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I. DEFINITIONS

A. ACCRUAL BASIS

The United States Department of Labor (USDOL) 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 SC Works Online Service (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 SCWOS system in a timely manner.

LSWDA administrative staff will receive Ad Hoc Reports from the service provider on the 1st and the 15th of each month. The service provider will have 10 working days to address and correct deficiencies 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. REGISTERED APPRENTICESHIP (RA)

A Registered Apprenticeship (RA) is a system of training practitioners in a trade or profession with on-the-job training and a classroom-training component. RAs are approved by the United States Department of Labor (USDOL) and depending on the trade, can last one (1) to four (4) years and

includes wage progressions. RAs also enable practitioners to gain a nationally recognized credential to practice in a regulated profession.

F. BASIC SKILLS DEFICIENT

LSWDA Instruction PY'15-003 Rev #4 – Definition of Basic Skills Deficient
State Instruction 15-17, Change 2 – Adult Priority of Service under WIOA

1. Lacks High School Diploma or equivalent
2. The individual computes or solves problems, reads, writes, or speaks English below the 9th (8.99 or below) grade level; or
3. Work Ready Assessment score that indicates a Level <4; or
4. Is enrolled in Title II Adult Education, including English as a Second Language (ESL).

G. BUSINESS SERVICES

Business Services provide marketing and technical services to promote strong employer collaboration including Work-Experience, On-the-Job Training (OJT), Registered Apprenticeship OJT and Incumbent Worker Training (IWT) opportunities throughout the Lower Savannah Workforce Development Area. Services include the entirety of the business community as well as the SC Works Centers.

H. CASE CLOSURE

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

I. CASE NOTE

The notes or clear statements, facts, taken by a case manager/career coach about a case being worked on during participation and follow-up. Case Note documentation covers the who, what, when, why and how. Case notes must be added to reflect any/all activities opened and/or closed. Required at a minimum every 45 days.

J. 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.

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

services 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 SCWOS.*

L. CREDENTIAL

TEGL 10-16, Change #1 – Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs
TEN 19-25 – Understanding Postsecondary Credentials in the Public Workforce System

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 (OSHA & forklift training).

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 I 002) 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 – Guidance on Services provided through the Adult & Dislocated Worker Programs under WIOA and the Wagner-Peyser Act; Attachment III

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 Rev #1 – Definition of Family and Family Size
IRS Publication 501 - Dependents

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 (parent/legal guardian) 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 - Guidance on Services provided through the Adult & Dislocated Worker Programs under WIOA and the Wagner-Peyser Act
Youth Incentive Schedule (see insert [h])

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

(2 CFR 200)

- 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)/INDIVIDUAL SERVICE STRATEGY (ISS)

(WIOA Final Rule 675)
State Instruction 18-01 – Individual Employment Service
State Instruction 18-06 – Youth Objective Assessment & Individual Service Strategies

The Individual Employment Plan (IEP)/Individual Service Strategy (ISS) 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/ISS develops the foundation and should be continuously updated with goals added as

previous goals are met.

IEP/ISS Goals Should Be:

- Specific
- Measurable
- Attainable
- Relevant
- Time Driven

T. INFORMATIONAL ACTIVITIES

TEGL 17-05 – Common Measures Policy for the ETA's Performance Accountability System & Related Performance Issues
TEGL 17-05 Change 1
TEGL 17-05 Change 2
TEGL 10-16 Change 1 – Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs

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 (14 - 21 YRS OLD)

TEGL 8-15 – Second Title 1 WIOA Youth Program Transition Guidance
TEGL 21-16 – Youth Formula Program Guidance
TEGL 23-14 – WIOA Youth Program Transition

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

a. Basic Skills Deficient (BSD)
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

Good Sense Tip: *In-School Youth cannot receive occupational skills training funds unless they are enrolled as an Adult.*

V. INCUMBENT WORKER TRAINING (IWT)

The Incumbent Worker Training (IWT) Program provides funding to help cover the costs of training needed to retain a competitive workforce. Such training is meant to assist with expansion, new

technology, retooling, new services/product lines, and/or new organizational structuring, or to be used as part of a layoff aversion strategy.

W. JUSTICE-INVOLVED, RE-ENTRY, EX-OFFENDER INDIVIDUALS

This population includes individuals who have been arrested, adjudicated (trial & verdict) not withstanding or are supervised by the community corrections system through probation or parole. These individuals are often referred to as justice-involved, re-entry or ex-offender individuals.

X. LABOR MARKET INFORMATION

The labor market, also known as the job market, refers to the supply of and demand for labor, in which employees provide the supply and employers provide the demand.

Y. LAST EXPECTED SERVICE / LAST SERVICE DATE

TEGL 17-05 – Common Measures Policy for the ETA's Performance Accountability System & Related Performance Issues
TEGL 17-05 Change 1
TEGL 17-05 Change 2

Occurs when the participant completes the activities outlined in his/her Individual Employment Plan/Individual Service Strategy (IEP/ISS) 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.

Z. 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.

AA. LOWER SAVANNAH WORKFORCE DEVELOPMENT AREA

The Lower Savannah Workforce Development Area (LSWDA) is comprised 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 six-county region which is one (1) of twelve (12) local workforce regions in the state.

BB. MARKETABLE

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

CC. MEASURABLE SKILL GAINS (MSG)

TEGL 10-16 Change 1 – Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs

The Measurable Skill Gains (MSG) 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.

DD. MOBILE UNIT

Mobile Unit Manual
Mobile Unit Schedule www.lowersavannahwda.org

The SC Works Mobile Unit provides Workforce Development services in a mobile capacity that is intended to increase and enhance the economic viability of the Lower Savannah WD area. Job services are provided to job seekers and employers throughout the region.

EE. NEPOTISM

The unfair practice by those with power or influence of awarding jobs and other favors to friends and/or relatives.

FF. OBLIGATION

A definite financial commitment, which creates a legal liability.

GG. ON-THE-JOB TRAINING (OJT)

LSWDA Instruction PY'10-006, Rev #4 – WIOA Participant Lifetime ITA CAP
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.

