

STATE OF MONTANA

WORKFORCE INNOVATION AND  
OPPORTUNITY ACT  
OPERATIONS MANUAL



PROGRAM YEAR 2018

July 1, 2018 through June 30, 2019

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FORMS – REFER TO WIOA WEBSITE

## ADMINISTRATIVE STANDARDS

**POLICY:** This policy has been revised and may be viewed in the WIOA Administrative Standards Policy under the WIOA category on the [WSD Policy Website](#).

**OPERATIONAL GUIDANCE:** Refer to the WIOA Administrative Standards Policy for detailed policy. The following is intended as guidance and clarification.

NEPOTISM: For Montana's WIOA programs personal relationship means domestic partners and immediate family means: wife, husband, children, daughter-in-law, son-in-law, parents, grandchildren, mother-in-law, father-in-law, brother-in-law, sister-in-law, grandparents, step-grandparents, spouse's grandparents, spouse's step-grandparents, step-children, step-parents, brothers and sisters, and step-brothers and step-sisters of the customer. When relationships such as those listed above or others that may be perceived as a relationship exist service providers must use prudent judgment and refer the individual to other staff or another service provider as appropriate.

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## COMPLAINTS AND GRIEVANCES

- I. **POLICY:** This policy has been removed and may be viewed in the Complaint System Policy under the Job Service Category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## MONITORING, EVALUATION AND TECHNICAL ASSISTANCE

- I. **POLICY:** This policy has been removed and may be viewed in the Monitoring, Audits, Performance and Sanctions Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERTIONAL GUIDANCE:** Refer to the Monitoring, Audits, Performance and Sanctions Policy for detailed policy. The following is intended as **guidance and clarification**.

### Technical Assistance:

Program Managers may provide technical assistance to State Displaced Homemaker and WIOA adult, youth and dislocated worker case managers through a variety of ways including:

**One-on-one technical assistance through telephone or e-mail** as appropriate for the situation.

**Monthly Technical Assistance Calls:** Program Managers provide technical assistance to WIOA and State Displaced Homemaker case managers on a monthly basis.

- First Thursday of Every Month at 10am
- Provides guidance on current issues or questions
- Power Point and materials are provided prior to the call
- The TA Call is recorded and available
- Content of the call is intended to provide technical assistance
- All case managers are required to attend

**New Case Manager Training:** Program Managers provide technical assistance to all new WIOA adult, youth and dislocated worker case managers.

**Technical Assistance During the Monitoring Process:** WIOA Program Managers schedule technical assistance and training with each service provider operating the State Displaced Homemaker Program, WIOA Adult, Youth and Dislocated Worker Programs. Technical assistance related to monitoring may be provided through Skype or Go-to-meeting.

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## STATEWIDE PERFORMANCE AND SANCTIONS

- I. **POLICY:** This policy has been removed and may be viewed in the Monitoring, Audits, Performance and Sanctions Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## SERVICE PROVIDER SELECTION PROCESS AND PROVIDER AGREEMENTS

- I. **POLICY:** This policy has been removed and may be viewed in the Service Provider Selection and Provider Agreement Policy under the WIOA category on the [WSD Policy Website](#).
  
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## ASSURANCES AND CERTIFICATIONS

- I. **POLICY:** This Policy has been combined with WIOA Administrative Standards Policy and may be viewed on the [WSD Policy Website](#).
  
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## PROVIDING NOTICE OF EQUAL OPPORTUNITY AND NONDISCRIMINATION

- I. **POLICY:** This policy has been removed and may be viewed in the Non-Discrimination and Equal Opportunity Policy under the Job Service category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Operational guidance may be forthcoming.

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## REPORTING

- I. **POLICY:** This section has been revised and may be viewed in the Service Provider Reporting and Audit Requirements Policy under the WIOA category on the [WSD Policy Website](#).
  
- II. **OPERATIONAL GUIDANCE:** Refer to the Service Provider Reporting and Audit Requirements Policy for detailed policy. The following Financial Reporting guidance is current. The revised Adult, Dislocated Worker and Youth program reporting guidance is forthcoming.

### Financial Reporting

Report is due the 25<sup>th</sup> day of the month following the end of the Quarter.

Instructions for completing the ETA-9130:

- 1) **Agency Which Report is Submitted:** PRE\_ENTERED
- 2) **Federal Grant or Other Identifying Number:** Contract Number
- 3) **Recipient Organization:** Name and complete address of the organizations
- 4) **A) Unique Entity Identifier:** Organization's DUNS Number  
**B) EIN:** Organizations Employer Identification Number
- 5) **Recipient Account Number or Identify Number:** Enter account number, fund number, or other identifying number assigned by the organization. This number is for the recipient's use only and not required by DLI.
- 6) **Final Report:** Check YES or NO. Check YES only if it is the FINAL Report
- 7) **Basis of Accounting:** ACCRUAL has been pre-entered on all reports  
  
DOL/ETA regulations require that all recipients report expenditures and program income on an accrual basis. For accrual basis reporting, accrued expenditures are recorded when a requirement to pay is established.  
  
**Note:** Recipients are not required to change their accounting systems to accommodate DOL/ETA requirements that differ from their underlying accounting practices. Instead, recipients must furnish the required accrual information based on available documentation and best estimates.
- 8) **Project/Grant Period:** The beginning date of the grant award as defined in the contract.

**Project/Grant Period:** The ending date of the grant award as defined in the contract. This is the final date for which accrued expenditures can be incurred under the grant.

- 9) **Reporting Period End Date:** The last date of the quarter for which the cumulative data is provided on the Financial Report

### **Transactions**

Enter cumulative amounts in the **Cumulative Column** for each line item requiring data entry, as of the reporting period end date.

Cumulative data for current reporting quarter will become **Previous Period Column** in following quarter. Enter totals in the Previous Period Column. **This Period** data will be automatically calculated. Use Section 12, Remarks, to provide any information deemed necessary to support/explain data provided in this section.

### **Federal Cash**

**10a) Cash Receipts:** Enter the cumulative amount of **cash received from DLI** as of the reporting period end date. Note: Recipients operating on a reimbursement basis will not show cash receipts until it is actually drawn.

**10b) Cash Disbursements:** Enter the cumulative amount of cash disbursed from the cash receipts identified on 10a, as of the reporting period end date. Disbursements are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expenses charged to the award, and the amount of cash advances and payments made to subrecipients and subcontractors.

**10c) Cash On Hand:** This is an automatic calculation, which is Line 10a minus Line 10b.

The cash on hand amount should represent immediate cash needs. If any drawdowns were made prematurely, or there are other reasons for any excess cash on hand, an explanation should be provided in Section 12, Remarks.

### **Federal Expenditures and Unobligated Balance**

**10d) Total Federal Funds Authorized:** This entry should agree with the grant award amount specified in the contract.

**10e) Federal Share of Expenditures:** Enter the cumulative amount of accrued expenditures for allowable costs associated with the funds authorized on Line 10d.

Accrued expenditures are the sum of actual cash disbursements for direct charges for goods and services; the amount of indirect expenses charged to the award; and the amount of cash advances and payments made to subrecipients and subcontractors, MINUS any rebates, refunds, or other credits; PLUS the total costs of all goods and property received or services performed, whether or not a cash

payment has occurred. Accrued expenditures are to be recorded in the reporting quarter in which they occur, regardless of when the related cash receipts and disbursements take place.

This entry will usually be greater than Line 10b, cash disbursements, because accruals (goods and services received but not yet paid for) must be included on this line item. In addition, recipients operating on a reimbursement basis must report all accrued expenditures (including cash disbursements) in the quarter in which they occur (no matter what source initially pays the costs.)

**10f) Federal Share of Unliquidated Obligations:** Enter any obligations (legal commitments to expend subject grant funds authorized) that have not yet been reported as an accrued expenditure or for which a cash disbursement has not yet occurred, as of the reporting period end date. Unliquidated obligations should include amounts which will become due to subrecipients and subcontractors. On the final report, this line item should be zero.

Do not include any amount on Line 10f that has been reported on Line 10e. Do not include any amount on Line 10f for a future commitment of funds (e.g., long-term contract) for which an obligation has not been incurred.)

**10g) Total Federal Obligations:** This is an automatic calculation, which is the sum of Lines 10e and 10f.

**10h) Unobligated Balance of Federal funds:** This is an automatic calculation, which is Line 10d minus Line Item 10g.

### **Recipient Share**

**10i) Recipient Share of Expenditures:** Stand-In Costs: Enter any non-Federal third-party funds expended for the purposes or activities of subject grant. Expenditures identified on this line item must be allowable costs which could otherwise be paid for out of subject grant funds.

### **Program Income**

**10j) Total Federal Program Income Earned:** Enter the total amount of program income earned as the result of allowable grant activity. The addition method for recording and reporting program income is required for all ETA programs/grants.

Either gross or net program income may be reported. If gross program income is reported, the costs for generating the income should be included on Line 10e. If net program income is reported, the costs for generating the income are subtracted from the total income earned before entering the net amount on 10j.

**10k) Program Income Expended:** Enter the total cumulative amount of accrued expenditures incurred against the program income earned on Line 10j.

NOTE: Program income is to be expended during the same grant period in which it is earned.

**10j) Unexpended Program Income:** This is an automatic calculation, which is Line10j minus 10k.

### **Additional Expenditure Data Required**

#### **For the Youth Form**

**11a) Other Federal Funds Expended:** Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

**11b) Real Property Proceeds Expended:** Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

**11c) Out of School Youth Expenditures:** Enter expenditures for allowable program activities for participants meeting eligibility criteria for out of school youth.

