

REGION 12 RWDB/CEO MEETING

ATTACHMENT "A"

Location: Western Iowa Tech Community College

Date: 9/22/16

PRESENT - RWDB MEMBERS				ABSENT - RWDB MEMBERS			
Neal Adler	X	Dan Moore		Neal Adler		Dan Moore	X
John Hamm	X	Brenda Noll-Norvell	X	John Hamm		Brenda Noll-Norvell	
Janet Hansen	X	James O'Donnell	X	Janet Hansen		James O'Donnell	
Bridget Hoefling	X	Judy Peterson	X	Bridget Hoefling		Judy Peterson	
		Dr. Robert Rasmus	X			Dr. Robert Rasmus	
Craig Levine	X	Marcia Rosacker	X	Craig Levine		Marcia Rosacker	
Teresa Miller	X	Jeff Simonsen	X	Teresa Miller		Jeff Simonsen	

PRESENT - CEO MEMBERS				ABSENT - CEO MEMBERS			
Craig Anderson	X	Mark Monson	X	Craig Anderson		Mark Monson	
Tom Brouillette		Robert Paulsrud		Tom Brouillette	X	Robert Paulsrud	X
Pete Groetken	X	Jeff Simonsen	X	Pete Groetken		Jeff Simonsen	

PRESENT		PRESENT	
Shawn Fick – Job Training Partners	X	MacKenzie Reiling – Iowa Workforce Development	X
Janet Gill – Job Training Partners	X	Jackie Stellish – Job Corps	X
Lori Knight – Job Training Partners	X	Heather Hennings – United Way of Siouxland	X
Duane Kraayenbrink – Job Training Partners	X	Erin Volk – Western Iowa Tech Community College	X
Jennifer Conley – Job Training Partners	X	Tito Parker – Western Iowa Tech Community College	X
Pamela Woolridge (ESL/ELL) – Ex-Officio	X	Christine Kennedy	X
Jean Logan(CAAS) – Ex-Officio	X		

- 1. Call to Order & Roll Call – RWDB @ 4:00pm / CEO @ 4:02pm**
- 2. Approval of Agenda – RWDB & CEO**
- 3. Approval of Meeting Minutes – May 12, 2016 RWDB Minutes – RWDB; May 12, 2016 CEO Minutes – CEO; June 14, 2016 Joint RWDB/CEO Teleconference Minutes – RWDB & CEO; August 22, 2016 RWDB Executive Committee Teleconference Minutes – RWDB**
- 4. New Business:** ALICE – Asset Limited, Income Constrained, Employed information – Heather Hennings, President of United Way of Siouxland; RWDB/CEO Admin Budget 2016-2017 – RWDB & CEO; Approval of Training Programs – RWDB Electromechanical Specialist – Western Iowa Tech Community College, Electromechanical Technician – Western Iowa Tech Community College, Train & Test in just 1 day for a Class A CDL–Northwest Iowa Community College; Previously Approved Training Programs by Executive Committee - Emergency Medical Technician – Western Iowa Tech Community College, Video & Media Production – Western Iowa Tech Community College; RWDB Letter of Support – America’s Promise Jobs Proposal; RWDB Ex Officio Resignation – Mary Ott; RWDB Resignation – Geri Johnson; Chief Elected Officials – RWDB Appointment/Application for the Board – CEO; Gateway to College – Janet Gill
- 5. Old Business:**
- 6. IowaWORKS Region 12 Managers’ Report:** Shawn Fick
- 7. RWDB Chair Report:** Bridget Hoefling; JD-NEG Monitoring Report, QA Monitoring Report
- 8. Policy/Field Memo Updates: Summary**
- 9. WIOA Updates:**
- 10. Reports from Individual RWDB/CEO Members**
- 11. Report from State Representative**
- 12. Adjournment**