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

TEGL 8-15 – Second Title 1 WIOA Youth Program Transition Guidance
TEGL 21-16 – Third WIOA Title I Youth Formula Program Guidance
TEGL 23-14 – WIOA Youth Program Transition

An eligible youth (16-24 years 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 session
c. Has a High School Diploma/GED who is low income **AND**
    i. Is Basic Skills Deficient (BSD) 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
i. 5% Exception Rule: applies to OSY that ordinarily would be required to be low-income for eligibility and meet all other eligibility criteria but are not low-income.

II. PARTICIPANT

TEGL 10-16 Change 1 – Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs

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.

JJ. PERSONALLY IDENTIFIABLE INFORMATION (PII)

PII is any data that could potentially identify a specific individual. Any information that can be used to distinguish one person from another and can be used as de-anonymizing data can be considered PII.

KK. PRIORITY OF SERVICE

TEGL 10-16 Change 1 – Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs

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

LL. 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.

MM. REPORTABLE INDIVIDUAL

TEGL 10-16 Change 1 – Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs

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.

NN. SC WORKS ONLINE SERVICES (SCWOS)

SCWOS 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 SCWOS.

OO. SELECTIVE SERVICE SYSTEM

http://www.sss.gov
TEGL 11-11 Change 2 – Selective Service Registration Requirements for ETA Funded Programs
LSWDA Instruction PY'11-005 Change #2 – Selective Service Registration Requirements for ETA Funded Programs

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.

Males between the ages of 18 and 25, who were not born in the U.S. but are permanent U.S. residents have to register with Selective Services.

PP. SELF-SERVICE

TEGL 10-16, Change 1 – Performance Accountability Guidance for WIOA

Workforce Development system programs offer services commonly known as self-services or information-only services or activities. These services do not constitute participation in a program. Therefore, individuals who receive only self-services or information-only services or activities are considered reportable individuals, not participants.

QQ. SELF-SUFFICIENCY

State Instruction PY'23-02– Updated Federal Income Guidelines

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

WIOA allows employed adults and dislocated workers to receive career services to obtain or retain self-sufficient employment. Local Workforce Development 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 represents 200% of LLSIL as determined for the State of South Carolina. These guidelines, along with LSWDA criteria, are to be used in establishing self-sufficiency.

RR. SIGNIFICANT STAFF INVOLVEMENT

TEGL 10-16, Change 1 - Performance Accountability Guidance for WIOA

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.

SS. SOCIAL SECURITY NUMBER

TEGL 05-08 – Policy for Collection & Use of Workforce System Participant's Social Security Numbers
LSWDA Instruction PY'08-002 – Policy for Collection & Use of Workforce System Participant's Social Security Numbers

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 finding that may result in sanctioning the individual employee and/or the organization.***

TT. STEVENS AMENDMENT

State Instruction PY'22-01 – Stevens Amendment Requirement for Federal Grant Awardees

The Stevens Amendment is an appropriations provision, requiring grantees of federal funding to acknowledge federal funding when publicly discussing projects or programs funded through federal annual appropriations.

UU. SUITABILITY

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

VV. TEST OF BASIC ADULT EDUCATION (TABE)

TABE is a standardized placement test in order to assess academic skills.

WW. WAIVER

Granting the permission of the following categories due to extenuating circumstances:

- Program Re-Entry Request
- Youth Income Requirements (5%)
- Selective Services Registration
- Training Extension
- Supportive Services Exceptions
- Medical
- Other - extenuating circumstance not defined above

XX. WIOA RE-ENTRY INDIVIDUAL

A Re-Entry Individual is a former WIA/WIOA participant who is requesting to be re-enrolled into WIOA.

YY. WORK READY ASSESSMENTS

An assessment that summarizes customer's strengths, barriers, and makes recommendations on placement into work activities and work supports. Or, an academic skills assessment which measures reading skills, math skills, spelling, comprehension and aptitudes. (ie; WIN, Work Keys, WRAT, TABE, etc.). An assessment is required for all WIOA enrollments with the exception of Work-Based Learning opportunities and activities (On-the-Job-Training (OJT) unless required by the employer, Apprenticeships, WEX).

ZZ. WORK-BASED LEARNING

Work-based Learning is an educational strategy that provides participants with real-life work experiences where they can apply academic and technical skills and develop their employability.

AAA. WORK-BASED TRAINING

TEGL 19-16 - Guidance on Services provided through the Adult & Dislocated Worker Programs under WIOA and the Wagner-Peyser Act

Work-Based Training fosters the relationship between WIOA and employers and allows employers to train their employees in registered apprenticeships, on-the-job training, and customized training.

BBB. VIRTUAL SERVICE

A helpful activity that does not take place in an in-person physical environment and uses online platforms between two or more parties. Virtual Services include access to on-line applications, registrations, electronic document delivery including email and social media platforms.

CCC. YOUTH PARTICIPANT

TEGL 10-16, Change 1 – Performance Accountability Guidance for WIOA

A Youth participant is a reportable individual who has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, and development of an individual service strategy, and received one or more of the 14 WIOA Youth program elements identified in sec. 129(c)(2) of WIOA.

DDD. 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. Education offered concurrently with workforce preparation and training for a specific occupation;
6. Leadership development opportunities, which include community service and peer-centered activities encouraging responsibility and other positive social behaviors;
7. Supportive Services, which may include the services listed in §681.570;
8. Adult mentoring for a duration of at least twelve (12) months, that may occur both during and after program participation;
9. Follow-up Services, as provided in §681.580;
10. 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;

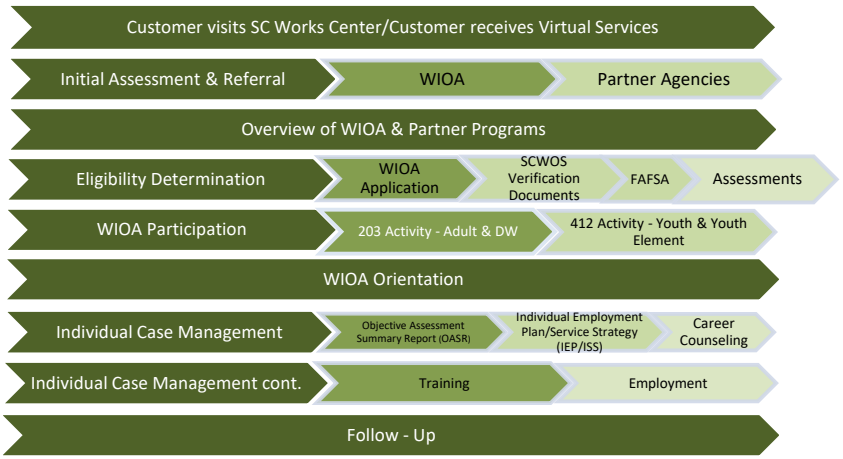
11. Financial Literacy;
12. Entrepreneurial skills training;
13. Local labor market and employment information about in-demand industry sectors; and
14. Transitional Services to postsecondary education and training.

