually begin in* SCWORKS ONLINE SERVICES.

L. CREDENTIAL

(TEGL 10-16)

Definition of Credential: This indicator measures attainment of two types of credentials: either a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent.

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 involved or Federal government, or an associate or baccalaureate degree, as well as graduate degrees for purposes of the VR program as required by section 103(a)(5) of the Rehabilitation Act of 1973, as amended by title IV of WIOA. 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. Neither certificates awarded by workforce development boards (WDBs), nor work readiness certificates, are included in this definition because neither type of certificate documents the measurable technical or industry/occupational skills necessary to gain employment or advance within an occupation. Likewise, such certificates must recognize technology or industry/occupational skills for the specific industry/occupation rather than general skills related to safety, hygiene, etc., even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment.

- A variety of different public and private entities issue recognized postsecondary credentials. 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 (20 USC 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 programs;

- 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 Skills, Inc., Machining Level I credential) or product manufacturer or developer (e.g., recognized Microsoft Information Technology certificates, such as Microsoft 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 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 and other eligible persons.

- Job Corps, which issues certificates for completing career training programs that are based on industry skills standards and certification requirements.

M. DISLOCATED WORKER

(TEGL 19-16)

1. An eligible Participant who has been terminated through no fault of their own, or laid off, or has received a notice of termination or layoff from employment;

2. Is eligible for or has exhausted entitlement to unemployment compensation; or

3. Has been employed for a duration sufficient to demonstrate an attachment to the workforce but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that was not covered under a State unemployment compensation law; and

4. Is unlikely to return to a previous industry or occupation;

5. Has been terminated or laid off from employment as a result of any permanent closure of, or any substantial layoff at a plant, facility, or enterprise;

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

7. For purposes of eligibility to receive services other than training services described in Section 134(d)(4) of the Act, services described in Section 134(d)(3), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close;

8. Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters; or

9. A displaced homemaker.

10. Spouses of members of the Armed Forces on Active Duty.

N. DISPLACED HOMEMAKER

1. An individual who has been providing unpaid services to family members in the home and who 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 in obtaining or upgrading employment.

3. Spouses of members of the Armed Forces on Active Duty.

O. EDUCATIONAL FUNCTIONING LEVELS

The term "educational functioning levels" means "the Adult Basic Education (ABE), Adult Secondary Education (ASE) and English as a Second Language (ESL) literacy levels that describe a set of skills and competencies that student demonstrate in the National Reporting System (NRS) skill areas."

P. FAMILY

(LSWDA Instruction PY'05-002 Revision #2)

WIOA Definition of Family is two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:

1. A husband, wife, and dependent * children

2. A parent or guardian, and dependent * children

3. A husband and a wife

4. Gender neutral/same sex marriage is recognized

*To be a dependent child, they must meet either the qualifying child test or the qualifying relative test:

- To meet the **qualifying child test** your child must be younger than you and either younger than 19 years old or be a "student" younger than 24 years old as of the end of the calendar year.
- There is no age limit if your child is "permanently and totally disabled" or meets the **qualifying relative test.**

If the individual is 19 years or older and is not a student at the end of the calendar year, then they should not be considered a dependent child.

Good Sense Tip: *Any individual not meeting the above definition of family is considered a family of "one."* ***EXCEPTION****: An applicant who has a disability that substantially affects his/her ability to gain employment may be considered as a family of one.*

Q. FOLLOW-UP

(TEGL 19-16)
Youth Incentive Schedule

1. Adult/Dislocated Workers:

   Follow-up begins the first day after exit and lasts for no less than one (1) year divided into four (4) quarters. Services are provided to assist with employment, employment retention and referrals as needed. Participants in follow-up are not eligible to receive supportive services payments.

2. Youth:

   Follow-up services must be provided for not less than 12 months after the completion of participation. The type and duration of services must be based on the needs of the youth. Activities after completion of participation to monitor youths' success during their transition to employment and further education, and to provide assistance as needed for a successful transition. Supportive services can be provided to Youth during follow-up services.

Good Sense Tip: *Follow-up services cannot start until the common exit has occurred and the follow-up links have dropped in the system.*

R. INDIRECT COSTS

(OMB Super Circular)

- Incurred for common or joint purposes benefitting more than one cost objective
- Cannot be readily assigned to benefitting cost objectives without effort disproportionate to results achieved.
- "Facilities & Administration (F&A)" inserted to accommodate the university and not-for-profit environments
  - They subdivide indirect into these components
  - Components defined in Section 2 CFR 200.414(a)

S. INDIVIDUAL EMPLOYMENT PLAN (IEP)

(SCDEW Individual Employment Plan Training PowerPoint Presentation)

The Individual Employment Plan (IEP) is designed to provide each participant with a plan to help attain self-sufficient employment with the steps needed to achieve this goal. The IEP develops the foundation and should be continuously updated with goals added as previous goals are met.

IEP Goals Should Be:

- Specific
- Measurable
- Attainable
- Relevant
- Time Driven

T. INFORMATIONAL ACTIVITIES

(TEGL 17-05 with attachments)
(TEGL 17-05 Change 1)
(TEGL 17-05 Change 2)
(TEGL 10-16)

May include both self-services and staff-assisted services that are designed to inform and educate a Participant about the labor market and to enable a Participant to identify his/her individual employment strengths, weaknesses, and the range of services appropriate for the individual.

U. IN-SCHOOL YOUTH

(TEGL 8-15)
(TEGL 21-16)
(TEGL 23-14)

An eligible youth (14-21 yrs old) who is attending school, secondary/post-secondary, low income and has one or more of the following defined barriers:

a. Basic Skills deficient

b. An English language learner

c. An offender

d. Homeless individual (runaway, foster-care/aged out of foster-care or out of home placement)

e. An individual who is pregnant or parenting

f. An individual with a disability

g. An individual who requires additional assistance to enter or complete an educational program or to secure or hold employment

V. LAST EXPECTED SERVICE / LAST SERVICE DATE

(TEGL 17-05 with attachments)
(TEGL 17-05 Change 1)
(TEGL 17-05 Change 2)

Occurs when the Participant completes the activities outlined in his/her individual employment plan (IEP) and there are no additional services expected other than supportive or follow-up services. Last expected service may also occur in situations where the Participant voluntarily or involuntarily discontinues his/her participation in services outlined in the IEP.

In many instances, this date will be the same as the exit date. In situations where a case was ended, re-opened within 90 days of the original closure date, and then ended again, the date used to determine exit date is the initial last expected service date. This date is also the date that triggers follow-up services as long as no additional services are provided (other than supportive or follow-up services) 90 days following this date.

W. LIMITED ENGLISH PROFICIENCY (LEP) OR SENSORY IMPAIRED

Any person who is sensory impaired and/or cannot speak, read, write or understand English at a level that permits them to interact effectively with service providers.

X. LOWER SAVANNAH WORKFORCE DEVELOPMENT AREA (LSWDA)

The Lower Savannah Workforce Development Area is comprised of the six counties of Aiken, Allendale, Bamberg, Barnwell, Calhoun and Orangeburg counties located, geographically, in the south-western portion of South Carolina. The LSWDA administers the Workforce Innovation and Opportunity Act (WIOA) in this region which is one of twelve (12) in the state.

Y. MARKETABLE

Skills that are readily in demand as determined by Labor Market Information and local employers.

Z. MEASURABLE SKILL GAINS

(TEGL 10-16)

The Measurable Skill Gains indicator is the percentage of participants who, during a program year, are in education or training programs that lead to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

AA. NEPOTISM

The unfair practice by a powerful person of giving jobs and other favors to relatives.

BB. OBLIGATION

A definite financial commitment, which creates a legal liability

CC. ON-THE-JOB TRAINING (OJT)

The objective of OJT is to obtain the training for occupations that have no or limited formal classroom training or in which "hands-on" training is necessary to learn the job.

OJT is limited in duration as appropriate to the occupation for which the participant is being trained resulting in permanent full-time employment.

DD. OUT-OF-SCHOOL YOUTH (16 - 24 YRS OLD)

(TEGL 8-15)
(TEGL 21-16)
(TEGL 23-14)

An eligible youth (16-24 yrs old) who is not attending any school and has one or more of the following defined barriers:

a. A school dropout

b. A youth who is of compulsory school age and has not attended school in the last quarter

c. Has a High School Diploma/GED who is low income **AND**
    i. Is basic skills deficient or
    ii. An English language learner

d. An individual who is subject to the juvenile justice system

e. Homeless individual (runaway, foster-care/aged out of foster-care or out of home placement)

f. An individual who is pregnant or parenting

g. An individual with a disability

h. A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment

EE. PARTICIPANT

(TEGL 10-16)

A participant is an individual who:

- Meets the definition of reportable individual;
- Has received services other than the services described in 20 U.S.C. § 677.150(a)(3) (or 34 CFR § 361.150(a)(3) or§ 463.150(a)(3), as applicable); and
- Has satisfied all applicable programmatic requirements for the provision of services.

FF. PRIORITY OF SERVICE

(TEGL 10-16)

Priority of service refers to career and/or training services that will be given to Veterans', their spouses and recipients of public assistance and other low-income individuals. Veterans' and their spouses receive the 1st priority of services.

GG. REDACT

To put in writing; to select or adapt (as by obscuring or removing sensitive information) for publication or release; or to obscure or remove text from a document prior to publication or release.

HH. REPORTABLE INDIVIDUAL

(TEGL 10-16)

A reportable individual is an individual who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the program, including:

- Individuals who provide identifying information;
- Individuals who only use the self-service system;
- Individuals who only receive information-only services or activities.