**11d) In School Youth Expenditures:** Enter expenditures for allowable program activities for participants meeting eligibility criteria for in school youth.

Lines 11c (Out-of-School Youth Expenditures) Plus 11d (In-School Youth Expenditures) should EQUAL Line 10e (Federal Share of Expenditures).

**11e) Federal Share of Unliquidated Obligations for Pay-for-Performance Contracts:** Enter any obligations incurred for pay-for-performance contracts for which an expenditure has not yet been recorded, as of the reporting period end date. This amount should represent the aggregate unliquidated obligations for pay-for-performance contracts for local areas and it is a portion of the amount reported in 10f (Federal Share of Unliquidated Obligations).

**11f) Pay-for-Performance Contract Expenditures:** Enter the cumulative amount of expenditures charged to the Local Youth grants for pay-for-performance contract costs. This line item should represent the total accrued pay-for-performance contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

**11g) Work Experience Expenditures:** Enter the cumulative amount of expenditures charged to the Local Youth grants for work experience activities. This line item should represent the total accrued work experience expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

WIOA Sec. 129 (c)(4) requires that a minimum of twenty percent of Federal funds allocated to local areas to carry out the local Youth program for a fiscal year must be expended on work experience activities.

#### **For the Adult Form**

**11a) Other Federal Funds Expended:** Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

**11b) Real Property Proceeds Expended:** Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

**11c) Expenditure of Adult Funds on the DW Program:** Enter expenditures resulting from the transfer of Adult funds to the DW program. (This entry represents Adult funds expended on the DW program.)

**11d) Federal Share of Unliquidated Obligations for Pay-for-Performance Contracts:** Enter any obligations incurred for pay-for-performance contracts for which an expenditure has not yet been recorded, as of the reporting period end date. This amount should represent the aggregate unliquidated obligations for pay-for-performance contracts for local areas and it is a portion of the amount reported in 10g (Federal Share of Unliquidated Obligations).

**11e) Pay-for-Performance Contract Expenditures:** Enter the cumulative amount of expenditures charged to the Local Adult grants for pay-for-performance contract costs. This line item should represent the total accrued pay-for-performance contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

**11f) Transitional Jobs Expenditures:** Enter the cumulative amount of expenditures charged to the Local Adult grants for transitional jobs costs. This line item should represent the total accrued transitional jobs contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

**11g) Incumbent Worker Training Expenditures:** Enter the cumulative amount of expenditures charged to the Local Adult grants for incumbent worker training costs. This line item should represent the total accrued incumbent worker training contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures)

**For the Dislocated Worker Form**

**11a) Other Federal Funds Expended:** Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

**11b) Real Property Proceeds Expended:** Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

**11c) Expenditure of DW Funds on Adult Program:** Enter expenditures resulting from the transfer of DW funds to the Adult program. (This entry represents DW funds expended on the Adult program.)

**11d) Federal Share of Unliquidated Obligations for Pay-for-Performance Contracts:** Enter any obligations incurred for pay-for-performance contracts for which an

expenditure has not yet been recorded, as of the reporting period end date. This amount should represent the aggregate unliquidated obligations for pay-for-performance contracts for local areas and it is a portion of the amount reported in 10f (Federal Share of Unliquidated Obligations).

**11e) Pay-for-Performance Contract Expenditures:** Enter the cumulative amount of expenditures charged to the Local Dislocated Worker grants for pay-for-performance contract costs. This line item should represent the total accrued pay-for-performance contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

**11f) Transitional Jobs Expenditures:** Enter the cumulative amount of expenditures charged to the Local Dislocated Worker grants for transitional jobs costs. This line item should represent the total accrued transitional jobs contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

**11g) Incumbent Worker Training Expenditures:** Enter the cumulative amount of expenditures charged to the Local Dislocated Worker grants for incumbent worker training costs. This line item should represent the total accrued incumbent worker training contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

#### **For the Rapid Response Form**

**11a) Other Federal Funds Expended:** Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

**11b) Real Property Proceeds Expended:** Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

**11c) Rapid Response Funds Expended on Other Statewide Programs:** Enter the cumulative amount of Rapid Response funds expended on other statewide programs, regardless of whether the funds were expended at the State or local level. This line item is a portion of the amount reported in 10e (Federal Share of Expenditures).

#### **For the Basic Form**

**11a) Other Federal Funds Expended:** Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.'

#### **Remarks, Certification, and Agency Use Only**

**12) Remarks:** Enter any explanations deemed necessary or information required by DLI.

**13a) Typed or Printed Name and Title of Authorized Certifying Official:** Enter the name and title of the authorized certifying official.



**13b) Signature of Authorized Certifying Official:** The authorized certifying official must sign here.

**13c) Telephone (Area Code, Number and Extension):** The telephone number of certifying individual.

**13d) Email Address:** The email address of the certifying individual

**13e) Date Report Submitted (Month, Day, Year):** The date the FR is submitted to DLI.

**14) Agency Use Only:** This section is reserved for DOL/ETA use.

## **GRANT AGREEMENT CLOSEOUT**

### **WIOA CLOSEOUT PACKAGE**

The closeout forms will be sent to the service provider at the end of the grant period.

Please submit the following documents to the Workforce Services Division, P.O. Box 1728, Helena, MT 59624.

1. Closeout Cover Sheet
2. Program Income Report
3. Final Requisition for Cash or Refund Due
4. Assignment of Refunds, Rebates, and Credits
5. Subgrantee Release
6. Inventory Control Statement
7. Final ETA-9130 Financial Report
  - For Adult and DW include both 1st and 2nd increment FINAL report

The closeout cover sheet must be signed by the by the subgrant signatory.

\*\*Remember to include **both** 1st increment and 2nd increment ETA-9130 Financial Reports for Adult and DW.

### **CLOSEOUT INSTRUCTIONS**

#### **1) CLOSEOUT COVER SHEET:**

- Check the appropriate boxes.
- Enter the name of the subgrantee.
- Enter the date on which the report is being submitted.
- Enter signature of subgrant signatory.
- Enter name and title of subgrant signatory.

\*The report must be signed and dated by an authorized signer.

## 2) PROGRAM INCOME REPORT:

- Enter the name of the subgrantee as shown on your Subgrant Signature Sheet.
- Enter the number of the subgrant for which the closeout report is being prepared.
- Enter the ending date of the subgrant.
- Enter the date on which the report is being submitted.

Line 1: Enter total program income earned as a result of the subgrant.

## 3) FINAL REQUISITION FOR CASH OR REFUND DUE:

- Enter the name of the subgrantee as shown on your Subgrant Signature Sheet.
- Enter the number of the subgrant for which the closeout report is being prepared.
- Enter the date on which the report is being submitted.

Line 1: Enter total subgrant amount.

Line 2: Enter total cash received to date.

Line 3: Enter total expenditures as reported on the Closeout Final Financial Report.

Line 4: Subtract Line 3 from Line 2. A positive amount is the final cash requested. A negative amount is the refund due to the Montana Department of Labor and Industry and must be submitted with closeout package.

## 4) SUBGRANT ASSIGNMENT OF REFUNDS, REBATES, AND CREDITS:

- Enter subgrantee name.
- Enter subgrant address.
- Enter subgrant number.
- Enter name of subgrantee organization.
- Enter name and title of subgrant signatory.

## 5) SUBGRANTEE RELEASE:

- Enter subgrant number.
- Enter (in writing) the total of amounts paid and payable under this subgrant.
- Enter (in figures) the total of amounts paid and payable under this subgrant.
- Enter name and address of subgrantee organization.

Line 1: Enter any costs that have been incurred, but have not been paid, and are not specified elsewhere in this closeout package.

- Enter the day, month, year this report was prepared.
- Enter name and title of signatory.

**6) STATEMENT OF INVENTORY CONTROL:**

- Enter the subgrantee name
- Enter the subgrant number.
- List all equipment purchased with funds provided by the subgrant.
- Enter name and title of signatory.

**AUDIT REQUIREMENTS**

Service Providers that expend \$750,000 or more in a year in Federal awards shall have an audit conducted for that year in accordance with the requirements contained in 2 CFR

200.501. The provisions of 2 CFR Subpart F, Audit Requirements, will apply to audits of non-Federal entity fiscal years beginning on or after December 26, 2014. The revised audit requirements are not applicable to fiscal years beginning prior to that date.

Please send a copy of the final audit report to the Program Monitoring Unit. The report is due within the earlier of 30 days after publication of the auditor's report, or nine months after the end of the audit period.

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## FUNDING ALLOCATION

- I. **POLICY:** This policy has been removed and may be viewed in the WIOA Funding Allocation Policy under the WIOA Category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## ONE-STOP SYSTEM

- I. **POLICY:** This policy has been removed and may be viewed in the One Stop System Policy under the WIOA Category on the [WSD Policy Website](#).
  
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## GENERAL ELIGIBILITY DETERMINATION PROCESS

- I. **POLICY:** This policy has been removed and may be viewed in the General Eligibility Determination Policy, Title I Adult and Dislocated Worker Policy, and the Youth Program Policy under the WIOA Category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the above listed policies for detailed policy. The following is intended as **guidance and clarification**.