RESOURCE DOCUMENTS

Most items listed in the SOW and highlighted in yellow are available on the Lower Savannah Workforce Development Areas Website at www.LowerSavannahWDA.org.

II. PROGRAM ACTIVITIES

Program Activity Process



Good Sense Tip: ***SCWOS provides online resources for WIOA staff related to "How to Guides", Forms, Activity Codes etc. The resources listed can be used for training purposes.*** *(https://jobs.scworks.org/vosnet/staffresources.aspx)*

A. RECRUITMENT & ENROLLMENTS

Insert [e]

The SC Works Center staff shall make contact and recruit potential WIOA participants in the center's facility for services and various events or through targeted outreach within our 6 county region.

All Workforce staff shall work to identify and actively recruit individuals within the service area (i.e. attending and hosting community events, in-center hiring events, participating with partner agencies, SCWOS Reports etc.) and refer them to the applicable SC Works Center for WIOA services.

Service providers shall submit recruitment reports monthly, due by the 8th of each month following the last month. Additionally, the service provider shall submit a formal Recruitment Plan to the Supervisor of Contracting Activities no later than July 15th, 2024 for each funding stream which includes Adult, Dislocated Worker and Youth, independently. This plan should include the recruitment goals, objectives and virtual recruitment such as SCWOS reports, referrals, partner (co-located and community) meetings/collaborations for the contract term. Enrollments will be tracked and submitted on the Enrollment Report monthly which will capture cumulative enrollment totals (virtual and face-to-face) for Adult, Dislocated Worker and Youth funding streams, due by the 8th of each month. Totals submitted will provide progress toward the Recruitment Plan goals for the PY.

B. INFORMATIONAL/INITIAL SERVICES

Self-service and informational activities are those basic activities that are made available and accessible to the public. These services are designed to inform and educate the individuals about the labor market, their employment strengths and weaknesses and the range of services appropriate to an individual's situation. 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 Intake/Sign-In.

The Intake/Sign-In is to be used to capture services needed by the reportable individual. SC Work Center visitors are to utilize the VOS Greeter function. First time visitors are captured and referred to the appropriate services by using the eight-question referral slip:

1. Do you want information from Adult Education about obtaining your high-school diploma or GED?
2. Do you have difficulty with seeing, hearing, talking, using your hands, getting around (mobility), interacting with others, learning, or thinking that makes it difficult for you to get or keep a job and want more information about employment services and assistance with Vocational Rehabilitation?
3. Are you a SNAP recipient and want information about the SNAP Back to Work program?
4. Are you at least 18 years old, need help buying food for your household and want more information about applying for SNAP benefits?
5. Are you 16-24 years old, not attending K-12 school or college, and need assistance with furthering your education or getting a job?
6. Are you unemployed or underemployed and want information about the WIOA program?
7. Were you recently laid-off?
8. Are you a Veteran/Veteran-Spouse? (The Intake will identify and refer Veterans directly to a Vet Rep.)

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C. RE-ENTRY - WIOA

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.

A request must be written in paragraph format addressing the following questions:

- Why did you initially enroll into WIA/WIOA
- Were you a successful participant? If not, please explain why. What has changed that will make you a successful participant?
- What have you been doing since your previous WIA/WIOA enrollment?
- Why are you seeking re-entry? Are you interested in training? If so, what is your training interest?

Other Re-Entry requirements:

- Individuals seeking re-entry must submit a current resume.
- If interested in CDL training, a 10-year driving record is required.
- A program acceptance letter, financial aid, grades, cost of training and an estimated completion date from the training provider
- If lack of participation is noted during the previous WIA/WIOA enrollment, customers may be required to attend employability workshops, complete a work-ready assessment and conduct SCWOS job searches as part of the re-entry review process

D. ELIGIBILITY DETERMINATION

SC Works WIOA Program Eligibility/Verification
Instruction PY'15-003, Rev #3 – Definition of Basic Skills Deficient
Instruction PY 12-002, Rev #1 – Use of Self-Attestation
State Instruction PY 12-08, change 1 – Use of Self-Attestation & Documentation Related to WIA Eligibility
TEGL #09-22- WIOA Title I Youth Formula Program Guidance

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. Alternate options must be verified as unsuccessful prior to the designation of self-attestation.

Self-Attestation Options:

Adult, Dislocated Worker & Youth

- Disability, unless accommodations are requested, or will be used in determining family of one (1)
- Displaced Homemaker
- Employment Status
- Highest Grade completed

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Adult & Youth

- Family Size
- Family Income

Youth only

- Highest Grade completed
- Below School Grade for Age

- Homeless, Runaway, Offender, Pregnant/Parenting, Foster Child
- School Status

Dislocated Worker only

- DW Categories and verifications

Disability eligibility criteria: Even if the family of an individual with a disability does not meet the income eligibility criteria, the individual with a disability is to be considered a low-income individual if the individual's own income:
(a) Meets the income criteria established in WIOA sec. 3(36)(A)(vi); or
(b) Meets the income eligibility criteria for payments under any Federal, State or local public assistance program (see WIOA sec. 3(36)(A)(i)).

Good Sense Tips: *The only data element related to WIOA OSY eligibility that does not permit the use of self-attestation for documentation is "basic skills deficient."*

Out-of-School Youth (OSY)

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

1. High School Transcript (with grades)
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 and/or whether a referral for partner services would be appropriate. OSY participants with TABE assessments at Grade level 4 and below need to be referred to Vocational Rehabilitation.

There is a Local Workforce Area funding percentage requirement for Program Year Youth funding expenditures, that amount is 75%. Additionally, 20% of all Youth allocation must be spent on work-based learning which consists of

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

Lower Savannah Council of Governments Workforce Development administrative entity and the WIOA youth service provider will work closely to ensure the LSWDA meets these funding requirements.