Motions Taken - Decisions Reached

APPROVALS	1ST	2ND	Unanimously Approved
2. September 22, 2016 Agenda – RWDB	Teresa Miller	Neal Adler	X
2. September 22, 2016 Agenda – CEO	Craig Anderson	Mark Monson	X
3a. May 12, 2016 RWDB Minutes – RWDB	Marcia Rosacker	Janet Hansen	X
3b. May 12, 2016 CEO Minutes – CEO	Craig Anderson	Pete Groetken	X
3c. June 14, 2016 Joint RWDB/CEO Teleconference Minutes– RWDB	John Hamm	Marcia Rosacker	X
3c. June 14, 2016 Joint RWDB/CEO Teleconference Minutes – CEO	Craig Anderson	Pete Groetken	X
3d. August 22, 2016 RWDB Executive Committee Teleconference Minutes – RWDB	Teresa Miller	Marcia Rosacker	X
4b. RWDB/CEO 2016-2017 Admin Budget of \$2,155.01 – RWDB (PY15 Carryover of 344.99 + PY16 of \$2,155.01 for total of \$2,500)	Marcia Rosacker	Judy Peterson	X
4b. RWDB/CEO 2016-2017 Admin Budget of \$2,155.01 – CEO (PY15 Carryover of 344.99 + PY16 of \$2,155.01 for total of \$2,500)	Craig Anderson	Mark Monson	X
4c. Training Programs – RWDB			
Electromechanical Specialist – Western Iowa Tech Community College	James O'Donnell	Janet Hansen	X (Abstained - Dr. Rasmus & Neal Adler)
Electromechanical Technician – Western Iowa Tech Community College	James O'Donnell	Marcia Rosacker	X (Abstained - Dr. Rasmus & Neal Adler)
Train & Test in just 1 day for a Class A CDL– Northwest Iowa Community College	Teresa Miller	Janet Hansen	X
4h. RWDB Appointment (Christine Kennedy) – CEO	Mark Monson	Pete Groetken	X
4h. RWDB Ex-Officio Members (MacKenzie Reiling & Adam Dahlke) – CEO	Mark Monson	Pete Groetken	X
13. Adjournment-RWDB @ 5:20pm	Marcia Rosacker	Janet Hansen	X
13. Adjournment-CEO @ 5:20pm	Jeff Simonsen adjourned the CEOs		

Meeting Notes

Reports/Discussion:

Jeff Simonsen, CEO Chair administered the Oaths of Office for the RWBD installation of Craig Levine and Brenda Noll-Norvell as new board members. Jeff Simonsen swore in the reappointments of Marcia Rosacker, John Hamm, Dr. Robert Rasmus, Judith Peterson, Bridget Hoefling and Janet Hansen.

Introductions of members and guests took place.

Heather Hennings discussed the “ASSET LIMITED, INCOME CONSTRAINED, EMPLOYED” (ALICE) study which is designed to pinpoint community needs. Woodbury is one of the top counties in Iowa with citizens in need of help. This study can be used in and by our legislators. The report can be found at <http://www.unitedwayalice.org/>.

The RWDB/CEO 2016-2017 Admin budget was discussed. The boards agreed to approve for PY16 \$2,155.01 to be added to the PY15 carryover amount of \$344.99 to have an even total of \$2,500 for the RWIB/CEO Admin Budget.

Shawn Fick reviewed the Electromechanical Specialist training program. Jim O'Donnell asked about the entry level specification. It is a basic training that is a career pathway with an average wage of \$16.80 up to \$31.75. Shawn discussed the "Train & Test in Just One day for a Class A CDL" which is training for individuals who let their license lapse. Shawn discussed the Emergency Medical Technician Certificate program which is a requirement for firefighters and that Title 1 has a low income person interested in this program because the City of Sioux City will be hiring firefighters soon. For the Video & Media Production training program there is lady who has the potential to work with television stations in Sioux City.

Dr. Erin Volk explained the letter of support for the America's Promise Jobs Proposal. The proposal focuses on providing Advanced Manufacturing training for individuals who are un-and under-employed.

Geri Johnson, RWDB member, resigned June 30, 2016 because she took on a new job and other challenges. Mary Ott, RWDB Ex-Officio resigned because she took a different position in another area. MacKenzie Reiling with IowaWORKS Greater Siouxland and Adam Dahlke with Iowa Vocational Rehabilitation Services were discussed as new RWDB Ex-Officios replacing Sara Dean. The CEOs discussed Christine Kennedy as the replacement for Geri Johnson.

Tito Parker discussed the Gateway to College program. Students can earn high school and college credits.

Shawn Fick reviewed the IowaWORKS Region 12 Managers' Report including budget information. At a future meeting there could be a request to move Dislocated Worker funds to Adult funds. The NEG funds would help Dislocated Workers.

The JD-NEG and QA monitoring reports were discussed by Shawn.

Janet Gill reviewed the summary on policy and field updates.


Marcia Rosacker stated Well's is hiring and doing well.