II. SC WORKS ONLINE SERVICES

(SCWOS Procedures Manual – under revision by the SC Department of Employment and Workforce)

SCWORKS ONLINE SERVICES is the State of South Carolina's data tracking system. Both individual participants and employers can access the system and utilize it for their own job seeking/job posting services. It is accessible for WIOA Staff to manage and assist WIOA/TAA participants. All WIOA/TAA Basic and Individual Career Services related program activities, services, referrals, etc., provided to participants must be captured in the SCWORKS ONLINE SERVICES.

JJ.SELECTIVE SERVICE SYSTEM

http://www.sss.gov
(LSWDA Instruction PY'11-005 Change #2)

The Selective Service System is responsible for supplying U.S. Armed Forces with people in the event of a national emergency.

Proclamation 4771 (July 2, 1980) requires all males who were born after January 1, 1960, and who have attained age eighteen, to register with the Selective Service.

KK. SELF-SERVICE

(WIOA Joint Rule)

Self-service occurs when individuals independently access the Workforce Development system information and activities with very little to no staff assistance. This can be done in either a physical location, such as a one-stop center resource room or partner agency, or remotely via the use of electronic technologies, with very little to no staff assistance.

LL. SELF-SUFFICIENCY

(LSWDA Instruction PY'11-002 Revision #5)

The quality or state of being self-sufficient; able to maintain oneself without outside aid; capable of providing for one's own needs – Webster Dictionary definition

WIOA allows employed adults and dislocated workers to receive career services to obtain or retain self-sufficient employment. Local Workforce Investment Boards set "self-sufficiency" criteria. At a minimum, such criteria must provide "that self-sufficiency means employment that pays at least 100 percent of the Lower Living Standard Income Level (LLSIL)" based on family size and income. (Self-sufficiency for dislocated workers may be defined in relation to a percentage of the layoff wage.) The LSWDA region's Self-Sufficiency Guidelines (Effective March 19, 2013) represents 150% of LLSIL as determined for the State of South Carolina. These guidelines, along with LSWDA criteria, are to be used in establishing self-sufficiency.

MM. SIGNIFICANT STAFF INVOLVEMENT

(WIOA Joint Rule)

Significant staff involvement that would result in an individual qualifying as a participant includes a staff member's assessment of an individual's skills, education, or career objectives in order to achieve any of the following:

1. Assist participants in deciding on appropriate next steps in the search for employment, training, and related services, including job referral;

2. Assist participants in assessing their personal barriers to employment; or

3. Assist participants in accessing other related services necessary to enhance their employability and individual employment related needs.

NN. SOCIAL SECURITY NUMBER

(LSWDA Instruction PY'08-002)

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OO. SUITABILITY

Is of the right type or quality for a particular purpose or program.

PP. YOUTH PROGRAM ELEMENTS

The Workforce Innovation & Opportunity Act indicates that Youth programs shall offer fourteen program elements to all Youth participants. These program elements are listed below and specific program services will be provided to a Youth participant based on each participant's objective assessment and individual employment/education plan [WIOA Section (129(c)(2)]:

1. Tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies;

2. Alternative secondary school offerings;

3. Paid and unpaid work experiences that have academic and occupational education as a component of the work experience which may include the following types of work:

    a. Summer employment opportunities
    b. Pre-apprenticeship programs
    c. Internships and job shadowing
    d. On-the Job-Training opportunities;

4. Occupational skills training;

5. Leadership development opportunities, which include community service and peer-centered activities encouraging responsibility and other positive social behaviors;

6. Supportive Services, which may include the services listed in §681.570;

7. Adult mentoring for a duration of at least twelve (12) months, that may occur both during and after program participation;

8. Follow-up Services, as provided in §681.580;

9. Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual Youth participant;

10. Financial Literacy;

11. Entrepreneurial skills training;

12. Local labor market and employment information about in-demand industry sectors;

13. Transitional Services to postsecondary education and training; and

QQ. WORK EXPERIENCE

(TEGL 19-16)

Defined as work experience opportunities such as summer and year-round employment, transitional jobs, pre-apprenticeships, apprenticeships, on-the-job training, internships and job shadowing.

III. PROGRAM ACTIVITIES

RR. RECRUITMENT

The SC Works Center staff shall make contact and recruit potential WIOA Participants as they enter the Center's facility for services.

All Workforce staff shall work to identify and recruit eligible applicants within the service area and refer them to the applicable SC Works Center for eligibility certification.

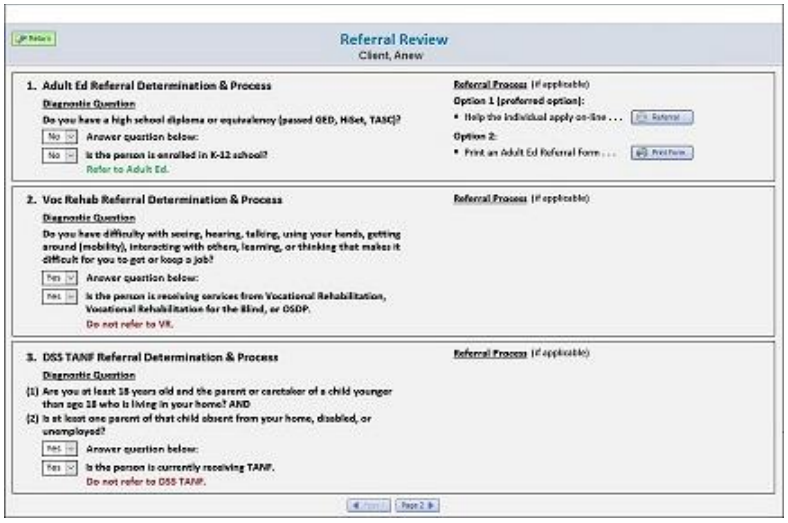
Service Provider shall submit Adult and Dislocated Worker and Youth recruitment reports monthly, due by the 8th of each month. WIOA Certification staff shall also submit monthly, due by the 8th, Adult, Dislocated Worker and Youth recruitment reports. Additionally, the Service Provider shall submit a formal Recruitment Plan to the Supervisor of Contracting Activities no later than July 15th, 2017. This plan should include the recruitment goals and objectives for the contract term.

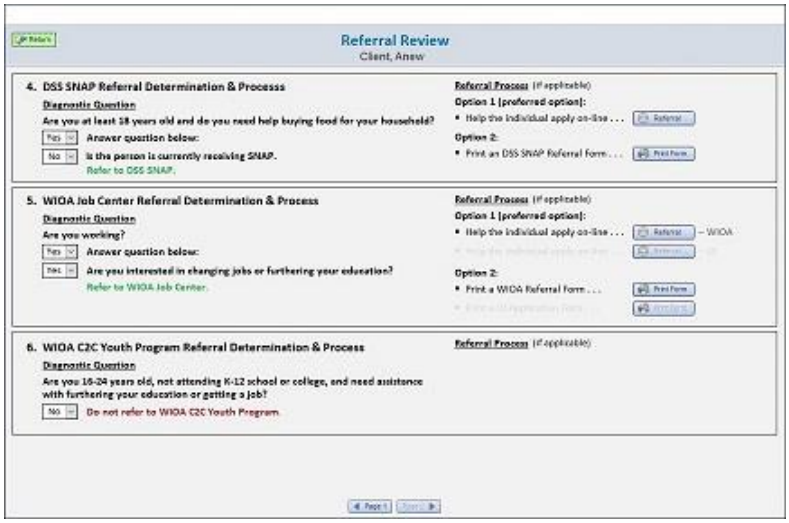
SS. INFORMATIONAL/INITIAL SERVICES

(WIOA Joint Rule)

Self-Service and informational activities are those basic activities that are made available and accessible to the public; that are designed to inform and educate individuals about the labor market, their employment strengths and weaknesses, and the range of services appropriate to an individual's situation. Informational activities (i.e. workshops, focus groups, etc.) should be provided in group settings. These services do not require significant staff involvement with the individual in terms of resources or time. The service delivery strategy for providing INFORMATIONAL and INITIAL SERVICES should be focused on the "Initial System."

The Initial Assessment is based on an online referral assessment being made available to all SC Work Center partners to capture services needed by the reportable individual.





TT. RE-ENTRY

Individuals that have been identified as WIA/WIOA former participant/s must be approved for re-entry. Certification cannot occur until the re-entry (Waiver Request Form) has been approved by the WD Administrator.

UU. ELIGIBILITY DETERMINATION

(SCWorks WIOA Program Information Sheet)

The Staff Online Resources under SCWOS provides a Staff User Guide. Eligibility determination is based upon various criteria as outlined in the Workforce Innovation and Opportunity Act, Training and Employment Guidance Letters (TEGLs), and Local Instructions. LSWDA Instruction PY'12-002 Revision #1 outlines Self-Attestation as an ***OPTION*** for determining eligibility if no other documentation is available.

Self-Attestation Options:

- Disability, unless accommodations are requested, or will be used in determining family of one (1)
- Displaced Homemaker
- Family Size
- Family Income

Out-of-School Youth

In addition to the WIOA documents required for youth applying for WIOA services, the following educational documents will be required for Out-of-School youth who do not have a HSD or GED prior to making the referral for the TABE assessment:

1. High School Transcript (with scores)
2. Latest disciplinary report
3. Release letter from the High School
4. IEP from the school (if applicable)

Do not refer youth who do not have a HSD or GED for the TABE assessment unless these documents have been confirmed. Adult Ed staff will review the educational documents to assess the participants' ability to meet WIOA requirements (a minimum Grade Level 6 in Reading and Total Math is required) and/or whether a referral for partner services would be appropriate.

In-School Youth

In addition to the WIOA documents required for youth applying for WIOA services, the following applies to In-School youth only:

1. No High School Diploma at time of application

2. Still attending school (secondary and post-secondary)

Youth must provide documentation to validate income unless receiving Public Assistance (free lunch or reduced lunch, lives in a high poverty area).