In-School Youth (ISY)

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)

ISY must provide documentation to validate low-income status. Public assistance, low income or living in a high poverty area must be confirmed for eligibility determination.

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 OSY.

Good Sense Tip: *20% of the Youth funding needs to be spent on work-based learning. This rate applies for both ISY and OSY.*
Currently, a USDOL waiver is in place which allows Youth expenditures for PY'22 & 23 for 50% spending for both ISY and OSY. This waiver will end with the final expenditure of PY'23 Youth funds.

III. CERTIFICATION AND PARTICIPANT REGISTRATION

TEGL 10-16; Change #1 – Performance Accountability Guidance for WIOA Title I, II, III and IV Core Programs
LSWDA Instruction PY'07-006 – Verification of Social Security Number and Citizenship
LSWDA Instruction PY'08-002 – Policy for Collection and Use of Workforce System Participant's Social Security Number
LSWDA Instruction PY'17-001 – Local SCWOS Electronic Document Management Process
Local Virtual Enrollment Procedure
State Memo: Signed Provision of Remote WIOA Services

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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 finding that may result in sanctioning the individual employee and/or organization.*

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 (SCWOS) participation screen, creating a WIOA application. All services can be completed in-person or virtually.

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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 the determination of eligibility, the WIOA Application verification documents must be scanned and uploaded into SCWOS with a minimum of signed documents remaining as back up in a file folder. The service provider's program manager or designee will approve the file documents to be uploaded. Sub-recipient staff must refer to the Instruction PY'17-001 for the uploading procedure and the data validation file cover sheets.

WIOA funded activities determine participation, which begins with the "date of participation". For Adults and DWs this represents the first day that the individual begins receiving a service funded by the program, necessary for performance measure reports. Participation for Youth begins with the creation of an activity code that is a program element at which point the participant is counted in the performance measure reports. In SCWOS, participation is visibly labeled with a check mark for "Triggers Program Entry" and "Extends Exit" balloons in front of the individuals Activity codes. If a check mark is not visible for "Triggers Program Entry", the individual is not a participant.

In the event that the individual does not show for the scheduled Work Ready Assessment, a case note must be entered into the SCWOS 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.

A. SIGNATURES

Local Virtual Enrollment Procedure
State Memo: Signed Provision of Remote WIOA Services

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All completed WIOA program applications must be signed regardless of eligibility status. WIOA applications can be signed remotely/virtually in SCWOS. 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. Please refer to the Local Virtual Enrollment Procedure and the State Memo: Signed Provision of Remote WIOA Services.

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Forms that have signature fields must be signed and dated. A date is required on the Employment Verification Form once the participant gains employment.

LSWDA Instruction PY'11-001 – Guardian Signature and Form
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 destroyed.

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.*

B. FEDERAL APPLICATION FOR FEDERAL STUDENT AID (FAFSA)

All WIOA participants except for those participating in an OJT, Apprenticeship, Work Based Learning or attending/enrolling in non-financial-aid supported training must apply for FAFSA prior to being approved for occupational skills training.

C. ASSESSMENT

At the point the file review process is complete and the customer is deemed eligible to receive WIOA services, the WIOA staff must refer the applicant for an assessment (OJT candidates may be excluded).

The participation record should be completed in SCWOS 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 Work Ready Assessment scores have been received and entered into the SCWOS. ***Youth Educational Functioning Level for MSG screen has been created for those YOUTH participants that have taken TABE as an assessment.***
c. ***If a Youth took WorkKeys/WIN assessments prior to WIOA enrollment and completed the assessments with scores equal to or higher than a level 4, Youth will be exempt from taking TABE in order to proceed with training.***
d. creation of the assessment activity code, either 203 for adults/dislocated workers or 412 for youth.

D. CAREER SERVICES

TEGL 19-16 – Guidance on Services provided through the Adult and Dislocated Worker Programs under WIOA and Wagner-Peyser Act
TEGL 21-16 – Third WIOA Title I Youth Formula Program Guidance

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 finding that may result in sanctioning the individual employee and/or organization.*

3. Orientation

LSWDA Instruction PY'07-009 – Participant Guidance & Expectations for Satisfactory Progress
WIOA Orientation Form

A scheduled orientation process will be utilized across the Lower Savannah region and provided in group-sessions or one on one. 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/Individual Service Strategy

State Instruction 18-01 – Individual Employment Plan

Good Sense Tip: ***SCWOS provides online resources for WIOA staff related to "How to Guides", Forms, Activity Codes etc. The resources listed can be used for training purposes. (https://jobs.scworks.org/vosnet/staffresources.aspx)***

The Individual Employment Plan (IEP)/Individual Service Strategy (ISS) 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. Since the IEP/ISS is an on-going/living document, it must be updated in SCWOS as the goals and objectives for the individual change, throughout the entire program participation. At a minimum, the IEP/ISS 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. The IEP/ISS should be reviewed every 60-90 days to monitor the participant's progress towards goal obtainment.

Activity code 205 or 413, respectively, must be created in SCWOS upon creation of the IEP/ISS. An IEP/ISS review is required on a continued basis and updates need to be completed as the participant's goals and objectives change or are met. In addition to the activity codes, corresponding case notes need to be entered referencing the following:

- Participant's occupational goal
- LMI outlook
- Summary of participant's current skills
- Summary of skill gaps, remediation & supportive service needs
- Justification for referrals to any partner program or service

Every addition/modification to the IEP/ISS requires a new activity code and a corresponding case note. Significant changes to the IEP/ISS also require the signature of the participant. Significant changes can include a change in training or a change in the participant's employment goal.

Desktop reviews of the IEP/ISS will be monitored periodically to ensure that the IEP/ISS is used to reflect that goals are updated as they are modified or met.

Random selections of participants' IEP/ISS entries will be monitored in SCWOS on a regular basis, monthly and at the time of local monitoring.

Activity code 205 extends the exit of the participant and is not required for the following:

- The participant has completed all goals and objectives
- The IEP/ISS objectives and goals are closed
- The participant is on path to soft exit in order to capture employment performance

5. Virtual / In-Person Workshops

Job-ready participants seeking employment should participate in the following workshops (as needed): job searches, employer expectation, résumés/cover letters and interviewing skills.

