# All Programs - General

## Documentation Requirements

**ESD WS System Policy 1019, Rev. 8:** LWDBs are responsible for establishing local procedures to align with policy 1019, Rev. 8. Specifically, LWDBs ***must***address the following components at the local level:

* + - **Identification of the local record keeping system to be used.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Any supplemental documentation requirements (i.e., local requirements could stipulate additional documentation is required for eligibility criteria, beyond the minimum requirement contained in the Handbook);**

[ ]  N/A, no supplemental documentation identified

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Additional documentation requirements for eligibility that do not otherwise require documentary evidence (i.e., local parameters for determining “unlikely to return to a previous industry or occupation”, among others, which could include a documentation requirement).**

[ ] N/A, no additional documentation requirements identified

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **LWDB determinations regarding the use of self-attestation when allowed.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Youth & Adult

## Family Size / Low Income

**ESD WS System Policy 1019, Rev. 8:** LWDBs are responsible for establishing local procedures to align with policy 1019, Rev. 8. Specifically, **LWDBs must** address the following components at the local level:

* + - **The determination of whether or not youth who do not live at home, or youth ages 18-24 who do live at home, will be regarded as individuals rather than dependents,** **including the parameters for these determinations.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Additional criteria, if any, to help staff determine family size and income for the WIOA Title I Youth and Adult programs.**

[ ]  N/A, no additional criteria included in local policy

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Local parameters and policy for the definition of:**
			* Low income based on definition at WIOA Sec. 3(36).
			* LWDBs establish income verification requirements and what is included or excluded as income.

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Youth

## Local Parameters for definitions

**ESD WS System Policy 1019, Rev. 8:** LWDBs are responsible for establishing local procedures to align with policy 1019, Rev. 8. Specifically, **LWDBs must** address the following components at the local level. Local parameters and policy for the definition of:

* + - **“Requires additional assistance” (Category 8 for ISY; Category 9 for OSY)**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Whether or not to use self- attestation for the locally established parameters.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Determination of whether or not the LWDB will utilize the *5% window* to serve participants under the WIOA Youth program who does not meet the low-income criteria.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Adult

## Priority of Service

**ESD WS System Policy 1019, Rev. 8:** LWDBs are responsible for establishing local procedures to align with policy 1019, Rev. 8. Specifically, LWDBs must address the following components at the local level:

* + - **Priority of service beyond Categories 1, 2, and 3. LWDBs can establish added priority groups beyond those covered by Categories 1, 2, and 3 as long as those added priorities groups are defined in local policy.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Dislocated Worker

## Local Parameter Definitions

**ESD WS System Policy 1019, Rev. 8:** LWDBs are responsible for establishing local procedures to align with policy 1019, Rev. 8. Specifically, LWDBs must address the following components at the local level. Local parameters for the definition of:

* + - **“Unlikely to return to a previous industry or occupation”**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **“Substantial layoff” under WIOA Sec. 3(15)(B)(i) under Dislocated Worker definition.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - “**General announcement” of plant closing under WIOA Sec. 3(15)(B)(ii) or (iii).**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **“Unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters” for determining the eligibility of self-employed individuals, including family members and farm or ranch hands, under WIOA Sec.3(15)(C).**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **“Employment that leads to self-sufficiency” for a dislocated worker when determining whether the individual needs training services to obtain employment (20 CFR 680.210).**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - * **The designated timeframe prior to planned separation (no earlier than 18 months prior) during which military service members can receive Dislocated Worker services.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Supportive Services

**WIOA Final Rule, Department’s response, page 56157-58; 20 CFR 680.900 and TEGL 19-16:**

* + - **Local WDBs must develop policies and procedures to:**

Ensure coordination with other entities to ensure non-duplication of resources and services **and**

To establish limits on the amount and duration of such services.