If a potential Youth participant is currently enrolled in post-secondary occupational skills training, s/he must provide documentation from the school that s/he does not have any outstanding debts to the school and that s/he has not lost the ability to receive financial aid due to academic status or probation. If a Youth participant who has attended post-secondary school is not registered at the time of eligibility or the next upcoming school semester then these youth, based on eligibility, could be registered as an out-of-school youth.

There is a funding percentage requirement of enrolled youth to be Out of School Youth, that amount is 75%. Additionally, 20% of all Youth allocation must be spent on work experience which consists of

- ***Summer employment opportunities***
- ***Pre-apprenticeship programs***
- ***Internships and job shadowing***
- ***On-the Job-Training opportunities***

The Youth Coordinator and WIOA service providers will work closely to ensure the LSWDA meets these funding requirements.

IV. CERTIFICATION AND PARTICIPANT REGISTRATION

(TEGL 10-16)
(LSWDA Instruction PY'07-006)
(LSWDA Instruction PY'08-002)

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WIOA Staff are responsible for WIOA Program ***Overview***, determination of WIOA program suitability, eligibility/ineligibility, and enrollment/registration into the WIOA Program via documentation of a SCWORKS ONLINE SERVICES Participation Screen.

A Participant is an individual who is determined eligible to participate in the program and receives a service, as noted above, funded by the program either in a physical location (Center) or remotely through electronic technologies. Following a determination of eligibility, the official WIOA File

Folder will be forwarded to the WIOA Certification and Enrollment Coordinator for review and transfer to the Service Provider, and the Adult and Dislocated Worker service provider staff will forward the files to the Program Manager for review.

Youth certifications are provided by the Youth Program service provider.

Adult & Dislocated Worker certifications are provided by LSCOG WIOA staff and the Adult and Dislocated Worker service provider staff, as needed.

***Good Sense Tip**: The entire process must be completed in ten (10) working days.*

WIOA funded activities determine participation which begins with the "date of participation" (represents the first day, following a determination of eligibility, that the individual begins receiving a service funded by the program) necessary for performance measure reports. In the event that the individual does not show for the scheduled TABE or WorkKeys testing, a case note must be entered into the SCWOS On-Line system indicating that the individual did not return for assessment and what the next planned steps are to try to reach the individual to have the individual return.

In accordance with TEGL 19-16 follow-up services do not extend the date of exit in performance reporting.

VV. SIGNATURES

All completed WIOA Program Applications must be signed regardless of eligibility status. Furthermore, WIOA forms require numerous signatures and all signature fields contained on forms must be signed by the appropriate parties, i.e., participant, guardian, case manager, etc. Failure to sign, or have forms signed, accordingly and appropriately, may result in a monitoring issue or questionable costs.

Forms that have signature fields must be signed and dated.

(LSWDA Instruction PY'11-001)
(Guardianship Form)

A Parent/Guardian Signature is required for applicants under the age of 18. The term "guardian" for a WIOA Youth application, refers to any adult (at least 18 years of age or older) who is providing housing and financial support to the Youth regardless of legal status. In order to remain in compliance with WIOA regulations, a Guardianship Form for local WIOA use is available on the LSWDA website. The guardianship form must be completed by the adult guardian at the time of application and maintained in the applicant's case file.

If the individual is not eligible to receive WIOA services, the WIOA Program Application must be printed, signed, dated, and kept for one year in a centralized file located in the SCWorks Center. A case note must be entered into SCWOS indicating that the individual is not eligible for the WIOA

program. After one year, the files may be transferred for storage.

***Good Sense Tip**: The definition of guardian authorized to sign the WIOA application differs from the definition of guardian as it relates to family size. According to the WIOA definition of Family, a guardian's income should not be included in the family income unless documentation of legal guardianship or adoption is provided.*

WW. ASSESSMENT

(LSWDA Instruction PY'11-012)
(Reference SOW, Section G for Youth Assessment)

At the point the file review process is complete and the customer is deemed eligible to receive WIOA services, the Certification Staff must refer the applicant for an official assessment.

The participation record should be completed in the SCWORKS ONLINE SERVICES once a staff person confirms the applicant/participant took the appropriate assessment. If the individual did not show for the assessment, a case note must be entered into SCWOS indicating the status. Determining points of when the applicant/participant becomes officially registered or enrolled into the WIOA Program are as follows:

a. completion of the WIOA Application, printing it, having the individual sign and date it;

b. the official WorkKeys® or TABE scores, whichever are appropriate, have been received and entered into the SCWORKS ONLINE SERVICES. ***Youth literacy/numeracy screen has been created for all YOUTH Participants.***

c. creation of the assessment activity code, either 203 for adults/dislocated workers or 412 for youth.

A file review by the WIOA Center Operator (Adult and Dislocated Worker Participant Files) or WIOA Service Provider Manager (Youth Participant Files) is required before the file is assigned and transferred to case management/service provider staff. The required essentials of the file review are to examine; file set-up, data validation requirements, supporting documents, signature and date requirements, as well as the omission of social security numbers.

XX. CAREER SERVICES

(TEGL 19-16)

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3. Orientation

(LSWDA Instruction PY'07-009)
(WIOA Orientation Sheet)

A scheduled Orientation Process will be utilized across the Lower Savannah region and provided in group-sessions. The WIOA Program Service Provider will provide an all-inclusive WIOA Orientation to include career and employment plans, case management requirements, grievance policy and procedures, participant expectations, training opportunities and requirements, time and attendance requirements, supportive services, and follow-up services. Signatures and dates on the LSWDA Orientation Form will document these activities.

Case Managers will complete and review the Objective Assessment Summary Report (OASR) with each individual.

4. Development of Individual Employment Plan

(LSWDA Instruction PY'05-003)

The Individual Employment Plan (IEP) is an ongoing strategy jointly developed by the Participant and the WIOA Case Manager that identifies the Participant's employment goals, the appropriate achievement objectives, and appropriate combination of services for the Participant to achieve the employment goals. Section 10B of the SCWOS Procedures Manual outlines the necessary steps to develop an individual employment plan, or IEP. Since the IEP is an on-going/living document, it must be updated in the SCWORKS ONLINE SERVICES as the goals and objectives for the individual change, throughout the entire program participation. At a minimum, the IEP should be used as a comprehensive tool that accurately provides a step-by-step plan to assist each individual participant with obtaining self-sufficient employment.

An IEP will be developed in the SCWORKS ONLINE SERVICES for all new WIOA Participants within five (5) working/business days upon receipt of the file. Exceptions will be documented accordingly. Activity code 205 or 413, respectively, must be created in SCWOS upon creation of the IEP. An IEP review is required every 45 days and updates need to be completed as required. Desktop reviews of the IEP will be monitored periodically to ensure that the IEP is used to reflect that goals are updated as they are modified or met.

5. Case Management Philosophy

***Good Sense Tip**: Case Managers will not perform case management assistance to family members, nor close friends. Staffing patterns should be diverse and reflective of the participant - base served. Refer to LSWDA Instruction PY'93-010 Revision #2 ** relative to Nepotism.*

Good Sense Tip: NOT A DEFINITION ➔ REMINDER: Inclusion of a social security number on any document is a violation of the Privacy Act and is punishable by law. Refrain from using the social security number on any WIOA form. If a social security number is found on any form in the WIOA file folder, staff are required to redact it IMMEDIATELY. Failure to do so will result in a monitoring issue, and may result in termination of employment.

The Lower Savannah Workforce Development Area bases the philosophy for Case Management on the idea that Participants should be actively encouraged to pursue and obtain self-sufficient employment. Participants have strengths and resources as well as weaknesses and barriers. If Participants do not have the skills to obtain self-sufficient employment and have participated in active job search activities with no results, training services may be an option.

The relationship between the Case Manager and the Participant is a partnership where mutual agreement decides the outcomes. The Participant should be actively involved in all phases of the process, including planning, decision-making, and problem solving. The Participant has the ultimate responsibility for change and success.

The following basic assistance provided by the case manager to the WIOA Participant, will be documented in the SCWORKS ONLINE SERVICES:

a. Through ongoing assessment, gather and analyze data on internal and external factors affecting the Participant's ability to achieve greater academic success and to remain in school.

b. Provide necessary direct assistance for helping the Participant implement the negotiated plan (e.g., present options, instruct and/or tutor, assist with problem solving, decision making, etc.).

c. Record and file pertinent information, e.g., maintain an ongoing record of Participants' plan achievements, program activities, progress, problems and problems solved, record of case manager's activities, involvement, data gathering and analysis, as well as strategies developed and implemented.

d. Case notes and other components of the case management process should be structured to provide the following:

   i). Case notes are tied to the individual, and the applicable WIOA/TAA Application.
   ii). Case notes should support, not duplicate, information in the Activity Records and other SCWORKS ONLINE SERVICES screens.
   iii). Case notes should include information related to the individual's WIOA/TAA participation. They should include meaningful, additional information related to WIOA/TAA activities/services, educational progress, and/or employment. Case notes should also include information on barriers and supportive services provided.
   iv). For activities such as career counseling and comprehensive guidance and counseling, the case note should provide a summary of the counseling/guidance session INCLUDING the details of the topics discussed, corrective action plan/next steps, follow-up planned, further services needed, etc. This will include career counseling/planning related to career

choice, change, or adjustment.

v). The length of the case note is not important. The VALUE of the content is important.

vi). Case notes should include information on missed appointments and attempts to contact the individual.

vii). Case notes should include contacts with instructors, employers, etc. to follow progress in training or employment.

viii). For participants in training, case note should document satisfactory progress, current grade point average, the reasons for extensions in training, etc.

ix). The SUBJECT OF THE CASE NOTE should be meaningful. (Example: Transportation Problem; GED; Manufacturing Training; instead of monthly contact or telephone call).

x). ***DO NOT SUPPRESS CASE NOTES***. Case notes should not include information of a confidential nature such as criminal activity, drug abuse, alcohol abuse, domestic abuse, etc. The case note should indicate that confidential information is in a locked file. (Information in a locked file can be subpoenaed.)

xi). Do not name other participants or students in case notes, or documents contained in the individual's participant file folder. Other names should be redacted.

xii). Use appropriate capitalization and grammar. Be careful with pronouns and use spell check.

xiii). A final summary case note is required for all participant records. The case note should include performance measure outcomes, goal obtainment, successful/unsuccessful participation, program completion status, training received, training and supportive services dollars expended and next step/s.