6. 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 finding that may result in sanctioning the individual employee and/or organization.

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 SCWOS:

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. Participant should be scheduled for soft skill workshops as appropriate and necessary, workshop participation can occur in-person or virtually (coachdspeaks.com/lscog-job-search-

videos)

d. 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, case managers' level of involvement, data gathering and analysis, as well as strategies developed and implemented.
e. Case managers direct participants to complete a résumé.
f. Case notes and other components of the case management process should be structured to provide the following:

1. Case notes are tied to the individual, and the applicable WIOA/TAA Application.
2. Case notes must support the activity code entered and information in the Activity Records, Assessments and other SCWOS screens.
3. 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.
4. 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.
5. The length of the case note is not important. The VALUE of the content is important.
6. Case notes should include information on missed appointments and attempts to contact the individual.
7. Case notes should include contacts with instructors, employers, etc. to follow progress in training or employment.
8. For participants in training, case notes should document satisfactory progress, current grade point average, the reasons for extensions in training, etc.
9. The SUBJECT OF THE CASE NOTE should be meaningful. (Example: Transportation Problem; GED; Manufacturing Training; instead of monthly contact or telephone call).
10. ***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, medical, disability, etc. The case note should indicate that confidential information is in a locked file. (Information in a locked file can be subpoenaed.)
11. Any documentation containing Personally Identifiable Information (PII) shall not be uploaded to SCWOS or added as a hardcopy in the participant's file. PII can be referenced in TEGL 39-11 and WIOA EO Regulations 29 CFR 38.41(b)(2).
12. 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.
13. Use appropriate capitalization and grammar. Be careful with pronouns and use spell check.
14. 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 to be maintained in SCWOS, they are not required to be printed or signed.*

7. GED

Services for Adults/Dislocated Workers

LSWDA Instruction PY'10-005 – Procedure for Handling GED Services for Adults/Dislocated Workers

GED services are provided only to eligible Adults/Dislocated Workers when they qualify for an Adult Education "Fast-Track" enrollment operated in the LSWDA for PY'24.

a. Work Ready Assessment 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 criteria for the GED services
    f. If the individual does not meet the "Fast Track" criteria, the individual will be referred to Adult Education for completion of the GED, at the participant's expense, prior to WIOA program enrollment.

E. BUSINESS SERVICES

LSWDA Business Services Plan
OJT- Handbook
LSWDA Instruction PY'10-006, Rev #4 – WIOA Participant Lifetime ITA CAP

Business Services are provided in the LSWDA by business services teams comprised of LSCOG-Workforce Development WIOA Funded Staff, SCDEW, SCDSS, SCVRD and other community partners. The goal of business services is to better coordinate services offered to businesses in the LSWDA and meet their talent needs.

Business Services include:

- On-the-Job Training (OJT)
    - Reduced from $5,000 to $3,000

- Incumbent Worker Training (IWT)
- Registered Apprenticeship
- Customized Training
- Mobile Unit Employer Visits
- Hiring Events
- Employer Surveys
- Rapid Response Assistance
- Work Experience
- Job Fairs (In-person and virtual)

F. OPERATOR SERVICES

SC Works Centers Operations Manual

In coordination with the SC Works Center Operator, the Adult, Dislocated Worker and Youth sub-recipient management staff is expected to provide direction and guidance to staff, visitors, partners, and other personnel on the conduct and performance requirements in accordance with the LSWDA SC Works Centers Manual. Programs, services, and activities shall include, but are not limited to:

a. Day-to-Day Operations and Oversight of regional SC Works Centers
b. Coordination and delivery of WIOA Services in the SC Works Centers
c. Functional Supervision of Partner Staff
d. Data collection and access to information and outcomes
e. Achievement of SC Works Centers Certification
f. SC Works Center meetings
g. Monthly management team meetings
h. Onboarding of new SC Works Center staff and SC Works 101 registration and completion log/list
i. Monthly SC Works Center reports
j. The LSWDA SC Works Center Operator is responsible for utilization of SCWOS to track and report monthly referrals in accordance with the "Staff Referrals to Providers" training by SCDEW and review center referrals notifying partners of required referral closures
k. Initiate new SCWOS staff account registrations
l. Responsible for SC Works Center Monthly Calendars
m. Distribute, collect, tally and track Customer Experience Surveys and share results with Partners

G. MOBILE UNIT

Mobile Unit Manual
Mobile Unit Schedule www.lowersavannahwda.org

The LSWDA Mobile Unit is available to assist both job seekers and employers throughout the LSWDA. It contains ten workstations and is ADA compliant. Scheduling of the Mobile Unit follows a priority of usage schedule and includes coordination with the driver's schedule, and routine maintenance schedule. Calendar of events/projected trips can be found on the LSWDA website (see above). Severe weather conditions will also be taken into consideration with regard to scheduling.

Priority of Usage:

- LSWDA Rapid Response
- WIOA activities
- Business Recruitment-Job Fairs/Hiring Events
- State Workforce Initiatives
- State/Local Emergencies
- Basic Unemployment Insurance (UI) Assistance
- Virtual Workshops

H. SUPPORTIVE SERVICES

LSWDA Instruction PY'16-002 Revision #5 – Policy & Procedures Governing Supportive Services Assistance on Behalf of WIOA Participants

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)/Individual Service Strategy (ISS); or
2. One that is identified due to an emergency occurring after the individual became a WIOA participant.
3. One that is enrolled and actively participating in training/program.

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 unemployment insurance 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.

Case managers must document all efforts to secure services through non-WIOA services.

All supportive service payments must be entered on the WIOA Record of Supportive Services

Assistance Payments spreadsheet that accompanies the instruction.

Good Sense Tip: *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.*

I. FUNDING APPROVED TRAINING CLUSTERS/CURRICULUM

LSWDA Instruction PY'10-007 Revision #1 – Funding Approved Training Clusters/Curriculum

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). A training services committee is required for individuals enrolled in WIOA seeking training regardless of funding source (i.e. TAA, DSS, VRD, other partner programs).

Participants seeking OJT, Apprenticeship, Work Based Learning or attending/enrolling in non-financial-aid supported training are not required to complete a FAFSA application prior to the training.