For **WIOA adults and dislocated workers**, career services beyond self-service and information activities requires formal enrollment. In other words, if the provision of the service is characterized by significant staff involvement and funded by Title I, the individual must be registered. These services are considered qualifying services that “trigger” participation:

Staff-assisted job search & placement including career counseling;  
Staff-assisted job referrals;  
Staff-assisted job development

Prior to the point of participation (which requires receipt of a program-funded service) eligibility determination for Title IB services has been completed in addition to the “Equal Opportunity Is the Law” form.

In the case of **WIOA youth** enrollment WIOA youth become a youth participant after eligibility is determined, an objective assessment is performed, and the youth receives one of the youth elements.

### **Referral**

Service providers shall provide information to eligible applicants, whether enrolled in WIOA or not, of the services available through WIOA service providers, including information regarding the opportunities for nontraditional training and employment. Determination may be made prior to enrollment in WIOA to refer an eligible applicant to another service agency or training and education program deemed more suitable for the individual. Each service provider shall ensure that an eligible applicant who cannot be served by its particular program is referred to appropriate agencies, both within and outside the WIOA system that may be able to better serve the applicant. A referral form facsimile is shown in the forms section on DLI’s website.

### **Confidentiality and Release of Information**

State and federal privacy laws safeguard an individual's privacy from the misuse of federal and state records and provide individuals access to their records. Providers must maintain participant and applicant files in a manner to safeguard confidentiality.

Funding source agencies have access to participant files. Access to files should be granted on a "need to know" basis. If other agencies, prospective employers, or other individuals or agencies request access to information in a file, an authorization of release for the information must be obtained from the participant. A "Sample Authorization of Release Form" facsimile is shown in the forms section of the WIOA Website. The sample form may be used as an Authorization form with the agency's name inserted on the form. Participants should sign the form only after all information is complete.

**Access to the records from other agencies may also require authorization for release of information.**

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## **ADULT AND DISLOCATED WORKER ELIGIBILITY AND SERVICE PRIORITY**

- I. **POLICY:** This policy has been removed and may be viewed in the Adult and Dislocated Worker Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Adult and Dislocated Worker Policy for detailed policy. Operational Guidance is forthcoming.

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## YOUTH ELIGIBILITY AND SERVICE PRIORITY

- I. **POLICY:** This policy has been incorporated into the Youth Program Policy and may be viewed on the [WSD Policy Website](#).
- II. **Operational Guidance:** Refer to the WIOA Title I Youth Program Policy for detailed policy. The following is intended as **guidance and clarifications**.

### **Parent/Guardian Program Consent**

Enrolling a minor into WIOA without parental consent can put the Montana Department of Labor and WIOA Youth Service providers at risk of being sued and increases liability, particularly if the participant is injured or mistreated. Service providers must obtain signed consent from a parent or guardian for youth who are under the age of 18. In situations where an unaccompanied minor, not in foster care, with no one assuming Legal Custody of them (most generally these are homeless or runaway youth) they are allowed to sign for themselves. Case managers must have very detailed case notes documenting the youth's situation and also comment on the consent form and place the form in the participant's file. Service providers may continue to use their current consent (if approved by Oversight program managers) form or the WIOA.48 Parent/Guardian Program Participation Consent Form.

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## STATE DISPLACED HOMEMAKER PROGRAM

- I. **POLICY:** This policy has been revised and may be viewed in the State Displaced Homemaker Policy under the Special Projects and Operations category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the State Displaced Homemaker Policy for detailed policy. The following is intended as guidance and clarification.

### Eligibility

1. Loss of support could mean a death or divorce within the timeline established in the State Displaced Homemaker Policy.
2. Caring for the home and family generally refers to the care of the applicant's parents, spouse, siblings, other relatives and children.
3. A criminal offender is eligible if they meet any one of the Eligibility Requirements for the SDH program.

### Services

The needs of displaced homemakers are extensive. Besides the problems associated with economic loss – child care, transportation, housing and lack of basic necessities – the disruption of family life may result in emotional, medical and legal difficulties. Displaced homemakers often lack self-confidence and self-esteem, which can be formidable barriers to employment. Meeting these needs is achieved through counseling, training, jobs, services and health care.

Generally, any service provided to adults and dislocated workers through the WIOA Title IB program are available to State Displaced Homemaker participants. Services described in the Objectives and Services document (WIOA.49) including developing an Individual Employment Plan (IEP), providing skills assessment and testing and similar activities (refer to the Assessment and IEP sections of this manual), ITAs and Occupational Skills training are available to State Displaced Homemaker participants.

State Displaced Homemaker providers receive very little funding for this program therefore co-enrollment in WIOA Title IB adult and youth programs is encouraged as appropriate. Whenever co-enrollment occurs SDH and adult providers should work closely to determine the best way to serve the participant and leverage funding.

### Referral

Displaced homemakers often lack self-confidence and self-esteem, which can be formidable barriers to employment. Crisis intervention and counseling are often critical preliminary needs of displaced homemakers. Referral to relevant community service agencies will provide information and assistance with respect to such items as health care, financial matters, education, nutrition, and legal problems.

**Follow-up**

Enrollment into follow-up is only required when the participant attains self-employment, agricultural or railroad or federal government.

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## ASSESSMENT AND PLANNING

- I. **POLICY:** This policy has been incorporated in the Youth Program Policy and the Adult and Dislocated Worker Policy and may be viewed under the WIOA category on the [WSD Policy Website](#) .
- II. **OPERATIONAL GUIDANCE:** Refer to the Youth Program Policy and the Adult and Dislocated Worker Program Policy for detailed policy. The following is intended as guidance and clarification.

Providers should use those LMI and MCIS tools that are most appropriate to assess the needs of the individual participant. For example: If an individual has been successfully participating in a training program and needs assistance to complete the training; or they have prior training and experience in an occupation, but simply need an additional certification or help with license renewal, then they may only need the Resume Builder tool to assist in their job search.

The minimum requirement is the participant's creation of the portfolio, plus one additional activity.

Request to waive MCIS activities may be approved through a request to the program manager.

**Assessing the Participant:** The assessment of the participant accounts for the participant's family situation, work history, education, occupational skills, interests, aptitudes, attitudes towards work, motivation, behavior patterns affecting employment potential, financial resources and needs, supportive service needs, and personal employment information as it relates to the local labor market. The name(s) of the assessor, name(s) of participants being assessed, and assessment results need to be identified on the IEP/ISS.

Initial assessments such as interest inventories, career assessment, and similar assessments (other than basic skills assessments) conducted by other human service programs or educational institutions within the last six months may be used where appropriate, rather than requiring the participant to undergo additional duplicative assessments, which may disrupt and discourage further participation. However, the service provider should evaluate the information provided and complete updated assessments if needed for effective WIOA program planning; and update the ISS/IEP appropriately.

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## INDIVIDUAL EMPLOYMENT PLAN (IEP)

- I. **POLICY:** This policy has been revised and may be viewed in the Adult and Dislocated Worker Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Adult and Dislocated Worker Policy for detailed policy. The following is intended as **guidance and clarification**.

Case manager should consider an Individual Employment Plan (IEP) is required for Adult and Dislocated Worker participants in WIOA Title IB Individualized Career and Training services. It is both a form and a continual process. The IEP is developed in partnership with the participant. The IEP identifies where the participant is, where the participant wants to be and the appropriate mix and sequence of services and support to reach a realistic employment goal. The development of the IEP and updates or revisions should be based upon the results of the comprehensive assessment process.

The IEP service should be opened at enrollment and closed when the employment goal has been established. If the employment goal is modified during participation the IEP service should be opened and closed to reflect the change.

Case managers should not open a separate Employment Plan if placing in Follow-up.

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## INDIVIDUAL SERVICE STRATEGY (ISS)

- I. **POLICY:** This policy has been incorporated into the Youth Program Policy and may be viewed on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Youth Program Policy for detailed policy. The following is intended as **operational guidance**.

Case manager should consider an Individual Service Strategy (ISS) is required for Youth participants. It is both a form and a continual process. The ISS is developed in partnership with the participant. The ISS identifies where the participant is, where the participant wants to be and the appropriate mix and sequence of services and support to reach a realistic employment goal. The development of the ISS and updates or revisions should be based upon the results of the comprehensive assessment process.

The ISS service should be opened at enrollment and closed when the employment goal has been established. If the employment goal is modified during participation the ISS service should be opened and closed to reflect the change.

Case managers should not open a separate Employment Plan if placing in Follow-up.

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## FAMILY SIZE AND INCOME DETERMINATION

- I. **POLICY:** This policy has been removed and may be viewed in the Family Size and Income Determination Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Family Size and Income Determination Policy for detailed policy. Operational guidance may be forthcoming.

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## SELECTIVE SERVICE REGISTRATION REQUIREMENTS

- I. **POLICY:** This policy has been removed and may be viewed in the Selective Service Registration Requirements under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Selective Service Registration Requirements Policy for detailed policy. The following is intended as **guidance and clarification**

### What to do if an applicant is over 25 and doesn't remember registering:

1. Have the applicant provide a copy of the **Selective Service Verification** from the Selective Service website.
2. If the applicant has registered with Selective Service as required and is otherwise eligible then continue with the enrollment process.