Good Sense Tip*: Remember that case notes can, and are, read by other individuals who have access to the system. Avoid using generic case notes. Do not cut, copy, & paste the same case note into every file, i.e., workshop schedule sent or newsletter sent. Do not copy letters into case notes. Case notes are not required for every activity record. Case notes are not to be printed or signed.* ***Exception****: Eligibility Certification summarization case note is the only case note to be printed, signed by both parties and placed in the file.*

6. GED Services for Adults/Dislocated Workers

(LSWDA Instruction PY'10-005)

GED Services are provided only to eligible Adults/Dislocated Workers when they qualify for an Adult Education "Boot Camp" being operated in the LSWDA for PY'17 in participating counties. "Boot Camp" rules would apply.

a. WorkKeys ® scores should indicate the participant's ability to successfully complete the training curriculum

b. GED services/training must be completed within the established Boot Camp time

requirements

c. An IEP must be completed, which clearly shows the WIOA Customer's future training requirements, a self-sufficient employment goal and, includes appropriate case notes documenting the need for GED training services

d. When the requested occupational skills training curriculum does not require a GED, WIOA FUNDS SHALL NOT BE USED TOWARDS GED COSTS without prior approval from the Workforce Development Administrator. Use the Waiver Form and provide an explanation in the "Other" category

e. When the participant meets the criteria for WIOA funded GED services, the participant shall be referred to Adult Education, who will assess the individual to determine if the individual meets the Boot Camp criteria for the GED services

f. If the individual does not meet the Boot Camp criteria, the individual will be referred to Adult Education for completion of the GED, at the participant's expense, prior to WIOA program enrollment.

YY. SUPPORTIVE SERVICES

(LSWDA Instruction PY'16-002 Revision #1)

The ability to make a supportive services payment on behalf of any WIOA participant is based on the availability of WIOA funds. All supportive services payments issued on behalf of WIOA Participants in the Lower Savannah Workforce Development Area will be issued based on an established and documented need, identified as follows:

1. one that was identified during the initial and/or comprehensive assessment and placed on the Individual Employment Plan (IEP); or

2. one that is identified due to an emergency occurring after the individual became a WIOA Participant.

Good Sense Tip: ***CAUTION MUST BE EXERCISED HERE*** *because supportive services assistance payments must not be made retroactive to the individual becoming a WIOA Participant. Payments can only be made toward relief of situations after the individual becomes a WIOA Participant and are based on the availability of funds.*

In addition to the requirements contained in subparagraph (A) of the Act, 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 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. Need-based payments may be authorized after Unemployment Insurance (UI) and Trade Adjustment Assistance (TAA) benefits have been exhausted.

Supportive Services payments will be limited to the amount necessary to satisfy the emergency and permit the WIOA participant to continue or complete the applicable WIOA activity, AND such payments must be assumable by the individual if/when WIOA ceases to provide support.

***Good Sense Tip**: A financial budget is required each time a participant requests supportive services; if there is a deficit in the budget, it is questionable as to why WIOA should continue to pay. The ability to make supportive services payments on behalf of any WIOA participant is based on the availability of WIOA funds. Direct your written requests for extenuating circumstances to the WD Administrator for a waiver.*

ZZ. FUNDING APPROVED TRAINING CLUSTERS/CURRICULUM

(LSWDA Instruction PY'10-007 Revision #1)

This policy is effective July 1, 2015, and is for all WIOA approved Training Participants who start training on or after the effective date. Due to limited funds, all individuals seeking training must apply for Financial Aid (see Good Sense Tip). **Training Services Committee will approve all training for those individuals enrolled in WIOA seeking training regardless of funding source.** ***The Training Services Committee will only approve training for those individuals who have applied for PELL, SC Lottery, or FAFSA assistance.***

If an individual is seeking occupational skills training that is not part of the approved training cluster, the service provider must request a Waiver from the Workforce Development Administrator ***PRIOR TO THE TRAINING COMMITTEE*** meeting. Any expenses related to the non-listed training curriculum will be deemed as a disallowed cost if the individual starts training prior to the WD Administrator approving the waiver. A waiver is not required for OJT's that are in addition to the Approved Training Clusters/Curriculum. OJT approvals require a minimum $10 per hour pay rate for all new employers as of July 1, 2016.

***Good Sense Tip**: WIOA Funds may not be expended to support any training not associated with the Approved Training Clusters/Curriculum without prior approval of the Local Area Administrator. Please refer to the official LSWDA Instruction for additional guidance.*

Please know that these are the only approved Training Areas at this time for the Lower Savannah Region:

7. Healthcare

   Medical Care; Ambulatory Services; Residential Care Facilities; Diagnostic Laboratories; Hospitals; Healthcare Practitioners & Technical Occupations; Health Diagnosing & Treating Practitioners; Health Technologies & Technicians; Healthcare Support such as Nursing; Psychiatric; Home Health Aides; Secretaries & Administrative Assistants; Information & Record Clerks; Information Technology Administration, Design and System Support

8. Transportation, Distribution, & Logistics (TDL)

   Goods; Warehousing & Storage; Support for Activities related to modes of Transportation,

such as Roads, Rail, Water & Air; Motor Vehicle Operators; Rail Transportation Occupations; Air Transportation; Office & Administrative Support for Material Recording; Scheduling; Dispatching & Distributing; Installation, Maintenance & Repair Occupations for Vehicle & Mobile Equipment Mechanics, Installers & Repairers; Information Technology Administration, Design and System Support

9. Construction

   Construction of buildings or engineering projects such as highways and utility systems; Construction & Extraction Occupations; Office & Administrative support occupations; Installation, Maintenance & Repair Workers such as Vehicle & Mobile Equipment Mechanics, Installers, & Repairers; Information Technology Administration, Design and System Support

10. Manufacturing

    Mechanical, Physical, Chemical Transformation of Materials, Substances, or Components into new products; Paper Manufacturing; Chemical Manufacturing; Electrical & Electronic Equipment Manufacturing; Assemblers & Fabricators; Food Processing Occupations; Metal & Plastics Workers; Office & Administrative Support for those occupations such as Recording, Scheduling, dispatching & Distributing; Transportation of Manufactured Materials; Information Technology Administration, Design and System Support

AAA. PARTICIPANT LIFETIME MAXIMUM ITA CAP

(LSWDA Instruction PY'10-006 Revision #2)

The **lifetime maximum training amount for a WIOA Participant is hereby set and shall not exceed $8,000.00 per Adult and Dislocated Worker WIOA Participant and is set and shall not exceed $10,000 per Youth WIOA Participant (this includes the Work Based Learning – Work Experience Activity)**. ITAs include tuition, books, tools, uniforms, fees, and supplies required for the completion of classroom training and On-the-Job Training (OJT). All training costs shall be paid in accordance with documented and approved ITA Vouchers. *Supportive Services are not training. Supportive Services are not included in the lifetime maximum training cap.*

LSWDA Instruction PY'01-004, Revision #8 states any portion of the total training amount paid with resources other than WIOA funds, such as PELL, Lottery, TAA, etc., will not count toward the Training Cap.

Additional Considerations:

1. GED and/or Basic Skills services are included in the Lifetime ITA Training Cap amount. Therefore, using the most expeditious and most cost efficient means of acquiring these prerequisites is imperative. (Refer to LSWDA Instruction PY'10-005 GED Services for Adults and Dislocated Workers.)

2. Allowing participants to attend training on a part-time basis increases the cost of training and the time it takes to complete training. Therefore, full-time training shall be the norm.

3. Part-time training will not be allowed without having written approval from the Workforce Development Administrator. Use the Waiver Request Form to request approval of part-time training and provide an explanation in the "Other" category box on the form.

4. In extenuating circumstances when it is believed that funding in excess of the training cap is reasonable, necessary, and appropriate for a customer to achieve employment and economic sufficiency, a Waiver Request Form shall be submitted to the Workforce Development Administrator for approval prior to any expenditures in excess of the training cap.

5. The LSWDA must utilize a system to document all training costs for each WIOA participant. Therefore, all Lower Savannah WIOA Service Providers/Contractors shall utilize the SCWORKS ONLINE SERVICES System's Individual Fund Tracking (IFT) module.

Good Sense Tip: *All participants are required to apply for PELL/SC Lottery/FAFSA prior to being enrolled into training - www.fafsa.ed.gov. If they have not done so, the Training Services Committee cannot approve them for training. If the individual has applied for PELL/SC Lottery/FAFSA, staff shall document the outcome in SCWORKS ONLINE SERVICES. If the participant is not eligible for PELL/financial assistance, an explanation as to why they do not meet eligibility and supporting documentation of having applied must be in the official WIOA Participant File Folder.*

BBB. TRAINING SERVICES

(TEGL 19-16)
(LSWDA Instruction PY'02-009, Revision #4)
(LSWDA Instruction PY'07-007 Revision #2)

ALL YOUTH DETERMINED TO BE BASIC SKILLS DEFICIENT WILL BE REQUIRED TO PARTICIPATE IN STRUCTURED REMEDIATION ACTIVITIES. YOUTH WILL NOT BE APPROVED FOR TRAINING OR CERTAIN WORK BASED LEARNING OPPORTUNITIES (OCCUPATIONAL SKILLS TRAINING, ON-THE-JOB TRAINING, ETC.) UNTIL AN EDUCATIONAL FUNCTIONING LEVEL GAIN HAS BEEN ACHIEVED. WIOA COSTS INCURRED FOR YOUTH WHO ARE ALLOWED TO PARTICIPATE IN TRAINING WITHOUT ACHIEVING THE FUNCTIONING LEVEL GAIN FIRST WILL BE REVIEWED FOR POSSIBLE DISALLOWANCE.