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 $14 per hour pay rate with a $3,000 or 8 weeks maximum for all new employers as of July 1, 2024 and full-time employment.

Good Sense Tip: *WIOA Funds may not be expended to support any occupational skills 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:

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; Licensed Practical Nurse (LPN) / Patient Care Technician (PCT); Psychiatric; Home Health Aides; Secretaries & Administrative Assistants; Veterinary Technologies & Care; 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 such as Commercial Driver's License (CDL); 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; HVAC; Plumbing; Electrical Technician; Welding; Masonry; 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

J. PARTICIPANT LIFETIME MAXIMUM ITA CAP

LSWDA Instruction PY'10-006 Revision #4 (forthcoming) – WIOA Participant Lifetime ITA Cap and Justification Report

The **lifetime maximum training amount for a WIOA participant is hereby set and shall not exceed $7,000.00 per Adult and Dislocated Worker WIOA participant and is set and shall not exceed $7,000 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. 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. *Supportive Services are not training. At this time, Supportive Services are not included in the lifetime maximum 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 SCWOS System's Individual Fund Tracking (IFT) module.

Good Sense Tip: All WIOA participants except for those participating in an OJT, Apprenticeship, Work Based Learning or attending/enrolling in non-financial-aid supported training must apply for FAFSA prior to being approved for occupational skills training.

K. TRAINING SERVICES

TEGL 19-16 – Guidance on Services provided through the Adult & Dislocated Worker Programs under the WIOA and Wagner-Peyser Act
LSWDA Instruction PY'02-009 Rev #4 – Training Services Committee
LSWDA Instruction PY'06-006 Rev#9 – Incentive Policy for Youth
LSWDA Instruction PY'07-007 Rev#2 – Business Services Training Activities
Participant Guidelines & Expectations for Satisfactory Progress

ALL YOUTH DETERMINED TO BE BASIC SKILLS DEFICIENT (BSD) SHOULD PARTICIPATE IN STRUCTURED REMEDIATION ACTIVITIES. BSD YOUTH WILL NOT BE APPROVED FOR TRAINING OR CERTAIN WORK BASED LEARNING OPPORTUNITIES (OCCUPATIONAL SKILLS TRAINING) UNTIL AN EDUCATIONAL FUNCTIONING LEVEL GAIN HAS BEEN ACHIEVED OR THEY HAVE OBTAINED AN SC DEPARTMENT OF EDUCATION HIGH SCHOOL DIPLOMA OR GED. TRAINING SERVICES WILL BE REVIEWED ON A CASE-BY-CASE BASIS. A WAIVER WILL BE REQUIRED FOR BSD YOUTH THAT HAVE NOT RECEIVED AN EFL GAIN. WIOA COSTS INCURRED FOR BSD YOUTH WHO ARE ALLOWED TO PARTICIPATE IN TRAINING WITHOUT ACHIEVING THE FUNCTIONING LEVEL GAIN FIRST WILL BE REVIEWED FOR POSSIBLE DISALLOWANCE.

Youth participants who enrolled into WIOA with existing Workforce Assessment scores that deem them not Basic Skills Deficient (BSD), do not have to take the TABE test in order to proceed with occupational skills training.

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

1. Deliberations of Training Services Committee

   The Service Provider shall document the Training Services Committee deliberations and upload all training committee services documents to SCWOS per Instruction PY'17-001, as well as document the events in SCWOS 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.
If a partner agency is paying for the actual training for co-enrolled individuals, the Training Committee is required to meet and approve the training.

2. Training Services

   The WIOA Service Provider Program Manager and the Case Manager shall coordinate and approve occupational skill training services for the applicable WIOA participant.

   If the WIOA participant is a Trade participant, then the committee will include the Trade case manager.

   If the WIOA participant is an On-the-Job training (OJT) participant, then the Training Committee will include a LSCOG Workforce Development Division staff member.

   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 Workforce Development Administrator.

3. Training Time/Attendance Sheets

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

   - Active participation and attendance to schedule appointments and training
   - Voucher payments for OJT, occupational skills training and supportive services

   On-the-Job (OJT) participants' timesheets are provided by the employer and turned into the business services representatives at LSCOG-WD on behalf of the participant. The timesheets are maintained in-house at LSCOG-WD.

4. Incentive Policy (YOUTH ONLY)

   LSWDA Instruction PY'06-006, Rev #9 – Incentive Schedule of Payments
   Insert [h]

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

L. ADVANCE INDIVIDUAL FUND TRACKING (AIFT)

Advance Individual Fund Tracking (AIFT) was opened in the Lower Savannah Region to assist with capturing and tracking related expenses on WIOA participants. Effective July 1, 2021 any and all costs associated with a particular SCWOS activity must be input into the appropriate tabs in SCWOS. Desktop monitoring of reported financial expenditures takes place in-house monthly and any found anomalies

will be written up in the form of a financial monitoring report which requires a formal response.

M. INDIVIDUAL TRAINING ACCOUNT (ITA)

LSWDA Instruction PY'03-010 Rev#2 – Financial Instruction and Forms
TEGL 21-16 – Third WIOA Title I Youth Formula Program Guidance

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: *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 finding that may result in sanctioning the individual employee and/or organization.***

N. CASE CLOSURE

Creation of a WIOA case closure in SCWOS will signify there are no other planned WIOA services. These SCWOS 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 SCWOS.

O. 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 SCWOS 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.*
- *successful/unsuccessful program completion*

WIOA Summary Case Notes, such as amount spent on a participant and those noted above, are vital in the event of a WIOA re-entry request.

P. JOB PLACEMENT/ EMPLOYMENT SERVICES

LSWDA Instruction PY'01-005 – Job Placement and Follow-up Services after Training Services

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 SCWOS, either by entering activity codes or case notes.

Q. 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 SCWOS is triggered by the appropriate program's 'follow-up links' being available, or dropping, in the SCWOS 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. In accordance with TEGL 19-16 follow-up services do not extend the date of exit in performance reporting.

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.

1. 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)
    - Case note documentation detailing individual status, updates and assistance provided
    - Leadership development activities provided after completion of participation (youth)
    - Case Management activities
    - Employment/Re-employment services and job referrals (workshops, job-fairs, hiring events, job matching, etc.)
    - Referrals to partners for needed services
    - Disbursement of Youth Incentives payments as outlined in insert "h".