Teresa Miller stated October is National Manufacturing month. Teresa is working with WITCC to have the mobile learning lab go to a couple high schools to learn about skills trades.

Mark Monson talked about a Programs Committee for rehabbing people leaving jail and veterans. The CF Industries construction is finishing up and is dropping about 100 employees a week.

There was no State Representative report.

RESPECTIVELY SUBMITTED



Judith Peterson
Date: 9/22/16

"The Mission of our group is to fully engage the Region 12 community in strengthening the economy through workforce development making it a better place to live, work, and grow."

U.S. Department of Labor



Employment and Training Administration
REGION V

John C. Kluczynski Building
230 South Dearborn Street, 6th Floor
Chicago, IL 60604-1505

<http://www.doleta.gov/regions/reg05>

August 12, 2016

Ms. Beth Townsend, Director
Iowa Workforce Development
1000 E. Grand Avenue
Des Moines, IA 50319-0209

Dear Ms. Townsend:

Thank you for the submittal of the Program Years (PY) 2016 and 2017 expected levels of performance for the Workforce Development Activities under Title I of the Workforce Innovation and Opportunity Act (WIOA) and the Wagner Peyser Act, as amended under Title III of WIOA, and for the State's participation in the formal performance negotiations which took place on August 9, 2016.

This letter serves as official notification advising Iowa of the agreed-upon PY 2016 and 2017 negotiated levels of performance. A copy of the negotiated performance levels is enclosed with this letter.

This official notice also constitutes a modification to the Unified State Plan. The State must ensure that the PY 2016 and 2017 negotiated levels of performance are included in the State's official copy of its Unified Plan. Any published copy of the Unified Plan on the State's Website must also include these negotiated levels of performance. ETA will incorporate these negotiated performance levels into the Regional and National Office copies of the Unified State Plan. Lastly, the State must enter these negotiated levels of performance into the State Plan Portal.

We look forward to working with you and your staff as Iowa continues to implement its Unified Plan. If you have any questions, please contact me or Arlene Charbonneau, the Iowa Federal Project Officer, at 312-596-5491 or Charbonneau.Arlene@dol.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "Christine Quinn". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Christine Quinn
Regional Administrator

Enclosure – PY 2016 and 2017 Negotiated Levels of Performance

cc: Marketa Oliver, Division Administrator

**Workforce Development Activities (Title I of WIOA)
Wagner Peyser Act (as amended by Title III of WIOA)**

Negotiated Levels of Performance for PY 2016 and 2017

Iowa

Workforce Development Activities

<u>Adult</u>	PY 2016	PY 2017
Employment Rate 2 nd Quarter after Exit	64.0%	65.0%
Employment Rate 4 th Quarter after Exit	63.0%	64.0%
Median Earnings 2 nd Quarter after Exit	\$4,000	\$4,100
Credential Attainment within 4 Quarters after Exit	65.0%	65.0%
<u>Dislocated Worker</u>		
Employment Rate 2 nd Quarter after Exit	65.0%	66.0%
Employment Rate 4 th Quarter after Exit	65.0%	66.0%
Median Earnings 2 nd Quarter after Exit	\$5,500	\$5,600
Credential Attainment within 4 Quarters after Exit	63.0%	63.0%
<u>Youth</u>		
Employment or Placement Rate 2 nd Quarter after Exit	70.0%	70.0%
Employment or Placement Rate 4 th Quarter after Exit	67.0%	67.0%
Credential Attainment within 4 Quarters after Exit	58.0%	58.0%

Wagner Peyser Act

<u>Wagner Peyser</u>		
Employment Rate 2 nd Quarter after Exit	63.0%	63.0%
Employment Rate 4 th Quarter after Exit	64.0%	65.0%
Median Earnings 2 nd Quarter after Exit	\$4,500	\$4,600

State of Iowa
Iowa Workforce Development
Workforce Center Administration
150 Des Moines Street
Des Moines, IA 50309

ATTACHMENT "C"

This is an application for INITIAL approval to participate as an Eligible Training Provider under the Workforce Investment Act (WIA) of 1998, Public Law 105-220, Department of Labor, Employment and Training Administration, 20 CFR Parts 652-671. Approval as an Eligible WIA Training Provider does not represent an endorsement or accreditation of the programs offered by the Eligible Training Provider.