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Local WDBs are encouraged to develop policies and procedures that ensure that supportive services are WIOA funded only when these services are not available through other agencies and that the services are necessary for the individual to participate in Title I activities.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

**ESD WIOA Policy 5602, Rev. 5**:

* + - **Local Workforce Development Boards (LWDBs), in consultation with WorkSource partners and other community service providers, must establish:**
			* internal controls that result in equitable treatment;
			* documentation requirements; and
			* assurance of coordination with other community resources

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Needs-Related Payments

**ESD WIOA Policy 5602, Rev. 5:**

* + - **LWDBs must state through local policy whether or not Needs-Related Payments will be provided.**

[ ] N/A, LWDB does not provide Needs-Related Payments

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **If an LWDB provides NRP’s, the local support services or NRP’s policies must address:**
			* How the level of NRP’s (payment amount) is determined.
			* How payments will be made to participants on sick, vacation or holiday leave while in training, if at all.
			* Attendance and academic standards and verification process for payments to continue.
			* The number of hours/credits for which participants must be registered to remain eligible for NRP’s.
			* How Unemployment Insurance (UI) benefits affect receiving NRP’s.
			* If NRP’s will be suspended during periods of earned income (and how that income will be calculated) and if participants have to re-qualify to start receiving NRP’s again once the income ends.
			* Who has the authority to approve participant requests for NRP’s and a description of the approval process?
			* Documentation requirements.
			* Coordination and documentation if participants receive NRP’s at the same time as supportive services from another program/partner.
			* Who handles NRP’s accounting and payment processing?
			* The maximum limit for NRP’s per participant
			* The requirement that any alleged and suspected fraudulent activity identified while monitoring be reported immediately to the DOL Office of the inspector General as provided in proposed 20 CFR 683.620.

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Incentive Payments - Youth

**ESD WIOA Policy 5621, Rev. 5:**

* + - **LWDBs must state through local policy whether or not Youth Incentives will be provided.**

[ ] N/A, LWDB does not provide Youth Incentives

* + - **LWDB’s must have policies and procedures to govern the award of incentive payments to Title I youth participants and must ensure that incentive payments are:**
			* Tied to the goals of WIOA Title I.
			* Outlined in a written local policy prior to the start date of programs that might provide incentive payments.
			* Aligned with the LWDB’s organizational policies.
			* In accordance with the requirements and cost principles in 2 CFR Part 200.
			* Tied to youth program elements (which may include attainment of unsubsidized employment and/or employment retention resulting from participation in one or more program elements for which incentive payments are allowed (see Attachment A)).

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Incentive Payments - Adult / DW

[ ] N/A, LWDB does not provide incentive payments to Adults and DW

**ESD WIOA Policy 5621, Rev. 5:**

* + - **All LWDB’s that reserve the option to provide incentive payments to WIOA Title I adult and dislocated worker program participants must have policies and procedures to govern the award of incentive payments to those participants. Procedurally, LWDBs that want to provide incentive payments to WIOA Title I adult and dislocated worker participants must request and receive state approval prior to expending any program year allotment of WIOA Title I formula grant funds on such payments (see Attachment B).**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Individual Training Account (ITA)

**ESD WIOA Policy 5601, Rev. 2:**

* + - **Local WDBs must have a local ITA policy for adults, dislocated workers, and out-of-school youth ages 16-24 receiving WIOA Title IB training services.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **Local ITA policies must address the following:**
			* How ITA’s will be obligated and authorized;
			* ITA dollar and/or duration limits, if any;
			* The number of times participants may modify their ITA, if it is limited;
			* Other local policy decisions based on the guidance in this policy.

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Customized Training

[ ]  Not Applicable

**tegl 19-16:**

* + - **Local WDBs must identify policies for determining what constitutes employer’s payment of “a significant portion of the cost of training” taking into account the size of the employer and other factors the LWDB determines appropriate.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

**ESD WIOA Policy 5616, Rev. 1:**

* + - **LWDBs that choose to allow customized training must have a customized training policy.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

*\*Note:* Refer to Policy 5616, Rev.1 for list of what LWDB’s must consider when developing local policy.

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Transitional Jobs

[ ]  N/A, LWDB is not implementing Transitional Jobs, so no policy required

**TEGL 19-16:**

* + - **If the Local WDB uses transitional jobs as part of its service delivery strategy, it must adopt policies and identify appropriate employers (public, private, or nonprofit). These policies must include:**
			* Plans on the amount of reimbursements for the jobs (up to 100 percent of the wage),
			* What supportive services must be included, and
			* The limits on the duration of the transitional job.
			* Identifying individuals who are “chronically unemployed” or “have an inconsistent work history”.

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

\*Note: The Department encourages targeting individuals who are long-term unemployed, ex-offenders, and individuals who are currently receiving or have exhausted TANF benefits when developing these policies.