2. 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
    - No or lack of referrals to services (employment and community resources) in the event participant is not employed or in need of specific assistance.
    - Letters to inquire about status

***Good Sense Tip**: A system soft-exit will automatically take place in SCWOS 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.*

IV. PERFORMANCE MEASURES

TEGL 10-16; Change #1 – Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs

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. State and local performance measure goals are negotiated annually. Service Providers will receive updates and final measure determinations once decreed.

A. ADULT/DISLOCATED WORKER MEASURES INCLUDE:

ALL PERFORMANCE LEVELS BELOW AND IN THE CHART ARE BASED ON THE NEGOTIATED STATE PERFORMANCE LEVELS AND WILL BE UPDATED ONCE THE LOCAL PERFORMANCE LEVELS ARE NEGOTIATED AND AGREED UPON.

Adult Employment Rate 2nd Quarter After Exit = Goal is 83.0%
Adult Employment Rate 4th Quarter After Exit = Goal is 82.8%
Adult Median Earnings 2nd Quarter After Exit = Goal is $7,811.00
Adult Credential Attainment during participation or within 4 Quarters After Exit = Goal is 65.8%
Measurable Skill Gains during a program year (in an education or training program) = Goal is 71.9%

Dislocated Worker Employment Rate 2nd Quarter After Exit = Goal is 84.60%
Dislocated Worker Employment Rate 4th Quarter After Exit = Goal is 83.0%
Dislocated Worker Median Earnings 2nd Quarter After Exit = Goal is $9,963.00
Dislocated Worker Credential Attainment (participant or within 4 Quarters after Exit = Goal is 74.90%
Measurable Skill Gains during a program year (in an education or training program) = Goal is 74.90+%

B. YOUTH MEASURES INCLUDE:

Youth Employment Rate 2nd Quarter After Exit = Goal is 85.0%
Youth Employment Rate 4th Quarter After Exit = Goal is 81.2%
Youth median Earnings 2nd Quarter After Exit = Goal is $3,850
Youth Credential Attainment during participation or within 4 Quarters After Exit = Goal is 77.0 %
Measurable Skill Gains during a program year (in an education or training program) = Goal is 68.0%

C. EMPLOYER MEASURE INCLUDES:

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

Lower Savannah Program Year 2024 WIOA Performance Goals

Performance Measure **Indicates Goals to be determined*	Goals	*Service Provider Goal is 90%*
Adult Employment Rate 2nd Quarter after Exit	**83.0%**	*74.70%*
Adult Employment Rate 4th Quarter after Exit	**82.8%**	*74.52%*
Adult Median Earnings 2nd Quarter after Exit	**$7,811**	*$7,029.90*
Adult Credential Attainment w/in 4 Quarters After Exit	**65.8%**	*59.22%*
Measurable Skill Gains	**71.90%**	*64.71%*
Dislocated Worker Employment Rate 2nd Quarter after Exit	**84.60%**	*76.14%*
Dislocated Worker Employment Rate 4th Quarter after Exit	**83.0%**	*74.70%*
Dislocated Worker Median Earnings 2nd Quarter after Exit	**$9,963**	*$8,966.70*
Dislocated Worker Credential Attainment w/in 4 Quarters after Exit	**74.90%**	*67.41%*
Measurable Skill Gains	**74.90%**	*67.41%*
Youth Employment Rate 2nd Quarter after Exit	**85.0%**	*76.50%*
Youth Employment Rate 4th Quarter after Exit	**81.2%**	*73.08%*
Youth Median Earnings 2nd Quarter after Exit*	**$3,850**	*$3,465*
Youth Credential Attainment w/in 4 Quarters after Exit	**77.0%**	*69.3%*
Measurable Skill Gains	**68.0%**	*61.20%*
Effectiveness in Serving Employers	**TBD**	

V. EXCLUSIONS FROM PERFORMANCE

TEGL 10-16; Change #1 - Performance Accountability Guidance for WIOA Title I, II, III, IV Core Programs

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;

If any of these reasons apply to participants in the program, the WIOA Service Provider may request a Hard Exit creation in SCWOS 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 SCWOS Coordinator for

processing in accordance with LSWDA Instruction PY'06-005, Rev #1 – Soft Exit Removal Process.

VI. PROGRAM OUTCOMES

A. SYSTEM SOFT EXIT

LSWDA Instruction PY'06-005, Rev #1 – Soft Exit Removal Process

SCWOS 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.

B. HARD EXIT

LSWDA Instruction PY'06-005, Rev #1 – Soft Exit Removal Process

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. Please refer to V. above.

VII. 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

VIII. 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.

IX. STORAGE

LSWDA Instruction PY'11-011 Rev #1 - New Process Storage Files

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 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) as well as sensitive information (i.e. legal, medical documents etc.) filed separately will need to be placed in an envelope, labeled, and stored with the participant files, directly behind the participant file folder
- 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:
-ALL boxes (partial/or full) are to be delivered to LSCOG by December 31st, annually.
-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 Supervisor of Contracts.

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 finding that may result in sanctioning the employee and/or the organization.*

X. FINANCIAL REQUIREMENTS

Good Sense Tip: ***REMINDER:*** ***Twenty percent (20%) of all Youth allocated funds must be spent on Work-Based Learning Activities. Annually, 30% of funding must be spent on participant costs.***

LSWDA Instruction PY'06-006 Rev #7 – Incentive Policy – Youth Only
LSWDA Instruction PY'03-010 Rev #3 – Financial Reporting & Financial Closeout Policy & Procedure
29 CFR 97.20
2 CFR 200

Requests for Payment Invoices and other required financial forms must be submitted to the LSCOG Workforce Development Financial Manager, 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 manager 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.

1. 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:

1. 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.

2. *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.

3. *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.

4. *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.

5. *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.

6. *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.

7. *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 and complete 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.

2. <u>Documentation of Cost</u>

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.

3. 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, 2024), 30% of the contractual allocated amount should be expended.
- At the end of the second quarter (December, 2024), 60% of the contractual allocated amount should be expended.