Good Sense Tip: SCWORKS ONLINE SERVICES *Activity Code 414 Basics Skills Training and Code 433 GED Training or Adult Ed HS shall be used to track the services.*

11. Deliberations of Training Services Committee

The Service Provider shall document the entire Training Services Committee deliberations and include the documentation in the applicable WIOA customer's Official WIOA File Folder, as well as document the events in SCWORKS ONLINE SERVICES by way of case notes. Items such as criminal background checks and previous 10 years driving record shall be requested and reviewed prior to the Training Committee meeting, and documented and stored according to LSWDA Instructions PY'11-011 and PY'12-001. Costs for these items shall not be part of the

Individual Funding Tracking record.
Remember if a partner agency is paying for the actual training, the Training Committee is still required to meet and approve the training.

12. Establishment of Training Services Committee

Establishment of the Training Services Committee shall be the joint responsibility of the WIOA Service Provider Program Manager and the SC Works Center Operator, or designee (generally the WIOA Service Provider Program Manager and the SC Works Center Operator). The WIOA Service Provider Program Manager or the Center Operator shall facilitate this coordinated effort since the applicable WIOA customer will be under his/her control at the time the need for such a decision arises. As well as the fact that the customer's WIOA Case Manager should be the first person to arrive at such a decision. A *typical Training Services Committee Meeting* will have a minimum of three (3) voting staff members, which shall include the applicable WIOA Case Manager, SCDEW Wagner-Peyser Representative and a WIOA Certification Staff Member. If the WIOA participant is also a Trade client, then the Committee will be comprised of those staff listed above as well as a Trade Case Manager. If the WIOA participant is being recommended for Work Based Learning (with the exception of a Work Experience), then the Training Committee will be comprised of those staff listed above, as well as a Business Services Representative.

The Training Services Committee's decision to *Approve* or *Disapprove* the applicable WIOA Participant for Training Services [which includes On-the-Job Training (OJT), customized training, apprenticeship training, work based learning-not to include work experience, etc.] will be based on a ***majority vote***. Should a training services committee member request a decision appeal, a written request should be submitted to the LSWDA Workforce Development Administrator.

13. Training Time/Attendance Sheets

Participants during training activities shall provide **weekly** time/attendance sheets to document

- Active participation and attendance in training
- Voucher payments for OJT, occupational skills training and supportive services

14. Incentive Policy (YOUTH ONLY)

(LSWDA Instruction PY'06-006, Rev #5)

In the event that the Service Provider has an Incentive Policy, it must be submitted and approved by the Lower Savannah Workforce Development Administrator. In the event that the Service Provider does not have an Incentive Policy, follow the LSWDA Incentive Policy/Schedule provided in the Statement of Work [Insert H].

CCC. INDIVIDUAL TRAINING ACCOUNT (ITA)

(LSWDA Instruction PY'03-001)

The individual seeking training services is partly responsible for completing the ITA/Voucher information for the occupational skills training. Follow the requirements of this instruction for capturing the Budget for Occupational Skills Training. It is the responsibility of the Service Provider to ensure that adequate training funds are available in their contractual budget for training obligations.

***Good Sense Tip**: Individuals in training shall be required to apply/re-apply for Financial Aid at the beginning of each Calendar Year while in training services.*

***Good Sense Tip:** Be sure to double check all documents received from the training facility as they are notorious for showing the individual's social security number as the student ID number.*
NOT A DEFINITION → REMINDER: Inclusion of a social security number on any document is a violation of the Privacy Act and is punishable by law. Refrain from using the social security number on any WIOA form. If a social security number is found on any form in the WIOA file folder, staff are required to redact it IMMEDIATELY. Failure to do so will result in a monitoring issue, and may result in the recommendation for termination of employment.

DDD. INDIVIDUAL FUND TRACKING (IFT)

(LSWDA Instruction PY'10-003)

Individual Fund Tracking (IFT) was opened in the Lower Savannah Region to assist with capturing and tracking related expenses on WIOA participants. Effective January 6, 2011, any and all costs associated with a particular SCWORKS ONLINE SERVICES activity must be input into the appropriate tabs in SCWORKS ONLINE SERVICES. Desktop monitoring of reported financial expenditures takes place in-house and any found anomalies will be written up in the form of a financial monitoring report.

Any costs associated directly to an activity that captures the costs under the IFT must be captured in a detailed case note. Details must include the reason for payment, vendor identification information, and date paid. Examples of costs captured in case notes are SLED checks, driving records, drug testing, etc., that is done prior to an event or activity. Supportive Services has an activity code and that activity allows for IFT information.

EEE. CASE CLOSURE

Creation of a WIOA Case Closure in SCWORKS ONLINE SERVICES will signify there are no other planned WIOA services. These SCWORKS ONLINE SERVICES records are intended soft exits. ALL Service Providers are responsible for providing follow-up services to WIOA Participants who have a program outcome/common exit in SCWORKS ONLINE SERVICES.

FFF. SUMMARY CASE NOTE/SUBJECT FOR EXITING

When no other services are expected to be provided other than follow-up services, the Case Manager will document SCWORKS ONLINE SERVICES with a summary case note.

At a minimum, the case note should include:
Subject: ***Conclusion of Participation***
Conclusion of Participation Case Note must address the documentation of employment or achievement of all performance measures (if applicable), date and source of documentation, attainment of credentials/licenses, date attained, source of documentation, date of last activity, total training dollars expended, total supportive services expended, etc. Summary case notes, such as amount spent on a participant and those noted above, are vital in the event of a re-entry request.

GGG. JOB PLACEMENT/ EMPLOYMENT SERVICES

(LSWDA Instruction PY'01-005)

Job Placement/Employment Services may begin immediately after the determination is made that an individual needs these services. SCWORKS Center Staff will assist WIOA Participants with job search/job referrals/employment services by coordinating the referral of the WIOA Participant with the appropriate partner at the Center. The appropriate staff person should document job placement referrals and employment services (i.e., workshops, group sessions, job searches, etc.) accordingly in SCWORKS ONLINE SERVICES, either by entering activity codes or case notes.

HHH. FOLLOW-UP SERVICES

Follow-up Services will be provided to all individuals who have ceased participating in all programs, including WIOA, Wagner-Peyser, and Trade programs – common exit. ***Follow-up data entry into*** SCWORKS ONLINE SERVICES ***is triggered by the appropriate program's 'follow-up links' being available, or dropping, in the*** SCWORKS ONLINE SERVICES ***system. The Service Provider shall provide Follow-up Services***. Follow-up files should be set-up and managed by a 1st, 2nd, 3rd and 4th quarter filing system based on the participant's follow-up status.

Ad Hoc Reports must be utilized in order to manage follow-up records in SCWOS. After satisfying the follow-up requirements (where applicable), service provider staff will assign the file/s to the SCWOS Coordinator in preparation for storage. All hard copy WIOA Participant File Folders will be boxed accordingly and prepared for delivery to the Lower Savannah Council of Governments' office for storage.

15. Effective Follow-Up Services:

- Regular contact with appropriate frequency with the participant, the participant's employer, or the participant's post-secondary academic advisor (youth specifically)
- Leadership development activities provided after completion of participation (youth)
- Case Management activities
- Referrals to partners for needed services

16. Ineffective Follow-Up Services:

- Follow-up activities that consist solely of occasional, ineffective contacts
- Quarterly phone calls or mail surveys to see if the participant is still working or still in school
- Letters to inquire about status

***Good Sense Tip**: A system soft-exit will automatically take place in SCWORKS ONLINE SERVICES 90-days after the last date of service entered in the system. **IF** an individual is intended to soft exit, we recommend that a case note be entered to alert all SCWOS Staff that no activities (WP or WIOA) should be opened and that this individual is intended to exit.*

V. PERFORMANCE MEASURES

(TEGL 10-16)

Each Service Provider is required to reach the performance measure goal/s as noted below to ensure the overall region will meet or exceed the required measures. WIOA measures reflect modified and additional performance goals. Measure goals are forthcoming and Service Providers will receive updates and final measure determinations once received.