INSTRUCTIONS: After completing and signing the application form below, Training providers should submit it to their regional Workforce Development office. Addresses for regional Workforce Development offices can be found at <http://www.iwd.state.ia.us/wia/regioninfo.html>.

PART I - GENERAL INFORMATION

Date Of Application November 4, 2016

Name of Institution Western Iowa Tech Community College

Address 4647 Stone Ave

Telephone Number 712 274 6400 Fax 712 274 6412

Location of Training Facility Sioux City, IA 51106

Name of Chief Executive Officer Terry A. Murrell, PH.D.

Program Contact Information Darin Moeller

Telephone Number 712 274 6400 x 1278 Email Address darin.moeller@witcc.edu

Is your organization a post-secondary educational institution eligible under the Higher Education Act (HEA) or registered under the National Apprenticeship Act. (NAA)? Yes No

PART II (a) - PROGRAM INFORMATION

Please provide a brief description of each program for which you are applying, including:

A. Program Name Welding Technology Associate of Applied Science

B. A brief program description This program, the Associate of Applied Science in Welding Technology, prepare students for a career in the manufacturing, fabrication, and structural steel industries. The program includes hands-on application of SMAW, GMAW, Oxy Fuel FCAW, GTAW and Robotic Weld processes, using ferrous and non-ferrous metals, and evaluated to AWS D1.1 structural steel code or other codes (ASME sect. IX API 1104, etc.) as appropriate. The program's curriculum is aligned to AWS national standards for entry level welders and includes safety, blueprint reading, and welding procedure specifications. Upon successful completion of all competencies, students will have the opportunity to test for numerous AWS and ASME certifications. Students may incur additional fees for testing for these certifications.

C. Length of Program 4 semesters Total Credit Hours Required 65 hrs

D. What is the method of delivery?

Classroom Computer-Based CD-Rom Distance (TV/Satellite/Cable) Self-Study (Correspondence)

Web-Based (Internet) URL Address _____

PROGRAM COSTS:

1a. Tuition (per credit hour) \$143

1b. Tuition (Out-of-State, per credit hour) \$144

2. Supplies, including tools, uniforms, etc. \$900

3. Fees, including laboratory, student rentals, deposits \$ 32 per credit hour

4. Miscellaneous charges _____

5. Average cost per year for program \$6138

6. Total cost to complete this program \$12,275

Please use additional pages if necessary.

PART II (b) - ELIGIBLE TRAINING PROVIDER GENERAL INFORMATION

If you are a post-secondary education institution eligible under the Higher Education Act (HEA) or registered under the National Apprenticeship Act (NAA), please place a checkmark next to the description that applies to your institution and submit only these two (2) pages for initial certification. Prior to the expiration of this initial certification, you will receive instructions regarding subsequent eligibility.

Post-Secondary Educational institution registered under HEA
 Registered under the National Apprenticeship Act (NAA)

CERTIFICATION

I, Terry A. Murrell certify that I am the President of the training
Name Title

institution named herein and further certify that the information contained in this application is true and correct. All supporting documentation is true and factual.

[Signature] Date 11/7/16

If you are a Training Institution applying for program certification, applications must be forwarded to Regional Workforce Investment Board for consideration. Non-RWIB approved applications received directly from Training Institutions to the address below will not be processed and with no further notification.

FOR RWIB USE ONLY

Date Received by RWIB _____ Date Approved by RWIB _____

Application Date _____ Date RWIB Submitted to IWD _____

Region #: _____

Authorized RWIB Signature _____

The RWIB-approved form must be sent to: Michaela Rotert, Iowa Workforce Development, 150 Des Moines Street, Des Moines, IA 50309

All other applicants must complete the following information and Part III - Part VI:

1. Date Institution was founded: 1966

2. Number of years the institution has been in continuous operation: Since 1966

3. Is the institution accountable to a policy or governmental board? Yes No

If so, what board? Board of Directors WITCC Merged Area 12 Please attach a member list.

4. Does each program lead to a degree or certification? Please Explain: yes

PART III - FINANCIAL INFORMATION

1. Is the institution financially sound and able to satisfy potential liabilities arising from its participation? Please enclose a certified financial statement and the institution's most recent auditor's report.

2. Attach a schedule of fees for in-state and out-of-state tuition, if applicable.

3. Does the institution have a refund policy for the unused portion of tuition, fees, and other charges in the event the enrollee withdraws or discontinues at any time prior to completion?

Please state your refund policy: See attached.