4. Financial Performance

- As outlined in State Instruction Letter 17-04, *Participant Cost Rate Policy,* each Local Area shall ensure that WIOA Adult and Dislocated Worker expenditures meet a minimum participant cost rate of 30%. Sub recipients should factor the 30% expenditure rate rule into both spending plans and projected budgets.
- WIOA Section 129(a)(4) expects that not less than 75% of program funds (over the life of the funds) allotted shall be used to provide youth workforce activities for out-of-school youth and 20% shall be used to provide youth with work-based learning (WBL) opportunities.

5. 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.

6. 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.

7. Invoicing and Closeout

LSWDA Instruction PY'03-010 Revision #3 – Financial Reporting & Financial Closeout Policy & Procedures
LSWDA Instruction PY'05-001 Rev #1 – Sanctions Policy & Procedures

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 Manager, 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 sub-

recipient will be notified of the due date.

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.

8. Audits

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

XI. SUCCESS STORIES

Success Stories must be identified and published for marketing purposes utilizing social media, newspaper, newsletters, and MVIX Digital Medium and other applicable outreach. A signed release by the individual featured is required for all publications. Adult/Dislocated Worker and Youth Success Stories are to be readily available monthly; the Youth Success Story must be submitted in coordination with the scheduled Youth Committee Meetings. A copy of the identified success stories are required to be sent to workforce development staff for review before publication. Success stories should be captured on video for ease of distribution and for presentation purposes. A link to the social media platforms or other publications used for outreach needs to be sent to workforce development staff.

XII. ATTENDANCE TRACKING REQUIREMENTS

Time and Attendance Sheet - 1wk with progress report

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.

1. 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.

2. 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.

On-the-Job (OJT) participants' timesheets are provided by the employer and turned into the business services representatives at LSCOG on behalf of the participant. The timesheets are maintained in-house at LSCOG.

XIII. TRANSPORTATION REQUIREMENTS

1. WIOA Participants

   Transportation services may be available in the Lower Savannah Workforce Development Area and can be accessed on an as-needed basis. The Aging, Disability & Transportation Resource Center (ADTRC) should be used as a resource to assist WIOA participants with scheduled rides to training or employment. Reference insert [j] for a list of transportation vendors in the region. Transportation supportive services are also available to WIOA participants based on the availability of funds.

2. WIOA Staff

   LSWDA Instruction PY'03-002 Revision #2 – Policy & Procedures Governing WIA Funded Travel

   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.

XIV. STAFF PROFESSIONAL DEVELOPMENT

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 complete the training. 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.

XV. STAFF HIRING

LSWDA Instruction PY'02-018 Rev #1 – Types of Contracts & Funding of Related Personnel Costs

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.

XVI. 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 SCWOS System, review of Ad Hoc Reports, and a sampling review of participant file folders. WIOA Participant and performance data in the SCWOS 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). Service Providers must develop a method of internal monitoring of the WIOA Program to ensure compliance with all Federal, State and Local 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.

1. 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 LSWDA 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"

Stevens Amendment

Funding details for award totals for program year 2024 (PY'24) are provided as follows and revised annually. Unless otherwise stipulated, all statements, news releases, requests for proposals, bid solicitations, visual presentations, and other applicable publications require the following acknowledgement:

"Programs are fully funded from federal sources. Funding sources can be found at www.lowersavannahwda.org."

2. Program and Finance

Lower Savannah Workforce Development Area Programmatic Financial Monitoring Staff will conduct at a minimum, one on-site monitoring visit per program year. Financial monitoring staff will perform continuous ongoing desktop reviews of ad hoc reports, South Carolina Department of Employment and Workforce issued reports. Random reviews of participant files will be conducted throughout the program year, as necessitated. Lower Savannah Workforce Development Area Financial Monitoring Staff will conduct monthly desktop reviews and invoice validations of all sub-recipients' financial systems.

XVII. PROPERTY

LSWDA Instruction PY'02-004 Revision #5– Acquiring, Accounting for, and Disposing of Non-Expendable Personal Property Items

All property will be inventoried, reconciled against the property database, and a copy of the database will be submitted to the LSWDA Financial Manager annually.

XVIII. 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 Administrator before being incorporated into this contract.

XIX. CONTRACT 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.

XX. 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 three (3) additional years, or a total period of four (4) 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.

XXI. SANCTIONS

LSWDA Instruction PY'05-001 Rev#1 – Sanctions Policy & Procedures
LSWDA Instruction PY'12-004 – WIA Sanctions Policy for Failure to Meet Performance Goals
State Instruction PY'19-04 – WIOA Title I Sanctions Policy

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.

1. 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.

2. 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 2024 WIOA Performance Goals

Performance Measure **Indicates Goals to be determined*	State Negotiated Goals	*Service Provider Goal is 90%*
Adult Employment Rate 2nd Quarter after Exit	**83.0%**	*74.7%*
Adult Employment Rate 4th Quarter after Exit	**82.8%**	*74.52%*
Adult Median Earnings 2nd Quarter after Exit	**$7,811**	*$7,029.90*
Adult Credential Attainment w/in 4 Quarters After Exit	**65.8%**	*59.22%*
Measurable Skill Gains	**71.90%**	*64.71%*
Dislocated Worker Employment Rate 2nd Quarter after Exit	**84.6%**	*76.14%*
Dislocated Worker Employment Rate 4th Quarter after Exit	**83.0%**	*72.36%*
Dislocated Worker Median Earnings 2nd Quarter after Exit	**$9,963**	*$8,966.70*
Dislocated Worker Credential Attainment w/in 4 Quarters after Exit	**74.90%**	*67.41%*
Measurable Skill Gains	**74.90%**	*67.41%*
Youth Employment Rate 2nd Quarter after Exit	**85.0%**	*73.44%*
Youth Employment Rate 4th Quarter after Exit	**81.2%**	*68.94%*
Youth Median Earnings 2nd Quarter after Exit*	**$3,850**	*$3,375*
Youth Credential Attainment w/in 4 Quarters after Exit	**77.0%**	*69.3%*
Measurable Skill Gains	**63.0%**	*56.70%*
Effectiveness in Serving Employers	**TBD**	

3. 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 Rev #1.
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.

4. 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.

5. 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.

XXII. 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.

XXIII.INSTRUCTIONS

As new instructions are added and/or old instructions revised, the Lower Savannah WDA 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.*