### What happens if the individual never registered with Selective Service or can't provide documentation?

1. Service providers may require that males 26 years and over request a **Status Information Letter** before making a determination that the failure to register was knowing and willful.
2. An individual may obtain a **Status Information Letter** from Selective Service if he:
  - a. Believes that he was not required to register; or
  - b. Did register but cannot provide any of the documentation as described in the Selective Service Policy on the WSD website.
3. If the **Status Information Letter** indicates that the applicant was **not** required to register for Selective Service, he **is eligible** for WIOA funded programs.
4. If the **Status Information Letter** indicates that the applicant was required to register but can't because he is 26 or older then case managers would not enroll him until it can be determined that his failure to register was not knowing and willful.

### What happens if the Status Information Letter says that the applicant was required to register but is no longer within the age of registration?

1. The service provider has the responsibility of requesting and evaluating the documentation and determining whether the failure to register was knowing and willful. Considerations for determining whether the failure to register was



“knowing” and “willful” are described in detail in the Selective Service Registration Requirements Policy on the WSD policy website. (Refer to Determining Knowing and Willful Failure to Register below)

2. The applicant should be encouraged to offer as much evidence and in as much detail as possible. Documentation includes a written applicant statement and supporting documentation of his circumstances at the time of the required registration and the reasons for failure to register.

### **Registration Requirements for Males Under 26 years of Age**

1. Youth providers are reminded to establish a tickler file to remind them to assist those youth who were under 18 at enrollment in registering for selective service within the required timeline.
2. Service providers that exit a male client who turns 18 while enrolled in WIOA and refuses to comply with Selective Service Registration requirements would not place that youth in follow up.
3. Failure to register within the required tie frame may result in disallowed costs. When a Youth client turns 18 years of age during enrollment, the case manager shall assist the Youth to register with selective service. Registration has to happen within 30 days of turning 18.

**Transgender** - Individuals who are born female and changed their gender to male are not required to register. U.S. citizens or immigrants who are born male and changed their gender to female are still required to register.

OPM notes that "transgender" refers to people whose gender identity and/or expression is different from the sex assigned to them at birth (e.g. the sex listed on an original birth certificate). The OPM Guidance further explains that the term "transgender woman" typically is used to refer to someone who was assigned the male sex at birth but who identifies as a female. Likewise, OPM provides that the term "transgender man" typically is used to refer to someone who was assigned the female sex at birth but who identifies as male.

**NOTE:** Transgender students are welcome to contact Selective Service regarding their registration requirements if they are unclear about how they should answer Question 21 or Question 22 on the Free Application for Federal Student Aid (FAFSA), or need a status information letter from Selective Service that clarifies whether or not they are exempt from the registration requirement. This can be done by calling our Registration Information Office on 1-888-655-1825. Individuals who have changed their gender to male will be asked to complete a request form for a status information letter and provide

a copy of their birth certificate. One exemption letter may be used in multiple school financial aid processes.

### **Determining Knowing and Willful Failure to Register**

1. The Case manager determines if the failure was knowing and willful. As an example, if the client was a conscientious objector and failed to register, that would be knowing and willful. In this case, the client would not be eligible to receive services.
2. As part of the documentation of failing to register for selective service, the case manager shall gather an applicant statement explaining why the client did not register for selective service.
3. A best practice would be for the case manager to set up a reminder on their calendar or other tickler system for when a Youth turns 18.

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## SOCIAL SECURITY NUMBER PROCEDURE

- I. **POLICY:** This policy has been removed and may be viewed in the Social Security Number Procedure Policy the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Social Security Number Procedure Policy for a detailed policy. The following is intended as **guidance and clarification**

Participants having a Social Security card may be hesitant to have a copy of the card made by case managers. In cases like this, The Verification of Documentation (WIOA.53) form should be used. The form states the participant's name and SSN. The form must be signed by the case manager and maintained in the participant's file.

### **Procedure for Obtaining Social Security Number**

Providers should assist the applicant in obtaining a SSN from the Social Security Administration. If the applicant does not have a Social Security Number a block or pseudo-number should be assigned using the following formula: Service Providers should use the number 9 as the first digit. EXAMPLE: Participant born November 12, 1958, the block number would be 911-12-1958. Please note this in the participant's file. Allowing MWorks to assign a pseudo Social Security Number is also acceptable.

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## ADULT AND DISLOCATED WORKER SERVICES AND ACTIVITIES

- I. **POLICY:** This policy has been incorporated into the Adult and Dislocated Worker Program Policy and may be viewed under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** The following is intended as **guidance and clarification**

### Training

There are four areas in MWORKS that need to be completed or looked at when recording training.

1. Appropriateness Tab
  - a. This needs to be completed 1<sup>st</sup> for any postsecondary training or any programs that lead to an industry recognized credential using one of these services such as: Occupational Skills Training, Distance Learning, Skills Upgrade and Retraining, etc.
  - b. This tab does not need to be completed for secondary school or Adult Education for basic skills remediation/HiSET classes.
2. Open the Appropriate Training Service
3. Complete Training Tab
4. Document Training Start/End dates

### Appropriateness Tab

There are six questions that need to be answered on the Training Tab with a comment entered for each question in the text box. The comments must provide further explanation for each question.

The screenshot displays the 'Appropriateness' tab in the MWORKS system. It features six questions, each with a 'Yes' dropdown menu and a text box for a comment. The questions and their comments are as follows:

- Question: Is the customer unable to achieve self-sufficiency/suitable employment in intensive services based on program requirements?  
Comment: Misty has been through a total of 5 layoffs in the timber/wood products industry over the last 16 years for multiple employers. Although the wage is generally a living wage, we have seen a downturn locally in that industry. She is looking for full-time permanent sustainable employment to support herself and her family.
- Question: Will the customer benefit from the selected training based on the skills provided by the proposed training program and the customer's current skill level?  
Comment: Misty has researched the radiology technologic field and had positive conversations with local employers on hireability.
- Question: Based on LMI sources for the customer's employment goal, is there a reasonable expectation of employment upon completion of the selected training?  
Comment: There is reasonable expectation of employment upon completion. There are current job postings for this position. LMI is +9% nationally and +13% in MT. This is labeled a "bright outlook" career on onetonline. Health care is one of Flathead Valley's largest employment fields.
- Question: Is the selected training reasonably accessible to the customer from a governmental or private institution or facility?  
Comment: Yes, classes are at FVCC in Kalispell, so reasonably accessible.

At the bottom of the form, there are fields for 'Completed Date: 08/24/16' and 'Training Services must be added to plan by: 11/22/16'. Navigation buttons include 'Record 1 of 1', 'Add', 'Save', and 'Cancel'.

### Record the Training Service

Case manager will need to record a Training Service for any training the client is attending, **regardless of who is paying for the training.**

If the client is attending training at enrollment, the training service start date should reflect the enrollment date.

If the client starts training sometime after enrollment, the training service start date should not be longer than 1 month prior to the training start date. Instances where you must pay tuition prior to the start of training, you will need to enter the training service before you can make the payment.

### Training Tab

1. To get credit for the measurable skill gains and credential performance indicators, there must be a “Training Start Date” recorded for the client. The “Training Start Date” is picked up in reporting from the Training Tab and not the training service start date.
2. Here’s how to complete the Training Tab:

The screenshot displays a software interface for recording training services. At the top, there are several tabs: Enrollment, Appropriateness, Employment Plan, Progress (selected), Funding, Closures, Case Notes, and Survey. Below these, the 'Training' sub-tab is active, showing 'Progress Notes', 'Authorizations', and 'Followup' options. On the left, a list of programs is visible, with the top one highlighted in yellow. Below the list are 'Add' and 'Delete' buttons. The main form area includes fields for 'Name', 'Service', 'Actual Start Date' (with a calendar icon), 'Projected Completion', and 'Actual Completion'. A checkbox labeled 'Withdrew from training' is present, along with an 'ONet' field. At the bottom left, there is a 'Show Completed' checkbox. At the bottom right, there are three buttons: '+ Skill Gain', 'Save', and 'Cancel'.

- The only schools that appear when you double click in the Name field on this screen are schools that are on the ETPL. Training providers such as Adult Education offering basic skill upgrade or the HiSET or a High School do not need to be on the ETPL. TAA training also does not require ETPL presence although it is encouraged.

- When the Training Provider is not on the ETPL, choose Non-Approved Montana – PO BOX 1728, Helena MT 59624 as the Training Provider.
- In the Service field, double click and you will get a list of services that have been recorded on the Employment Plan (not all services will show up). Choose the appropriate training service. NOTE: If a training service is not open on the Employment Plan, you will need to open the service with the appropriate start dates.

The screenshot shows a software interface for documenting training. The main window has a top navigation bar with tabs: Enrollment, Appropriateness, Employment Plan, Progress, Funding, Closures, Case Notes, and Survey. Below this, there are sub-tabs: Training, Progress Notes, Authorizations, and Followup. The Training sub-tab is selected. On the left side, there is a 'Program' list with a scroll bar. The first item, 'High School Equivalency', is highlighted in yellow. Below the list are 'Add' and 'Delete' buttons. On the right side, there are several input fields: 'Name' (NON APPROVED MONTANA-PO BOX 1728, HELENA MT 59624), 'Service' (Adult Basic/Literacy Services/Tutoring), 'Actual Start Date' (01/16/18), 'Projected Completion' (05/01/18), and 'Actual Completion' (empty). There is a checkbox labeled 'Withdrew from training' which is unchecked. Below these fields is an 'ONet' field with a dropdown menu showing '31101100' and 'Home Health Aides'. At the bottom left, there is a checkbox labeled 'Show Completed' which is checked. At the bottom right, there are three buttons: '+ Skill Gain', 'Save', and 'Cancel'.