PART IV - FACILITIES

Describe your facility. Provide narrative that describes at a minimum a description on each of the following:

- *The number of buildings
- *Availability of suitable training equipment
- *Handicap accessibility
- *Compliance with fire, building and safety codes, including off-campus locations or other sites

PART V - ORGANIZATION OF THE TRAINING INSTITUTION

Please provide a description of each of the following:

- *The number of persons employed
- *Current number of students enrolled
- *Class size to instructor ratio
- *School Calendar
- *Availability of Transcripts

PART VI - INITIAL PERFORMANCE INFORMATION REQUIRED ON EACH PROGRAM

1. Program completion rate for all individuals participating in the applicable program conducted by the training provider.

A program completer is a person who has:

- a. obtained a certificate, degree or diploma; or
- b. received credit for completing the program; or
- c. received a passing grade in the program; or
- d. finished the required curriculum of the program

Which criteria listed above (a) - (d) do you use to define a completer? (a) (b) (c) (d)

2. Percentage of all individuals who obtained unsubsidized employment. The training provider must specify:

- *how the information was obtained
- *what percentage of all student's data was collected
- *what year is being used

3. Average hourly wages of all students who obtained unsubsidized employment for this program: _____

YOU'RE INVITED

To join the Association of Iowa Workforce Partners at their Legislative Breakfast on

TUESDAY, JANUARY 31, 2017

at the Iowa State Capitol from 7:00 to 9:00 a.m. in the Legislative Dining Room



This is an opportunity to learn more about the important work happening locally to move people into high-quality careers through a broad range of services and supports – from Adult Basic Education to on-the-job training, skill assessment and development, resume building, job search, supports for individuals with disabilities, and much more.

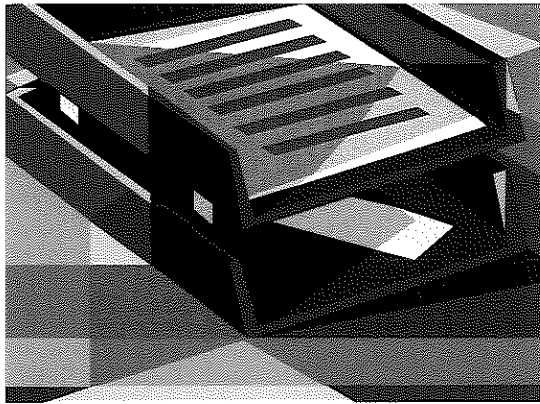
Please join the Association of Iowa Workforce Partners as they explain the importance of:

- » Local Sector Partnerships
- » WIOA Implementation
- » Core Partner Collaboration
- » Adult Basic Education, GAP Tuition Assistance, and PACE Funding
- » And Much More!

Please register your attendance online at <http://bit.ly/17AIWPLegis> so we can have a nametag available for you.



****This is not a lobbying event. This event is strictly for educational purposes.****

JTP DIRECTOR'S REPORT*November 17, 2016***Annual Fall Career Fair**

The annual career fair held in conjunction with the partners in Region 12 is scheduled for this Thursday November 17th from 10am-3pm. There are more than fifty (50) businesses already registered for the event with more coming in every day. This event normally draws in about seventy-five (75) companies looking to fill positions in and around the region. If you or anyone you know is interested in attending the fair as a business we do still have some openings though they are filling fast. Please contact us at your earliest opportunity for registration information.

The continued uptick in the economy as a whole is challenging businesses to find candidates that meet even their most basic skill requirements. Positions that were often seen as low paying are now paying above average wages in order to meet their needs. It is not unusual to see fast food restaurants advertising starting wages at \$10 an hour or higher. Although these are not necessarily livable wages, the overall move in wages indicates a greater investment in the labor supply to find and retain good, qualified employees especially those that companies spend significant resources on to bring up to their individual skill levels.

Dislocated Worker Benefits

One of the most beneficial options available in the state and specifically in our region is the use of apprenticeships and the two Department of Labor Grants that are available to assist with this. The Jobs-Driven National Emergency Grant (JD-NEG) and the Sector Partnership National Emergency Grant (SP-NEG) can provide businesses with up to 6 months of On-the-Job (OJT) training to up-skill individuals that are likely a good fit for an industry though they lack the necessary skills to be able to do the work needed to be productive. Our region currently has eight (8) people enrolled in the JD-NEG with four (4) of them either completing or currently working under an OJT with regional employers. If you know of a dislocated worker or business that might be interested in hiring a dislocated worker for six months to train them and test out their abilities please refer them at your earliest opportunity.