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Follow-up

**TEGL 19-16:**

* + - **States and local areas must establish policies that define what are considered to be appropriate follow-up services, as well as policies for identifying when to provide follow-up services to participants.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

**ESD WIOA Policy 5620, Rev. 1:**

|  |
| --- |
| * + - **LWDBs must establish and implement local follow-up services policies within 90 days of issuance of this policy. Those policies must define appropriate follow-up services, including any supportive services, and when to provide those services to participants who have completed WIOA Title I Adult and Dislocated Worker programs. LWDBs may choose to incorporate additional services, as appropriate, in establishing or updating their local policies.**
 |

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# Integrated Service Delivery

[ ]  N/A, LWDB not participating in ISD

**ESD WS System Policy 1023, Rev. 1:**

* + - **Local areas that opt to validate age and selective service at the time of co-enrollment for basic career services must indicate this in their local policies/guidance.**
		- **Establish** **local policies/guidance that identify which services in the local area require full Title I program eligibility, whether any individualized career services cited under WIOA Section 143(c)(2)(xii) will be categorized as basic career services because they are delivered in a group or workshop format, and whether there are any supportive services that do not require a full eligibility determination of job seekers.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

* + - **The policy is up to date with current WIOA, DOL, and/or State guidance.**

[ ]  No Issues Identified

[ ]  One or More Issues Identified/Unable to Validate; See DOR

# TAA/DW Co-Enrollment Policy

**ESD Policy 5617, Rev. 3 Co-enrollment of Trade Adjustment Assistance participants into the WIOA Title I-B Dislocated Worker program:** Local Workforce Development Boards (LWDBs) must have policies for co-enrolling TAA participants into the WIOA Title I-B DW program that address the following:

* **The requirement that WIOA Title I-B DW program accept referrals of TAA participants from the TAA program in their Workforce Development Area and have a process for doing so. A referral to a WIOA Title I-B DW service provider is required for all participants, unless they decline prior to the referral being made.**
1. [ ]  No Issues Identified
2. [ ]  One or More Issues Identified/Unable to Validate; See DOR
* **The requirement that TAA participants who are eligible for the WIOA Title I-B DW program and want to be co-enrolled are enrolled in a timely manner (e.g., maximum number of days within which enrollment must occur after referrals).**
1. [ ]  No Issues Identified
2. [ ]  One or More Issues Identified/Unable to Validate; See DOR
* **The requirement that the WIOA Title I-B DW program inform the TAA program of the enrollment or declination of TAA participants into the former and have a process for doing so.**
1. [ ]  No Issues Identified
2. [ ]  One or More Issues Identified/Unable to Validate; See DOR

# State Economic Security for All (EcSA)

**WIN 0129, Rev. 2 State Guidance and Instructions for the State Economic Security for All (EcSA) Program:** LWDBs are required to have local policies controlling the State EcSA program, however, in order to facilitate service provision without requiring the creation of entirely new policies, LWDBs may designate that any aspects of the program not specifically cited in this document or other State EcSA guidance are controlled by the regulations set forth to govern the WIOA Title I program.

* **If an LWDB decides to develop its own local policy beyond the regulations set forth to govern the WIOA Title I program, it may do so by adopting the policy locally through the established local practice for policy approval and filing the policy with GMO.**

 [ ]  N/A, did not develop separate EcSA policy

 [ ]  No Issues Identified

 [ ]  One or More Issues Identified/Unable to Validate; See DOR

* **To facilitate enrollment into the EcSA program for individuals over 200% of the Federal Poverty Line, LWDBs are required to establish local policies to define the factors that make an applicant likely to fall into poverty.**

**Circumstances include but are not limited to:**

* **Recent loss of employment**
* **End of unemployment insurance payments or other public assistance**
* **Loss of housing**
* **Status as a recent victim of domestic violence or stalking**

[ ]  No Issues Identified

 [ ]  One or More Issues Identified/Unable to Validate; See DOR

* **Locally developed State EcSA policies must outline an approach to utilize funds in a fair and equitable manner, including the definition of a reasonable cost cap by taking into consideration overall financial allotment, number of clients yet to be served, and individual client need.**
1. [ ]  N/A, did not develop separate EcSA policy
2. [ ]  No Issues Identified
3. [ ]  One or More Issues Identified/Unable to Validate; See DOR