- Record the Actual Start Date of the training (first day of school) and enter a Projected Completion. In this case, the client started Adult Basic Literacy services on 1/16/18 and the HiSET is expected to be earned by May 2018.
- You will need to enter an ONET. If you double click in the ONET field, you will get the ONET codes that have been associated with the client. Most likely, you should use the current ONET code that is recorded on the Employment Plan since that is what the client is working toward.
- You will complete the Actual Completion field when the participant completes the training.
- If the client does not finish training, you check the box in front of Withdrew from Training and you put in the last day the client attended in the Actual Completion field.
- Type in the name of the program the client is attending in the Program field.

### **Documenting Training Start and End Dates**

Training start and end dates must be documented in your case files. The easiest way is to put these dates in a case note. Example: Jesse started school on January 18, 2018.

Other ways to document training start and end dates are to use documentation from the training provider such as a school calendar or the bill from the training provider. Whatever you use, just make sure the dates on the training tab match the documentation.

## **REMINDERS**

The only way a Measurable Skill Gain or credential will be counted is when the client is in Training (has a training service open on the plan and the Training Tab is completed).

Ensure all of your participants who are in training have the appropriate training service recorded!

### **Example 1**

1. **Date = 9/1/13** (first day Fall semester). MSU student starts freshman year and has tuition, etc. funded by VRBS (Vocational Rehabilitation and Blind Services).
2. **Date = 1/10/16** (first day of Spring semester). Job Service enrolls the same student in the WIOA Dislocated Worker program after a job dislocation during the worker's junior year. Despite VRBS funding tuition, some costs were not covered such as transportation. Job Service plans on helping with supportive services only.
3. **Date = 1/10/17** (first day of Spring semester) VRBS runs out of funding and Job Service starts covering tuition as well as supportive services.

Now that we know what has to happen in MWORKS to get credit for Measurable Skill Gains, what would be the training start date for Job Service?

- Training start date should be **1/10/16** because that is when the client was enrolled in the WIOA Dislocated Worker program.
- To document the training start date, you could use a school calendar, or a case note saying something like: XX has been attending training at MSU since fall 2013. Training start date is recorded as 1/10/16 because that is the date of enrollment into the WIOA DW program and is the first day of Spring semester.
- As the client completes each semester of training, Job Service should obtain a copy of grades and if they are passing, enter the appropriate measurable skill gain in MWORKS (Postsecondary Transcript/Report Card) depending on the number of semester credit hours the client is earning.

### **Example 2**

Client enrolled in WIOA program August 1, 2017.

Client is enrolled in Training for Fall 2017 semester and WIOA pays for tuition.

Winter 2018 and Spring 2018, client does not need help with tuition as she received a Pell grant.

Client will need help with Summer 2018 semester.

- Training service should be opened when training starts for Fall 2017 semester. Training Tab completed, and training start date documented with case note or school document.
- Training service kept open through Winter and Spring 2018 semesters because client is still in training. (even though WIOA is not paying tuition for Winter/Spring 2018)
- Document any Measurable Skill Gain in MWORKS as soon as it is earned – at the end of each semester if her grades are passing (assuming she is going full time).
- Make tuition payment for Summer 2018 semester using same training service that has been open on the plan.
- Training service would be ended when client completes training or stops attending for some reason.
- Enter Training End date on Training Tab and document training end date with a case note or school document.
- Enter credential information if client earns a credential.

### Training Services:

Adult Basic/Literacy Services/Tutoring – use when *the individual (16 or older) is working toward a high school diploma or equivalency and/or is working towards proficiency at the ninth-grade level, or to improve basic skills to a greater level and provide them with knowledge of career pathways that lead them to a training institute or to get and keep employment.*

ABE/Literacy Combined with Training - use when *the individual is participating in an integrated education program that combines workforce preparation/training for specific occupational skill and services to upgrade their basic skills.* This isn't used very often. As an example, if someone is attending college and at the same time, they go to adult education classes to upgrade their basic skills (at the same institution), this would be used.

High School Equivalency/High School Diploma – use when the *individual is receiving activities that will help them complete a high school equivalency program or high school diploma.*

Distance Learning – use when *the individual is receiving online training that leads to a certification, credential or degree.*

Combined Workforce Training & Related Instruction – use when *the individual is receiving combined workplace training with related instruction.*

Customized Training – use when *the individual is receiving training from an employer or group of employers that made a commitment to employ that individual upon successful completion of the training.*



Entrepreneurial Training – use when *the individual is receiving the basics for starting and operating a small business*

Occupational Skills Training – use when *the individual is participating in an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels.*

On the Job Training – use when *the individual is engaged in productive work in a job that provides knowledge or skills essential to the full and adequate performance of the job.*

Skills Upgrade & Retraining – use when *the individual is taking courses that help develop professional competencies relevant to a vocational/occupational goal*

### Youth Training Elements

Youth Element – Education offered concurrently with workforce preparation and training for a specific occupation – **This Youth element is used when you combine Program Element 2 (alternative secondary school services and dropout recovery services, Program Element 3, workforce preparation activities that occur as part of a work experience, and Program Element 4 occupational skills training into one integrated education and training model. For example, you have an In-School Youth who attends an alternative high school and that Youth is working at a WEX at a local welding shop funded through your program. The Youth is also taking classes in High School for welding and when the school year is complete, he/she will receive a certificate to weld that they can take to an employer and get a job.**

Youth Element – Tutoring Study Skills and Instruction: **This is always opened when your participant is getting his/her HiSET or High School Diploma no matter if they are getting the training from a High School or from Adult Education.**

Youth Element – Occupational Skills Training (YOU): **This service is used to record when an Out of School youth is attending any kind of Occupational Skills Training including a university, college, or stand along training program leading to a recognized credential or employment.**

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## YOUTH SERVICES AND ACTIVITIES

- I. **POLICY:** This policy has been incorporated into the Youth Program Policy and may be viewed under the WIOA Category on the [WSD Policy Website](#).
- II. **Operational Guidance:** Refer to the Youth Program Policy for detailed policy. The following is intended as **guidance and clarification**.

The United States Department of Labor (USDOL) is committed to providing high quality services for youth and young adults beginning with career exploration and guidance, continued support for educational attainment, opportunities for skill training in in-demand industries and occupations and culminating with a good job along a career pathway or enrollment in post-secondary education.

**Occupational Skills Training is one of the 14 requirement elements that may be provided to older youth. Youth providers should consider the following when making the determination to provide this service.**

1. Was the youth unable to obtain or retain employment through basic career services including Work Experience;
2. Was it determined that the youth, after an interview, evaluation, or assessment, and case management, would benefit from training services and to have the skills and qualifications to participate successfully in the selected program of training
3. Was the training program selected directly linked to the employment opportunities in the local area involved or in another area in which individuals receiving such services are willing to relocate;
4. Was the youth unable to obtain other grant assistance for such services, including Federal Pell Grants therefore requiring assistance beyond that made available under other grant assistance programs, including Federal Pell Grants; and
5. Was the service provider's determination of providing training based on funds available to provide the service?

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## CASE MANAGEMENT AND CAREER PLANNING

- I. **POLICY:** This policy has been incorporated into the Youth Program Policy and the Adult and Dislocated Worker Policy and may be viewed under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to Youth, Adult and Dislocated Worker Program Policies for detailed policy. The following is intended as **guidance and clarification**. Operational Guidance for the Adult and Dislocated Worker Programs is forthcoming.

### Youth Operational Guidance

The participant's responsibilities during their participation in the youth program by:

1. Participating in the development and planning of their Individual Service Strategy (ISS);
2. Taking an active role in working toward attainment of the goals developed on the ISS;
3. Obtaining prior approval for any type of service or assistance from the WIOA Program;
4. Informing Case Manager of progress;
5. Informing Case Manager of changes (address, phone number, classes or training, personal situations, etc.) in a timely manner (as it is happening, not weeks/months later).
6. Informing Case Manager of problems in any area (training, personal, financial, etc.) that could impact successful completion of their approved plan;
7. Informing Case Manager of work status; and by
8. Timely submitting copies of grades, certifications, diplomas, registration schedule, bills, receipts, etc. when requested by their case manager.

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## WORK EXPERIENCE (WEX)

- I. **POLICY:** This policy has been revised and may be viewed in the Work Experience Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Work Experience Policy for detailed policy. The following is intended as **guidance and clarification**.

Work Experience may be used as a Situational Assessment. A Situational Assessment provides a participant with the opportunity to explore different work interests and try out their skills and abilities in a work setting. In addition, it allows the program staff and the participant to jointly determine the social aspects, work culture, and physical and communication requirements of the worksite. This determination provides valuable information on the job supports needed by the participant to achieve a successful job match.

Part-time Work Experience is encouraged, when appropriate, for older workers, the disabled, single parents with small children, or individuals in other similar circumstances.

*Duration of WEX Assignment.* Work Experience is for a limited time that is reasonable in duration. The length of the Work Experience assignment is based on the needs of the participant and purpose of placing that participant in a WEX. Factors such as prior work experience and occupational interests should be taken into consideration. There is no set time limit for youth on a work experience however the duration should be determined by the type of work experience and continued evaluation of the youth's progress. Generally, for the **adult program** a WEX assignment should not exceed 600 hours and may be shorter than that depending upon the participant. Providers wishing to establish or extend a WEX in excess of the 600-hour duration must get prior approval from the WIOA Program Manager.