III. ADULT/DISLOCATED WORKER MEASURES INCLUDE:

1. Adult Employment Rate 2nd Quarter After Exit = Goal is 75.30%
2. Adult Employment Rate 4th Quarter After Exit = Goal is 72.90%
3. Adult Median Earnings 2nd Quarter After Exit = Goal is $ 4,859
4. Adult Credential Attainment during participation or w/in 4 Quarters After Exit = Goal is 52.50%
5. Measurable Skill Gains during a program year (in an education or training program) = Goal is to be determined or N/A
6. Dislocated Worker Employment Rate 2nd Quarter After Exit = Goal is 79.30%
7. Dislocated Worker Employment Rate 4th Quarter After Exit = Goal is 77.30%
8. Dislocated Worker Median Earnings 2nd Quarter After Exit = Goal is $ 6,405
9. Dislocated Worker Credential Attainment during participation or w/in 4 Quarters after Exit = Goal is 56.00%
10. Measurable Skill Gains during a program year (in an education or training program) = Goal is to be determined or N/A

JJJ. YOUTH MEASURES INCLUDE:

1. Youth Employment Rate 2nd Quarter After Exit = Goal is 76.60%
2. Youth Employment Rate 4th Quarter After Exit = Goal is 69.10%
3. Youth median Earnings 2nd Quarter After Exit = Goal is to be determined or N/A
4. Youth Credential Attainment during participation or w/in 4 Quarters After Exit = Goal is 69.60%
5. Measurable Skill Gains during a program year (in an education or training program) = Goal is to be determined or N/A

KKK. EMPLOYER MEASURE INCLUDES:

Effectiveness in Serving Employers = Goal to be determined or N/A

Lower Savannah Program Year 2017 WIOA Performance Goals

Performance Measure **Indicates Goals to be determined*	Negotiated Goals	*Service Provider Goal is 90%*
Adult Employment Rate 2nd Quarter after Exit	**76.30%**	*67.77%*
Adult Employment Rate 4th Quarter after Exit	**72.90%**	*65.61%*
Adult Median Earnings 2nd Quarter after Exit	**$ 4,859**	*$ 4,373.10*
Adult Credential Attainment w/in 4 Quarters After Exit	**52.50%**	*47.25%*
Measurable Skill Gains	**TBD***	*TBD**
Dislocated Worker Employment Rate 2nd Quarter after Exit	**79.30%**	*71.37%*
Dislocated Worker Employment Rate 4th Quarter after Exit	**77.30%**	*69.57%*
Dislocated Worker Median Earnings 2nd Quarter after Exit	**$ 6,405**	*$ 5,764.50*
Dislocated Worker Credential Attainment w/in 4 Quarters after Exit	**56.00%**	*50.40%*
Measurable Skill Gains	**TBD***	*TBD**
Youth Employment Rate 2nd Quarter after Exit	**76.60%**	*68.94%*
Youth Employment Rate 4th Quarter after Exit	**69.10%**	*62.19%*
Youth Median Earnings 2nd Quarter after Exit*	**TBD***	*TBD**
Youth Credential Attainment w/in 4 Quarters after Exit	**69.60%**	*62.64%*
Measurable Skill Gains	**TBD***	*TBD**
Effectiveness in Serving Employers	**TBD***	*TBD**

VI. EXCLUSIONS FROM PERFORMANCE

(TEGL 10-16)
(Common Exit)

A Participant in any one of the following categories (either at the time of exit or during any of the follow-up quarters) may be excluded from common measures provided there is supporting documentation in the file:

1. Institutionalized – residing in an institution or facility providing 24-hr. support, prison or hospital; expected to remain for 90 days or more;

2. Health/Medical or Family Care – participant is receiving medical treatment or providing care for a family member with a health/medical condition that precludes entry into unsubsidized employment; expected to last 90 days or more;

3. Deceased;

4. Reserve Forces Called to Active Duty;

5. Relocated to a Mandated Program – for YOUTH ONLY: foster care system or another mandated residential or non-residential program and has moved; does not include relocation to Job Corps; or

If any of these reasons apply to participants in the program, the WIOA Service Provider may request a Hard Exit creation in SCWORKS ONLINE SERVICES so that the individual will not count towards performance. Hard Exit Request and documentation for the hard exit reason must be submitted to the LSWDA SCWORKS ONLINE SERVICES Coordinator for processing in accordance with LSWDA Instruction PY'06-005, Revision #1.

VII. PROGRAM OUTCOMES

17. System Soft Exit

(LSWDA Instruction PY'06-005 Revision #1)
SCWORKS ONLINE SERVICES will automatically create a system soft exit when there are no activities or services provided to a Participant from WIOA, Wagner-Peyser, or Trade for 90 days – common exit.

18. Hard Exit

(LSWDA Instruction PY'06-005 Revision #1)
Hard Exits are created at the local administrative level only. Service Provider Staff must submit a request to the local office, supported by documentation, to create a hard exit. Hard Exits are excluded from performance measures.

VIII. WIOA QUARTER CALENDAR

1. First Quarter: January / February / March

2. Second Quarter: April / May / June

3. Third Quarter: July / August / September

4. Fourth Quarter: October / November / December

IX. RECORD RETENTION

All applications not completed or deemed ineligible after completion for WIOA must be kept and maintained by staff in the center of service, in a central drawer, for a period not to exceed one full year. Upon reaching the one-year anniversary, the files shall be securely disposed of, these files are not to be maintained in storage boxes with WIOA participant files and are the only files

to be deposed of at the designated SC Works Center.

***Good Sense Tip**: All completed ineligible applications must be signed and maintained. The only application not signed is a partial application.*

X. STORAGE

(LSWDA Instruction PY'11-011)

Quarterly Due Dates

- Completed storage boxes are to be delivered to the LSCOG office quarterly

- Completed storage boxes must not be allowed to accumulate past the due dates listed below:

    - Week of March 31st
    - Week of June 30th
    - Week of September 30th
    - Week of December 31st (*due January 15th)

WIOA Participant File Folder Labels

- All file folders must be labeled with the following information in the exact order of **Participant's Last Name, First Name, State ID # and Funding category** and clearly printed on the outside of the file folder
- In preparation for storage, you will need to ensure that there is a label on the front of each file with the appropriate information in order for the files to be accepted by workforce development staff.

Storage Boxes

- All participant files must be stored in "Bankers Boxes" storage boxes (letter size) only
- Service Providers will be responsible for purchasing the storage boxes
- Files are to be boxed by county (in which they were *certified*)
- Participant files are to be sorted alphabetically
- Additional documents (i.e. timesheets) filed separately will need to be placed in an envelope, labeled and stored with the participant files, directly behind the participant file folder
- Sensitive information (i.e. legal/medical documents etc.) is to be maintained in a separate lockable file cabinet at the SC Work Center of origination for 5 years
- A copy of the cover sheet must be included inside the storage box
- Storage boxes must be full when delivered to the LSCOG office for archive
    - Partially filled storage boxes are to be maintained until full, regardless of the Quarterly Due Date
    - ***EXCEPTION:*** At the end of the calendar year (December 31st due date), ALL boxes (partial and/or full) are to be delivered to the LSCOG office
    - Boxes missing any files will not be accepted until missing files are included

Storage Box Cover Sheet

- An electronic copy of the "Storage Box Cover Sheet" will be emailed to each service provider
- When a storage box is full, and the files are alphabetized in the box, a Service Provider staff member must fill out the Storage Box Cover Sheet
- When the cover sheet has been completed, please print, sign and place the sheet in the box. Email a copy of the storage box cover sheet to the LSWDA SCWOS Coordinator.

Storage Box Review

- WIOA workforce development staff will perform a 100% quality storage box document review to ensure the cover sheet matches the box content.
- If files are missing, but listed on the cover sheet and vice versa, the storage box will not be accepted.

Good Sense Tip: ***NOT A DEFINITION → REMINDER:*** ***Inclusion of a social security number on any document is a violation of the Privacy Act and is punishable by law. Refrain from using the social security number on any WIOA form. If a social security number is found on any form in the WIOA file folder, staff are required to redact it IMMEDIATELY. Failure to do so will result in a monitoring issue, and may be result in termination of employment.***

XI. FINANCIAL REQUIREMENTS

Good Sense Tip: ***REMINDER: Twenty percent (20%) of all Youth allocated funds must be spent on Work Experience Activities. Seventy-five percent (75%) of all Youth allocated funds must be spent on Out-of-School Youth.***

(TEGL 19-16)
(LSWDA Instruction PY'06-006 Revision #3)
(LSWDA Instruction PY'03-010 Revision #2)

Requests for Payment Invoices and other required financial forms must be submitted to the Workforce Development Financial Director, LSCOG, on or before the 8th day of each month. The invoices must be supported by a copy of the original source documentation, i.e. a vendor invoice, purchase order, time sheet, a payroll record, an incentive payment (youth only), achievement record, a supportive services payment record, etc. All supporting documentation must be submitted along with the original invoice to the Financial Director by the deadline.

The invoices are to be differentiated by funding stream and allocated according to the total combined percentages for each individual funding stream, as documented in the exhibit "Allocation of Staff Salaries Across All Projects." This exhibit is located in PART 3 (Budget Section) of each individual contractual agreement and is the basis for payments and related cost objectives or categories. For individual travel payments, excluding travel for staff training purposes, the percentages given to each individual staff member in the above-mentioned exhibit are to be used.

19. Financial Management System

According to 29 CFR 97.20 and 2 CFR 200, there are standards for a financial management system:

a. A State must expand and account for grant funds in accordance with State laws and procedures for expending and account for its own funds. Fiscal control and accounting procedures of the State, as well as its sub-grantees and cost-type contractors, must be sufficient to:

- Permit preparation of reports required by this part and the statues authorizing the grant, and
- Permit the tracking of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restricted and prohibitions of applicable statues.

b. The financial management systems of other grantees and sub-grantees ***must meet*** the following standards:

i). Financial reporting

Accurate, current, and complete disclosure of the financial results of financially assisted activities must be made in accordance with the financial reporting requirements of the grant or sub-grant.

ii). Accounting records

Grantees and sub-grantees must maintain records that adequately identify the source and application of funds provided for financially assisted activities. These records must contain information pertaining to grant or sub-grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.

iii). Internal control/payments – procedures must be in writing

Effective control and accountability must be maintained for all grant and sub-grant cash, real and personal property, and other assets. Grantees and sub-grantees must adequately safeguard all such property and must assure that it is used solely for authorized purposes.

iv). Budget control

Actual expenditures or outlays must be compared with budgeted amounts for each grant or sub-grant. Financial information must be related to performance or productivity data, including the development of unit cost information whenever appropriate or specifically required in the grant or sub-grant agreement. If unit cost data are required, estimates based on available documentation will be accepted whenever possible.

v). Allowable cost – procedures must be in writing

Applicable OMB cost principles (2 CFR 200), agency program regulations, and

the terms of grant and sub-grant agreements will be followed in determining the reasonableness, allowability, and allocability of costs.

vi). Source documentation

Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and sub-grant award documents, ADP reports, and MapQuest/Google map print outs for all travel reimbursements.

vii). Case Management

Procedures for minimizing the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by grantees and sub-grantees must be followed whenever advance payment procedures are used. Grantees must establish reasonable procedures to ensure the receipt of reports on sub-grantees' cash balances and cash disbursements in sufficient time to enable them to prepare complete and accurate cash transactions reports to the awarding agency. When advances are made by letter-of-credit or electronic transfer of funds methods, the grantee must make drawdowns as close as possible to the time of making disbursements. Grantees must monitor cash drawdowns by their sub-grantees to assure that they conform substantially to the same standards of timing and amount as apply to advances to the grantees.

c. An awarding agency may review the adequacy of the financial management system of any applicant for financial assistance as part of a pre-award review or at any time subsequent to award throughout the life of the award.