*Timesheets:* All participants on a WEX must complete a time sheet at the end of the scheduled work period. Timesheets may be submitted for payment weekly or every two weeks. In either instance the timesheets must be signed and dated on or after the last day worked.

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## ON-THE-JOB TRAINING (OJT)

- I. **POLICY:** This policy has been revised and may be viewed in On-The-Job Training Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the On-The-Job Training Policy for detailed policy. The following is intended as **guidance and clarification**.

Reverse Referrals (see Glossary) may be accepted for OJT only if the participant's assessment and IEP/ISS document such OJT as an appropriate training activity. The employer must be aware that an individual not currently in their employ may or may not be referred back for employment consideration. OJT contracts written for eligible employed workers do not constitute a reverse referral.

Training that is not considered appropriate includes, but is not limited to:

1. Occupations in lower wage industries where prior skill or training is not prerequisite for hiring;
2. Occupations with high labor turnover;
3. Occupations, which lead to relocation of establishments from one area to another;
4. Seasonal occupations;
5. Occupations with a substantial number of experienced and able workers who are presently unemployed;
6. Occupations dependent on tips and/or commission to equal the minimum wage; and
7. Occupations with low paying, dead-end jobs.

Acceptable documentation for reimbursement includes any one of the following:

1. Pay stubs
2. Timesheets
3. Payroll reports

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## CUSTOMIZED TRAINING

- I. **POLICY:** This policy has been revised and may be viewed in the Customized Training Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## INDIVIDUAL TRAINING ACCOUNTS (ITA)

- I. **POLICY:** This policy has been removed and may be viewed in the Individual Training Account Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the ITA Policy for detailed policy. Operational guidance is forthcoming.

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## ELIGIBLE TRAINING PROVIDERS

- I. **POLICY:** The Eligible Training Providers Policy has been removed and may be viewed in the WIOA Eligible Training Provider List (ETPL) Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Eligible Training Provider List Policy on the WSD Policy Website at ETPL Policy for detailed policy. The following is intended as **guidance and clarification**.

### A. VENDORS

#### New Vendor

To set up new vendors for payment a State of Montana supplemental W-9 needs filled out, signed and dated. This document is located here: [Form WIOA 41 MT W-9](#). Send the completed document, indicating required objectives and services, to the following address: [DLIWSDW9INPUT@mt.gov](mailto:DLIWSDW9INPUT@mt.gov).

#### Current Vendor

Current vendors do not require a new State of Montana Supplemental W-9 provided their information is current and up-to-date. Verify vendor information in the database, if there are any changes a new W-9 may be needed.

### B. ELIGIBLE TRAINING PROVIDERS

#### New Training Provider

The new provider portal allows for online program submission by training providers. To establish a new potential Eligible Training Provider the following action needs to be taken: an email sent to the [MTETPL@mt.gov](mailto:MTETPL@mt.gov) email box with the potential training providers contact information; full name, email and phone number. The ETPL program manager will contact the potential training provider and set up the provider portal.

If the program of study is approved, it will be displayed on our website under [Eligible Training Provider List](#). Interested parties will be notified of the course approval.

If a program of study is denied, the provider will be sent a denial letter and the program will not be listed. The provider has the right to appeal the denial. Interested parties will be notified of the denial.

#### Current Training Provider

Certain current providers from the old eligible training provider list are being updated to the new display module. If a provider has not been displayed on the new module email [MTETPL@mt.gov](mailto:MTETPL@mt.gov) with the provider name and program of study.

#### Registered Apprenticeships

Registered apprenticeship programs are automatically qualified for placement on the ETPL but have to indicate they want placement on the list. They will remain on the list as long as the program is registered or until the program sponsor notifies the state that it no longer wants to be included on the list.



Registered Apprenticeship programs are not subject to the same application procedures and performance information requirements as other providers, nor do they require a period of initial eligibility; as they go through a detailed application and vetting procedure to become a Registered Apprenticeship program.

Any Registered Apprenticeship program sponsor taking an application(s) are an in-demand occupation by default. Minimal information may be required from an apprenticeship in order to execute payment of WIOA funding.

1. The State of Montana Supplemental W-9 for FEIN declaration and payment information.
2. Pre-apprenticeship programs do not have the same automatic ETP status.

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## CREDENTIALS

I. **POLICY:** This policy has been revised and may be viewed in the Credentials Policy under the WIOA category on the [WSD Policy Website](#).

II. **OPERATIONAL GUIDANCE:** Refer to the Credentials Policy for detailed policy. The following is intended as **guidance and clarification**.

**A. Recording credentials in MWORKS**

All credentials earned during participation or up to one year post-exit must be recorded in the MWORKS system on the Follow-Up tab.

Maintaining a copy of each credential in the case file is mandatory. If using a letter from the school showing degree date, the participant's name and actual graduation date must be contained in the letter.

**B. Training Services and Training Start/End Dates**

When a participant takes part in training, no matter who is funding the training, the following requirements must be completed:

1. Record the appropriate Training Service(s) on the Employment Plan
2. Complete the Training Tab in MWORKS
3. Document Training Start/End dates

**C. What counts as a Credential for WIOA reporting purposes?**

The following is a list of questions to consider when reviewing a program of instruction for certificate eligibility. The resources cited for each question are examples of the types of requirements or program policies to look for when attempting to answer the questions. The resources identified are not comprehensive; you may find other resources locally that also support your decision to define a program of instruction as "certificate-eligible". College course catalogues and degree/certificate requirements typically answer many of these questions to the extent necessary to make your determination. Employers who will hire certificate holders can also answer questions when a training catalogue does not provide the necessary information.

**Question 1:** Is the program more than one course of instruction? If it is one course only, what are the expectations of the participant after successfully completing the course?

**What to look for:**

- Program descriptions in college or training provider catalogues.
- Occupational licensing and certification requirements by the certifying agency.

**Question 2:** Does the training program have structure? Is there a standardized mechanism of delivery?

**What to look for:**

- Lesson plan(s)
- Curriculum
- Class syllabus
- Prerequisites - i.e., the program is completed through a series of training activities that build upon each other to expand the student's breadth and depth of knowledge and skills.
- Evidence based on lesson plans, curricula, etc. that instructors typically teach the course in the same sequence, according to the same schedule, each time the course is offered.

**Question 3:** Does the program fulfill a specific set of occupational requirements with clear and measurable goals and objectives? Can the certificate holder function effectively on the first day of employment with minimal supervision?

**What to look for:**

- Job qualifications or pre-requisites (e.g., licensure, certification or any other evidence the prospective employee must provide as evidence of competency in order to be hired).
- Once all training and testing is completed, what does the student obtain for his/her effort? (e.g., license to practice or credentials of competency).
- The individual can perform the work required by the occupation without additional training immediately after hiring. For example, an emergency medical technician (EMT) can perform Cardiopulmonary Resuscitation (CPR) on a patient at the time of hiring by an ambulance service.

**Question 4:** Is the certificate and knowledge/skills transferable from one employer to another within the industry that recognizes the certificate?

**What to look for:**

- Employer hiring standards within the industry.
- Evidence of reciprocity across state or regional borders (i.e., no further training is required to secure the same job in another location, or minimal training requirements to account for regulatory differences associated with State licensing and certification laws/regulations.) For example, an EMT certified by the National Registry of EMTs in the State of Wyoming would be immediately eligible for EMT licensure and hiring in the State of Montana.

**Question 5:** Who issues the certificate or license?

**What to look for:**

- Licensing or certification requirements identified by the training program provider.

- State, county, tribal or municipal licensing or certification regulations or requirements.
- Professional or industry endorsements and standards.
- Apprenticeship programs.

**Question 6:** Can the participant secure a job in the occupation without obtaining the certificate or license?

**What to look for:**

- Eligibility requirements for certificates, licenses or credentials.
- Continuing education requirements to renew certificates, licenses or credentials.
- Certificate, license or credential expiration dates.
- Length of time a certificate, license or credential is valid.
- Recertification requirements after a certificate, license or credential has expired.
- Employer requirements for maintaining current certification, licensure or credentials.
- Employer prerequisites to employment that state a preference for applicants with the certificate/license/credential.

**Question 7:** How is successful program completion determined?

**What to look for:**

- A passing score on a written test is required to qualify for a license, certificate or credential.
- A passing score on a practical skills test (if applicable) is required to qualify for a license, certificate or credential.
- The training program and courses have clearly stated pass-fail criteria that apply to all students.
- All students are tested according to the same sets of standards and criteria determined by the occupation to be minimally acceptable.
- Reasonable testing accommodations for individuals with disabilities measure the same standards and competencies as any other student who has participated in the program.

## SUPPORTIVE SERVICES

- I **POLICY:** This policy has been revised and may be viewed in the Supportive Services Policy under the WIOA category on the [WSD Policy Website](#).
  
- II. **OPERATIONAL GUIDANCE:** Refer to the Supportive Services Policy for detailed policy. The following is intended as **guidance and clarification**.

**Drug testing (depending on circumstances this may be paid out of Materials/Supplies or Work-Related Materials/Supplies under other supportive services).**

**Background Checks (depending on circumstances this may be paid out of Work-Related Materials/Supplies under other supportive services).**

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## FOLLOW-UP SERVICES AND ACTIVITIES

- I. **POLICY:** This policy has been incorporated into the Youth Program Policy and the Adult and Dislocated Worker Policy. These policies may be viewed under that WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to Title I Youth, Adult and Dislocated Worker Program Policies for detailed policy. The following is intended as **guidance and clarification**.