20. Documentation of Cost

The Service Provider shall track all expenditures associated with the program operation. Actual cost, whether it be administrative, program, or other costs that contribute to this project must be documented and tracked for monitoring purposes.

21. Expenditure Levels

Program expenditures will be reviewed monthly against annual contractual budgetary allocations and fund utilization goals and objectives. In order to meet compliance, the following goals should be met:

- At the end of the first quarter (September, 2017), 30% of the contractual allocated amount should be expended.
- At the end of the second quarter (December, 2017), 60% of the contractual allocated amount should be expended.

22. Refund Policy

The Career and Follow-Up Services Coordination Provider shall establish an in-house refund policy and procedure for retrieving any unused tuition, books, and other training related cost

where appropriate and applicable. A copy of the refund policy must be maintained in the official contract file.

23. Disallowed Cost

All service provider entities shall reimburse all costs determined to be disallowed costs in connection with operations funded with WIOA funds administered by the Lower Savannah Workforce Development Board from non-WIOA fund sources.

24. Indirect Cost

Indirect Costs are allowable costs incurred for a common or joint purpose and cannot be readily identified with a particular cost objective. Therefore, some method of allocation must be used to distribute the Indirect Costs to various direct activities that were benefited. Indirect Costs must be distributed equitably and consistently.

Only a cognizant agency can issue an indirect cost rate. If there is no cognizant agency who determines the Indirect Cost Rate for a service provider or subcontractor, a cost allocation plan must be submitted when fully executing the contractual budget.

25. Invoicing and Closeout

(LSWDA Instruction PY'03-010 Revision #2)
(LSWDA Instruction PY'05-001 Revision #1)

a. Financial Closeout Reporting will occur at the expiration of a contract or grant. A Financial Closeout Report will be completed in dollars and cents and submitted to the attention of the Workforce Development Financial Coordinator, Lower Savannah Council of Governments, within 30-calendar days after the expiration of the applicable contract or grant. Submit all supporting documentation along with your Financial Closeout Report. For contracts or grants ending on June 30th, the due date is July 30th.

b. All sub-recipients are subject to more frequent invoice validation and on-site monitoring visits when warranted and deemed appropriate by Lower Savannah Workforce Development Area Staff (LSWDA Staff) but no less than one on-site monitoring visit per program year. Refer to the most recent monitoring schedule submitted to your agency.

26. Audits

All Federally funded Service Providers are required to have an official Audit conducted by an outside Auditor or CPA, annually.

XII. SUCCESS STORIES

Success Stories must be identified and published every sixty (60) days for marketing purposes utilizing social media, newspaper, newsletters and other applicable outreach. A copy of the identified success stories are required to be sent to workforce development staff for review before publication. A link to the social media platforms or other publications used for outreach needs to be sent to workforce development staff.

XIII. ATTENDANCE TRACKING REQUIREMENTS

(Time and Attendance Sheet - 1wk with progress report)

MANDATORY ATTENDANCE OF 90% OR MORE IS REQUIRED OF ALL WIOA PARTICIPANTS
Participants in Training Activities must be "full-time" students based on the training curriculum. The Lower Savannah Workforce Development Administrator must authorize part-time attendance prior to the commencement of training.

Time and Attendance does not have to be captured on the LSWDA's form. If there is another mechanism in place by the service provider or training facility that captures the same information, the service provider may utilize that form, after approval by the LSWDA WD Administrator.

27. WIOA Contractor Staff

    WIOA funded staff member time sheets or record of hours worked in a particular WIOA project as well as cumulative hours for all projects (both WIOA and non-WIOA, if applicable), must be maintained. The time sheet must include hours worked, annual and sick leave hours taken, and holiday hours used. The time sheet will be signed by the applicable staff member and his/her supervisor and maintained in a central file at the service provider's primary office or local training site when the primary office is not located within the Lower Savannah boundaries.

28. WIOA Participants

    A timesheet, or record of hours spent in program activities, is mandatory and must be maintained weekly. The participant's training cost will be reviewed for possible disallowance if timesheets, required mid-term progress reports, and final grades are not maintained accordingly and kept current in the participants' Official WIOA Participant File Folder.

XIV. TRANSPORTATION REQUIREMENTS

(Transportation Sheet)

29. WIOA Participants

    A member of the local Regional Transportation Authority (RTA) should provide all transportation. If transportation needs cannot be met or provided by a member of the local

Regional Transportation Authority, documentation noting the provider(s) contacted and the reason(s) why they could not meet the need must accompany the request for reimbursement payment to the LSWDA office.

Based on the availability of funds, Transportation services are available in all six counties and should be addressed accordingly and on an as-needed basis. The Transportation Sheet provides a list of vendors for the Lower Savannah Region. Vendors on this list are to be contacted first to provide services. Should service providers opt to utilize transportation services from a non-listed vendor, there should be supporting documentation on file to document why and the reasonableness of cost.

30. WIOA Staff

(LSWDA Instruction PY'03-002 Revision #2)

Applicable agencies, and Staff (includes Workforce Development Board Members) authorized to travel and be reimbursed with LSWDA WIOA funds must have prior approval from the Workforce Development Administrator. Requests to attend conferences or make travel arrangements related to conferences must be submitted via email. The LSWDA will approve such requests via email. All applicable parties will comply with this instruction.

Expenses incurred for traveling or attending a conference not approved in writing by the LSWD Administrator will be disallowed.

XV. STAFF PROFESSIONAL DEVELOPMENT

(LSWDA Instruction PY'03-002 Revision #2)

The LSWDA requires that all partly or fully WIOA funded staff be certified as a Career Development Facilitator (CDF). All newly hired staff who are not certified will be required to ***begin the certification process after they have completed ninety (90) days of employment or the completion of the documented probationary period, whichever is longer (completed the probationary period) and prior to completion of six (6) months of employment***. The CDF certification extends for five years. It is the responsibility of WIOA funded staff to maintain the CDF certification and improve the skills of professional growth activities as required by the National Career Development Association. Staff will participate in and support professional development efforts initiated or approved by the Lower Savannah Workforce Development Area (LSWDA), to include regularly announced or specifically called Service Provider meetings and appropriate conferences and workshops, annual participation in a minimum of one training event by each WIOA funded staff is required. Failure to participate adequately in professional development opportunities will not relieve the grantee or sub-recipient entity of responsibilities to maintain a workforce development knowledgeable staff sufficient to ensure effective delivery of services and meet local WIOA and Common Measures Performance Standards.

XVI. STAFF HIRING

(LSWDA Instruction PY'02-018)

The Lower Savannah Council of Governments Workforce Development Administrative Staff reserves the right to review, approve, and make recommendations regarding Service Provider staffing issues as necessary. Service Providers must receive approval from the LSWDA WD Administrator prior to hiring new staff.

Recipients of Federal funds are required to have a staff structure that is as diverse as the population served. Efforts are required to recruit a diverse workforce when hiring the most qualified individual. Documentation of hiring efforts should be made available upon request. Service Providers should follow the guidance provided in the LSWDA Instruction sited above relative to Types of Contracts and Funding of Related Personnel as it relates to the hiring of staff.

XVII. MONITORING

Programmatic monitoring of all Lower Savannah WIOA Projects includes, but is not limited to, on-site monitoring visits conducted on an announced or unannounced basis, desk reviews of appropriate WIOA regulatory references, review of Service Providers' contractual agreements with the Lower Savannah COG, review of data in the SCWORKS ONLINE SERVICES System, review of Ad Hoc Reports, and a sampling review of participant file folders. WIOA Participant and performance data in the SCWORKS ONLINE SERVICES System and any local monthly reports will be reviewed continuously. Any findings noted, whether in a formal, scheduled monitoring, or a desktop monitoring, will be followed by a written monitoring report asking for a corrective action to the error(s). Every Service Provider must develop a method of internal monitoring of the WIOA Program to ensure compliance with all LSWDA Instructions. LSWDA staff will provide technical assistance on reports and tools available for internal monitoring throughout the program year. Upon request, additional technical assistance can be provided for each service provider as needed.

31. Equal Opportunity

The following Federal TAG Line is required on ALL WIOA Funded Publications, Advertisements, and correspondence, regardless of method of correspondence (i.e., emails, written letters, etc.) anywhere a telephone number is listed. All publications must be pre-approved by the LSWD Administrator.

"An equal opportunity employer/program
Auxiliary aids and services are available to individuals with disabilities upon request
TTY Relay South Carolina by dialing 711"

32. Program and Finance

Lower Savannah Workforce Development Area Programmatic Monitoring Staff will conduct at a minimum, one on-site monitoring visit per program year. A tentative monitoring schedule

will be published at least one month in advance of the on-site visit. Additionally, there will be continuous ongoing desktop reviews of ad hoc reports, South Carolina Department of Employment and Workforce issued reports, and random review of participant files will be conducted throughout the program year, at a minimum.