### A. Adult and Dislocated Worker Follow-up Services

Appropriate follow-up Services, that may include counseling regarding the workplace, *must be made available to Adult and Dislocated Worker participants who exit to self-employment, agricultural, railroad or federal government employment* for a minimum of 12 months.

Case managers should contact the participant at least once a quarter to check in with participants who have obtained unsubsidized employment to see if they need assistance in job retention, wage gains and career progress.

Appropriate follow-up services may vary among different participants, for example participants with multiple employment barriers and limited work histories may need significant follow-up services to ensure long-term success in the labor market including program funded supportive services. Others may identify an area of weakness in WIOA training that may affect their ability to progress further in their occupation or to retain employment.

#### **Follow-up services could include:**

1. Additional career planning and counseling
2. Contact with the participant's employer, including assistance with work related problems that may arise;
3. Peer support groups;
4. Information about additional educational opportunities; and
5. Referral to supportive services available in the community

**Note:** Financial assistance such as needs-related payments are not an allowable follow-up service.

### B. Youth Follow-up Services

All WIOA Youth participants, with the exception of those closed to an exclusion, by request, or due to non-participation must receive some form of follow-up services for a minimum duration of 12 months. Follow-up services may be provided beyond 12 months if it's beneficial to the youth to continue to receive follow-up services. Follow-up services are critical services that are provided following a youth's exit from the

program to help ensure the youth is successful in employment and/or post-secondary education and training. Case manager should make contact at least quarterly with the youth to ascertain their status and to determine if they need additional service or support. This must be documented in case notes. The types of services provided and the intensity of follow-up services may differ for each participant however follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome.

**Youth follow-up services may include:**

1. The leadership development and supportive service activities listed in 20 CFR Parts 681.520 and 681.570;
2. Regular contact with youth participant's employer, including assistance in addressing work-related problems that arise;
3. Assistance in securing better paying jobs, career pathway development and further education or training;
4. Adult mentoring; and/or
5. Providing services as necessary to ensure the success of youth participants in employment and/or post-secondary education.

Although WIOA regulations mandate the provision of follow-up services to all youth there will be times when it might not be possible to provide follow-up services or to provide these services for a minimum of twelve (12) months. Some youth may have relocated to another state, or cannot be located or contacted after several attempts, or have clearly communicated that they are not interested in receiving further services or additional assistance. While there is no doubt of the value of providing follow-up services that service provision may not be possible in every instance and cannot be "forced." In these instances, it is critical to exercise due diligence with respect to the mandatory provisions of follow-up services for a minimum duration of 12 months after exit. Case managers must document thoroughly in MWorks case notes the justification for not providing follow-up services.

**Youth that might not receive follow-up services include:**

1. Youth that have not been in contact with the case manager for a period of at least 90 days (3 quarters). NOTE: Case managers should document at least six attempts to contact the youth in that time period;
2. Youth that have moved from the area;
3. Youth that refuse to participate;
4. Youth that have requested closure from the program and no further contact;
5. Youth that are institutionalized;
6. Youth receiving medical treatment or providing care for a family member with a health/medical condition that precludes continued participation in the program;
7. Youth who have relocated to a mandated program

i.e., youth in foster care or another mandated program and have moved from the area because of such program.

Note: This does not include relocation to Job Corps

Youth that are in follow-up but cannot be contacted. Keep the follow-up service open on the youth's MWorks Employment Plan. Attempt to contact the youth at least once a quarter and document this in a case note. Close the follow-up service at the end of the minimum requirement period of 12 months.

### C. Follow-up Activities

**Follow-up activities are conducted to ensure positive outcomes and to give credit for outcomes. Obtaining supplemental data to determine if the individual is employed in the four calendar quarters following exit to self-employment, agricultural, railroad or federal government is a follow-up activity.**

#### Timelines for Quarterly Follow-up

The first quarter follow-up should be done during the calendar quarter after the participant exits from WIOA programs.

#### Calendar quarters:

January – March

April – June

July – September

October – December

#### **Example:**

If a participant exits September 30, 2018, follow-up would be done according to the following calendar quarters:

1<sup>st</sup> Quarter: October – December 2018

2<sup>nd</sup> Quarter: January – March 2019

3<sup>rd</sup> Quarter: April – June 2019

4<sup>th</sup> Quarter: July – September 2019

#### **Example:**

If a participant exits May 2, 2018, follow-up would be done according to the following calendar quarters:

1<sup>st</sup> Quarter: July – September 2018

2<sup>nd</sup> Quarter: October – December 2018

3<sup>rd</sup> Quarter: January – March 2019

4<sup>th</sup> Quarter: April – June 2019

Follow-up must actually occur during the quarter being recorded.



Service providers should use the Follow-up tab to record status in the Follow-up Contact section. A comment should be entered for each Follow-up contact. The comment should provide information regarding where the information was obtained, employer name, address, phone number, the occupation that the participant has entered, or any other pertinent information.

The screenshot displays the 'Employment Plan - Followup' interface. At the top, there are tabs for Enrollment, Appropriateness, Employment Plan, Progress, Funding, Closures, Case Notes, and Survey. The 'Followup' tab is active. Below the tabs, there is a table with columns: Start, Exit Dt, Enrollment, Exit reason, and Outcome. The first row shows: 01/24/10, 10/22/10, VMA Adult - Local, and Obtained Employment. Below this is the 'Followup Contact' section with a table:

Date	Employment Status	Wage	Follow-up Type
10/29/10	Unsubsidized Employment	\$12.98	1st quarter after exit
03/31/11	Unsubsidized Employment	\$13.71	2nd quarter after exit
05/03/11	Unsubsidized Employment	\$13.71	3rd quarter after exit

Additional fields include: Source of Suppl Data (Case Mgt, Survey, Employer), Staff, Comment (CM spoke with Larissa on the phone at work. She is doing...), Pre-Program Labor Force (Not Employed), Basic Skills Deficient (No), Pre-Program Ed Status (Not Attending School), Date Attained, Type, Training Service, Youth Goals (Start, End, Service), and Education Levels (Math, Reading, Pre, Post). Buttons for Save and Cancel are at the bottom right.

In the absence of Unemployment Insurance wage data, follow-up results can be used to enhance performance for three performance measures. Results count positively toward the measures if participants are found to be in unsubsidized employment in the quarters after exit. Supplemental follow-up results can be used for the following performance measures:

1. Entered Employment (first quarter after exit for Adults and Dislocated Worker participants)
2. Employment Retention (first, second, and third quarters after exit for Adult and Dislocated Worker participants)
3. Placement in Employment or Education (first quarter after exit for Youth participants)

**D. Supplemental Data Requirements**

Supplemental Data refers to information collected in lieu of Unemployment Insurance (UI) wage records in order to demonstrate an employment-related outcome. State UI wage records are the preferred data source for any performance measure pertaining to employment, including ETA’s Adult Common Measures. These records are owned by individual State Workforce Agencies and are governed by confidentiality and privacy statutes; most entities, including community colleges and private

organizations, do not have access to wage records, which contain personally identifiable information including Social Security Numbers (SSNs). This is the reason that ETA has assumed the burden of tracking Common Measures for grantees that provide the four (4) data elements as detailed in the High Growth and Community-Based Job Training Grants: General Quarterly Reporting Forms and Instructions.

**There are several allowable sources of Supplemental Data. In the absence of UI wage records, there are several sources of supplemental data that can be used to demonstrate employment-related outcomes. These include copies of pay stubs covering the period called for by the performance measure, employer documentation (including written affidavit or telephone conversation) indicating the individual was employed some time during the period called for by the performance measure, documentation from the former participant, case management notes and proprietary websites that offer employer fee-based information.**

1. *Information from Employers:* In general, this pertains to a written affidavit or documented telephone conversation with an employer indicating the individual was employed at some time during the period called for by the performance measure. At a minimum, grantees should obtain a signed release from participants prior to exit allowing such contact. The employer verification, whether written affidavit, letter on official letterhead or telephone conversation, should contain the employer's name, dates of employment for the individual in question and earnings for the period, in addition to the name, title, address, and telephone number of the employer representative providing the information.
2. *Information from Former Participant:* In general, this pertains to a written attestation form or documented telephone contact with the former participant that they were employed during the period called for by the performance measure. At a minimum, this should include updated contact information for the former participant, dates of employment and total earnings for the period, the employer's name, address and telephone number and, in the case of a written attestation, the signature and date signed by the former participant. (If a documented telephone conversation is utilized, then the information should include the name/signature and date signed by the grantee's staff member.)
3. *Information from Proprietary Websites:* A number of websites offer fee-based employment verification and wage-related information, although not all employers provide information to all sources. These include [www.theworknumber.com](http://www.theworknumber.com) , [www.verifyjob.com](http://www.verifyjob.com) , and [www.usverify.com/incomeverify.html](http://www.usverify.com/incomeverify.html) . These websites are not endorsed by USDOL-ETA.

All Supplemental Data sources must be documented and are subject to audit.

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## THE WORKER ADJUSTMENT AND RETRAINING NOTIFICATION ACT (WARN)

- I. **POLICY:** This policy has been removed and may be viewed in the Rapid Response Policy under the WIOA category on the [WSD Policy Website](#).
- II. **Operational Guidance:** There is no operational guidance.

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## RAPID RESPONSE

- I. **POLICY:** This policy has been revised and may be viewed in the Rapid Response Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Rapid Response Policy for detailed policy. Operational Guidance is forthcoming.

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## YOUTH INCENTIVES

- I. **POLICY:** This policy has been incorporated into the Youth Program Policy and may be viewed under the WIOA category on the [WSD Policy Website](#).
- II.. **OPERATIONAL GUIDANCE:** Refer to the Youth Program Policy for detailed policy. The following is intended as **guidance and clarification**.

Incentives can be provided to youth during participation and follow-up if the provision of incentives identified on the youth's Individual Service Strategy. Incentives are offered to induce the youth to work toward achievement of a specific goal or goals. In order for an incentive to be effective, participants must:

- be aware of the existence of such incentive, and
- understand the terms and standards of its award to improve the likelihood of success and lead to a successful outcome or achievement of grant performance measures.

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## PROGRAM PERFORMANCE REPORTING REQUIREMENTS

- I. **POLICY:** This policy has been removed and incorporated in the WIOA Performance Reporting Requirements Policy and be viewed on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## PERFORMANCE MEASURES

- I. **POLICY:** This policy has been revised and may be viewed in the WIOA Performance Reporting Requirements Policy under the WIOA Category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Performance Measures policy for detailed policy. The following is intended as **guidance and clarification**.
  - A. **Adult, Youth and Dislocated Worker Performance Measures**

To document that your participant has earned a Measurable Skill Gain, collect the following:

1. **Achieving at least one education functioning level:**  
Compare the participant's pre-test with the participant's post-test. Keep copies of all tests.

States may report EFL gains for people who exit a program below the postsecondary level and enroll in postsecondary education and training during the program year. A program below the postsecondary level applies to participants enrolled in a basic education program. (They exit and do not have a HS diploma or its equivalent and enroll in Postsecondary during the program year) Keep documentation showing they have enrolled in Postsecondary education including basic education programs.

2. **Attainment of secondary school diploma or equivalent:**  
Obtain copy of the High School diploma or equivalent
3. **Secondary or Postsecondary transcript/report card:**  
Secondary – keep a copy of the transcript or report card for one semester showing the participant is passing  
Postsecondary – keep copies of the appropriate transcript or report card
4. **Established milestones such as successful completion of OJT or one year of an apprenticeship program**  
*Must document substantive skill development that the participant has achieved*
  - i. Can use satisfactory or better progress report from an employer or training provider
  - ii. Progress reports may include training reports on milestones completed as the individual masters the required job skills, or steps to complete an OJT or apprenticeship program
  - iii. Increases in pay resulting from newly acquired skills or increased performance – documentation from the employer
5. **Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skill as evidenced by trade-related benchmarks, such as knowledge-based exams**  
Obtain copy of the exam that was passed

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## PROGRAM PARTICIPATION AND EXIT UNDER COMMON MEASURES

- I. **POLICY:** This policy has been removed.
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## WIOA DATA SOURCES

- I. **POLICY:** This policy has been removed and incorporated in the WIOA Performance Reporting Requirements Policy and be viewed on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## REPORTING DIFFERENCES

- I. **POLICY:** This policy has been removed and may be viewed in the WIOA Performance Reporting Requirements Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## DATA ELEMENT VALIDATION

- I. **POLICY:** This policy has been removed.
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## QUALITY CONTROL

- I. **POLICY:** This policy has been revised and may be viewed under WIOA on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Quality Control Policy for detailed policy. The following is intended as **guidance and clarification**.

### **Technical Assistance and Continuous Improvement**

There are several options to improve quality of WIOA requirements. These options include but are not limited to the following:

A peer review to improve quality for all areas of WIOA requirements. This provides the ability to correct data and can serve as a learning tool for providers.

Mini-Technical Assistance and Training (TAT) sessions are available to any service provider who wants or needs technical assistance.

Taking part in the monthly Program Manager technical assistance webinars.

New Case Manager training is provided periodically by WIOA staff to acquaint case managers with program, fiscal and data requirements related to the above functions.

Requests for technical assistance can be made to program managers or reporting staff.

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## FISCAL SYSTEM DESIGN

- I. **POLICY:** This policy has been removed.
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## COST PRINCIPLES, ALLOWABLE COSTS AND UNALLOWABLE COSTS

- I. **POLICY:** This policy has been revised and may be viewed under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Cost Principles, Allowable Costs and Unallowable Costs policy for detailed policy. The following is intended as **guidance and clarification**.

All costs must comply to Uniform Guidance 2 CFR Part 200 and 2 CFR Part 2900; DOL Exceptions to 2 CFR Part 200.

Applicable OMB cost principles, ETA grant regulations, and the terms of the subgrant agreements must be followed in determining the reasonableness, allowability, and allocability of costs. Only allowable costs may be charged to the grant, and no grant may pay for more than its fair share of the costs (allocability). The service provider must determine what costs incurred by the organization are allowable.

Costs can be either direct or indirect; however, they must be treated consistently. The service provider should have either a written Cost Allocation Plan or an approved Indirect Cost Rate.

Accounting records must be supported by source documentation such as invoices, purchase orders, paid bills, time and attendance records, contract documents, agendas for travel, etc. Source documentation is the proof that costs charged to WIOA are, in fact, allowable and allocable to the grant. This source documentation must be attached and available for review.

Disallowed costs must be repaid with non-Federal funds. However, if the organization reported stand-in costs during the program year of the disallowed cost, they may be able to substitute stand-in costs for the disallowed cost.

Stand-in costs are non-Federal costs that may be substituted for disallowed grant costs. To be considered and accepted as stand-in costs they must come from the same year as the costs that they are proposed to replace; must be allowable costs that were actually incurred for the benefit of the WIOA funded program and paid by a non-ETA fund source; and must be recorded and documented in the organizations account system.

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## CASH MANAGEMENT

- I. **POLICY:** This policy has been revised and may be viewed under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Case Management Policy for detailed policy. The following is intended for **guidance and clarification**.

- A. **Cash Requisitions**

The form templates can be found on the WIOA website at <http://wsd.dli.mt.gov/wioa/wioa-forms>

There is a separate form for each of the following programs WIOA Adult, WIOA Youth and State Displaced Homemaker.

Complete the form by using your Agency's Financial Reports. The financial report back-up documentation must be kept with copies of the submitted cash request forms and be available for review during monitoring.

The cash request may be a reimbursement amount or an estimated amount. Reimbursement is the preferred method of payment. If you are requesting additional funds for your immediate cash needs, the time between receipt and disbursement of funds should be minimal. In both cases, if the agency has earned program income those funds should be used immediately before requesting funds from the State.

The cash request forms must be signed or emailed by an authorized signature.

- B. **Authorized Signature Forms**

The WIOA Fiscal Officer will send out the authorized signature form to the Service Providers yearly for the current year contract. If your Agency's staff has changed during the contract period – please notify the State and complete a new form with the new updated signatures.

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## EXPENSE GUIDELINES

- I. **POLICY:** This policy has been revised and may be viewed in the Cost Principles, Allowable Costs and Unallowable Costs Policy under the WIOA category on the [WSD Policy Website](#).
  
- II. **OPERATIONAL GUIDANCE:** The guidance is now combined with Cost Principles, Allowable Costs and Unallowable Costs.

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## PROGRAM INCOME

- I. **POLICY:** This policy has been removed.
- II. **OPERATIONAL GUIDANCE:** There is no operational guidance.

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## EXPENDITURE REPORTING

- I. **POLICY:** This policy has been revised and may be viewed in the Service Provider Reporting and Audit Requirements Policy under the WIOA category on the [WSD Policy Website](#).
  
- II. **OPERATIONAL GUIDANCE:** The guidance is now combined with Program and Fiscal Reporting.

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## GRANT AGREEMENT CLOSEOUT

- I. **POLICY:** This policy has been revised and may be viewed in the Service Provider Reporting and Audit Requirements Policy under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** The guidance is now combined with Program and Fiscal Reporting.

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## AUDITS AND RECORD RETENTION

- I. **POLICY:** This policy has been removed and may be viewed in the Service Provider Reporting and Audit Requirements Policy under the WIOA category and the Records Retention Policy under the Division Management Services category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Operational Guidance for Record Retention.

Contact the Reporting Manager prior to destroying any client files.

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## LOST OR STOLEN/FORGED CHECKS

- I. **POLICY:** This policy has been revised and may be viewed under the WIOA category on the [WSD Policy Website](#).
- II. **OPERATIONAL GUIDANCE:** Refer to the Stolen-Forged Check Policy for detailed policy. The following is intended as **guidance and clarification**.
  - A. **For State Service Providers:**  
Follow the steps outlined in the Lost, Stolen or Forged Check Policy.
  - B. **For Non-State Service Providers:**  
Non-state service providers must have a policy in place that addresses lost, stolen or forged checks. If the service provider has a situation where they have a stolen or forged check that is funded with WIOA, the agency must contact Workforce Services Division immediately.

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## MANAGEMENT INFORMATION SYSTEM REQUIREMENTS

- I. **POLICY:** This policy has been removed.
- II. **OPERATIONAL GUIDANCE:** Operational Guidance is forthcoming.

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## STAFF CHANGES – MWORKS INACTIVATION

- I. **POLICY:** This policy has been removed.
- II. **OPERATIONAL GUIDANCE:** Operational guidance is forthcoming.

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