Lower Savannah Workforce Development Area Financial Monitoring and Contracts Manager Staff will conduct monthly desktop reviews and invoice validations of all sub-recipients' financial systems. Lower Savannah Workforce Development Area Financial Monitoring Staff will conduct on-site monitoring of all sub-recipients' financial systems during the program year. A tentative monitoring schedule will be published at least one month in advance of the on-site monitoring visit. The Financial Monitoring Guide is available via the website and will also be provided to all sub-recipients at least two weeks prior to the scheduled on-site monitoring visit.

XVIII. PROPERTY

(LSWDA Instruction PY'02-004 Revision #6)

All property will be inventoried, reconciled against the property database, and a copy of the database will be submitted to the LSWDA Financial Director with the Financial Closeout Package, which is due July 30th.

XIX. SCOPE OF WORK PARAMETERS

The service provider's submitted scope of work, where appropriate, can and will be incorporated into this Statement of Work, if the service provider has a procedure that meets or exceeds the LSWDA requirement. Such policies and procedures, however, shall be approved first by the LSWDA WD Administrator before being incorporated into this contract.

XX. CHANGES OR MODIFICATIONS

The recipient/sub-recipient/sub-grantee may transfer funds between budget line items if the transfer does not change that budget line item value by more than 10%.

Any changes or modifications to this contractual agreement will be detailed in writing and executed by both parties. The Service Provider may initiate changes or modifications in letter format at any time through the end of the sixth (6th) month of the contractual agreement being in force, or December 31st, whichever is later. Changes or modifications required because of changes in the Workforce Innovation & Opportunity Act (WIOA) or new decisions of the Lower Savannah Workforce Development Board may be made at any time during the period of the contractual agreement.

XXI. OPTION TO EXTEND

Based upon fund availability and other factors, the Lower Savannah Council of Governments and/or the Workforce Development Board may elect to extend this contractual agreement, ***IF*** it appears to be in the best interest of the WIOA Program and the proposed extension is agreeable with the contracting party. The extension may be less than, but will not exceed two (2) additional years, or a total period of three (3) years. Similarly, the training or service slot levels and associated costs may be increased or decreased accordingly at any time during a contract period based on fund availability and/or other factors determined by the Lower Savannah Council of Governments and/or the Lower Savannah Workforce Development Board. Past year or years' performance will be a critical consideration germane to any decision by the cited entities to extend this contractual agreement.

XXII. SANCTIONS

(LSWDA Instruction PY'05-001 Revision #1)
(LSWDA Instruction PY'12-004 adopted regionally from State)

Good Sense Tip: ***NOT A DEFINITION ➔ REMINDER:*** ***Inclusion of a social security number on any document is a violation of the Privacy Act and is punishable by law. Refrain from using the social security number on any WIOA form. If a social security number is found on any form in the WIOA file folder, staff are required to redact it IMMEDIATELY. Failure to do so will result in a monitoring issue, and may result in termination of employment.***

33. Imposition of Sanctions

Sanctions will only be imposed after all reasonable steps have been taken to prevent the imposition of sanctions. When it is deemed appropriate and necessary for sanctions to be imposed, they will be measured to the degree of flagrancy and severity of the offense(s). At a minimum, such reasonable steps will include the following:

a. A clear basis or reason for the possible sanction has been established and communicated to the signatory authority of the applicable sub-recipient agency.

b. The Lower Savannah Council of Governments' Workforce Development Department Staff have offered advice and technical assistance relative to the alleged discrepancies, deficiencies, and/or incidents of noncompliance to the applicable sub-recipient agency.

c. An opportunity for corrective action has been afforded the applicable sub-recipient agency.

d. A follow-up review(s) has established the fact that the discrepancies, deficiencies, and/or incidents of noncompliance leading to the basis or reason for the possible sanction, still exist or corrective actions taken to alleviate the basis or reason for the possible sanction have been deemed inadequate.

34. Basis or Reasons for Imposing Sanctions

Sanctions may be imposed on sub-recipient agencies for the following reasons:

a. Failure to comply with Workforce Innovation and Opportunity Act of 2014 as it relates to Fiscal Controls, Cost Principles, Uniform Administrative Requirements, and Discrimination against Participants, respectively.

b. Failure to comply with Lower Savannah Workforce Development Area Instruction(s) as specified in communications to the signatory authority of the applicable sub-recipient agency.

c. Failure to comply with requirements contained in the contractual agreement between the applicable sub-recipient agency and the Lower Savannah Council of Governments (administrative entity for the LSWDA).

d. Failure to correct discrepancies adequately, deficiencies, and/or incidents of noncompliance cited in audit and/or monitoring reviews conducted by Federal, State, and/or local representatives.

e. Failure to maintain adequate supporting documentation relative to expenditures of WIOA funds and WIOA registrant activities and services.

f. Failure to submit required reports within the prescribed time frame.

g. Failure to maintain accurate records on WIOA customers and/or registrants.

h. Failure to follow established procurement policies and procedures relative to the procurement of property, services, and training when WIOA funds are used.

i. Misuse/mishandling of WIOA funds.

j. Failure to meet assigned or specified WIOA performance standards, as follows:

Lower Savannah Program Year 2017 WIOA Performance Goals

Performance Measure **Indicates Goals to be determined*	Negotiated Goals	*Service Provider Goal is 90%*
Adult Employment Rate 2nd Quarter after Exit	76.30%	*67.77%*
Adult Employment Rate 4th Quarter after Exit	72.90%	*65.61%*
Adult Median Earnings 2nd Quarter after Exit	$ 4,859	*$ 4,373.10*
Adult Credential Attainment w/in 4 Quarters After Exit	52.50%	*47.25%*
Measurable Skill Gains	TBD*	*TBD**
Dislocated Worker Employment Rate 2nd Quarter after Exit	79.30%	*71.37%*
Dislocated Worker Employment Rate 4th Quarter after Exit	77.30%	*69.57%*
Dislocated Worker Median Earnings 2nd Quarter after Exit	$ 6,405	*$ 5,764.50*
Dislocated Worker Credential Attainment w/in 4 Quarters after Exit	56.00%	*50.40%*
Measurable Skill Gains	TBD*	*TBD**
Youth Employment Rate 2nd Quarter after Exit	76.60%	*68.94%*
Youth Employment Rate 4th Quarter after Exit	69.10%	*62.19%*
Youth Median Earnings 2nd Quarter after Exit*	TBD*	*TBD**
Youth Credential Attainment w/in 4 Quarters after Exit	69.60%	*62.64%*
Measurable Skill Gains	TBD*	*TBD**
Effectiveness in Serving Employers	TBD*	*TBD**

35. Sanctions That May Be Imposed

The following sanctions may be imposed on applicable sub-recipient agency. When deemed appropriate and necessary, the sanction(s) imposed will be relevant to the degree of flagrancy and severity of the offense(s) as indicated by the sequencing of sanctions that may be imposed below:

a. Sanction Warning Notice with probations or limitations outlined therein.

b. Restrictions imposed on training opportunities (i.e., conferences, locally developed training sessions, etc.) for agency workforce development (WD) staff paid from WD funds.

c. Staffing level restrictions imposed under provisions of LSWDA Instruction PY`02-018. **

d. Payment of invoice(s) withheld until specified discrepancies, deficiencies, or incidents of noncompliance have been corrected.

e. Disallowed costs and payment related to specified discrepancies, deficiencies, or

incidents of noncompliance.

f. Up to ten (10) points deducted from the average review and evaluation score obtained on future proposals to operate programs in the Lower Savannah region.

g. Revocation of the contractual agreement.

h. Initiate debarment actions under provisions of the Federal Guidelines.

36. Procedures for Establishing a Basis or Reason for Sanctions

Appropriate staff of the Lower Savannah Council of Governments' (LSCOG) Workforce Development Department will establish the basis or reason(s) for imposing sanctions by carrying out its normal operational, oversight, and review responsibilities of the Workforce Innovation and Opportunity Act Program.

37. Notification of the Intent to Impose Sanctions

Once the staff of the LSCOG Workforce Development Department has determined it necessary to impose sanctions on a sub-recipient agency, appropriate members will draft a letter to the applicable sub-recipient signatory authority over the signature of the Executive Director of the LSCOG. The letter will give notice of the sanctions to be imposed, the basis or reason(s) therefore, a recommended course of action(s) that may be taken to prevent imposition of the sanctions, a specific time frame for which such recommended actions must be completed, and a proposed follow-up review date or period. The draft letter will be forwarded to the workforce development administrator for his or her review and final preparation for execution and delivery.

XXIII. PROGRAM OVERSIGHT

Service Providers acknowledge the right and responsibility of the Lower Savannah Workforce Development Board and/or its representatives; the South Carolina Department of Employment and Workforce and/or its representatives; and the U.S. Department of Labor (DOL) and/or its representatives, under provisions of the Workforce Innovation and Opportunity Act to conduct program oversight through audits and monitoring. Audits and monitoring may occur on an announced and/or unannounced basis where WIOA funds are involved.

XXIV. INSTRUCTIONS

As new instructions are added and/or old instructions revised, the LSWIA website gets updated and the instructions will be distributed to all WIOA staff for reference.

Good Sense Tip: *The Lower Savannah Region tries to provide all of the necessary documents, resources, and references cited in this document on our website. From time to time, there are additional instructions uploaded to the LSWDA website to compliment this statement of work. When those instructions are added to the website, service providers will receive an email announcing the addition of the instruction and should visit the link provided in that email to download the new instruction.*

This document references both the WIA and the WIOA. As we are transitioning from one workforce law to another, there will be items under the new workforce law, WIOA, which are as yet unknown. The Lower Savannah Workforce Region and its sub-recipients will adhere to all remaining WIA regulations and all WIOA regulations as they are implemented.