National Apprenticeship Week

The week of November 14th-20th is National Apprenticeship Week. Region 12 is celebrating with an event at the Western Iowa Tech Community College Campus. The local celebration is on Wednesday November 16th from 9:00 to 11:00 am in rooms L416-417. This collaboration between WITCC, IowaWORKS Greater Siouxland, and The Siouxland Initiative serves as an opportunity to showcase the benefits of having a Registered Apprenticeship. Richard Madden with the Office of Apprenticeship, Jon Murad with IowaWORKS Greater Siouxland, and Jim Bergenske with WITCC and Job Training Partners will be presenting information to business and industry interested in learning how apprenticeships are very cost effective for businesses and employees. There are events planned for each region of the state and last week the Governor's Office designated this National Apprentice week during a formal proclamation signing ceremony at the Capital. If you are interested in attending please let us know at your earliest opportunity as a light breakfast is being served.

AIWP Legislative Breakfast

The annual Association of Iowa Workforce Professionals (AIWP) legislative breakfast is scheduled for Tuesday, January 31, 2017 at the Iowa State Capitol from 7:00 to 9:00 am in the Legislative Dining room located on the lower level of the building. This annual event is an opportunity for workforce development and the region 12 partners to provide information to the legislators about the issues they are going to be voting on during the session. AIWP does not lobby though we do answer questions about the issues that legislators will be considering when they cast their votes as to if and what level to fund programs. Efforts of this breakfast have helped to bring about funding for the Adult Education and Literacy (Title II of WIOA) at the state level which previously had not been funding in Iowa. Invitations are sent out to the all of the state level senators and representatives asking them to stop by and meet with their constituents. As members of the region it can be an excellent opportunity for the RWDB and CEO members to show their support for workforce issues and talk with legislators so they know where you stand on issues.

Performance Measures

Once again the annual performance measures for the year need to be reviewed and potentially approved pending your decision. As in years past the state has negotiated the numbers with the Department of Labor (DOL) for the state as a whole. Individual regions must in turn agree to performance measures by which all of the programs will be judged. The RWDB has one of two options available when determining what the rates will be for the region. First, the region can decide to approve the numbers as negotiated by the state and moving forward as we have done in years past. Second, the region can vote to try and negotiate separately with DOL in hopes of having lower numbers. However, unless there is a significant change in the region such as an extremely large business closure or natural disaster which is likely to affect the entire region, the odds are the performance measures would end up being significantly higher through independent negotiations compared to those agreed upon with the state. It is up to the RWDB though as to how you would like to proceed.

Terry E. Branstad, Governor

Kim Reynolds, Lt. Governor

Beth Townsend, Director

IOWA
WORKFORCE
DEVELOPMENT

ATTACHMENT "F"

Smart. Results.

November 2, 2016

Dr. Terry Murrell
President, Administration A511
Western Iowa Tech Community College
4647 Stone Avenue
PO Box 5199
Sioux City, IA 51102-5199

FINAL FALL MONITORING REPORT

Dear Dr. Murrell:

I am in receipt of Western Iowa Tech Community College's (WITCC's) responses to my Fall 2016 monitoring report. The original finding(s), their response, and my final decision, are attached to this letter. Please note that the scope of a financial monitoring review is significantly less than a financial and compliance audit. Therefore, we cannot express an opinion as to whether the financial statements reviewed present fairly the financial position for the period reviewed nor whether all disbursements were made in compliance with the terms of the contract(s) monitored. I would like to thank Western Iowa Tech Community College for their assistance.

Any questions regarding this letter may be directed to Margaret Wilcox at (515) 281-5340.

Sincerely,



Kelly Taylor
Bureau Chief, Financial Management
Iowa Workforce Development

cc: Jeff Simonsen, CEO Chair
Bridget Hoefling, RWDB Chair
Shawn Fick, Co-Director IowaWORKS Greater Siouxland
Todd Spencer, IWD



Reporting

Financial Status Reports (FSRs) are reviewed to determine if expenditures and revenues reported can be reconciled to the books of account. There were no findings noted.

Comment #1

The monitor noted that the obligation/expenditure excel spreadsheet maintained by the WIOA Staff and Staff Accountant had documentation that was not placed in the correct cell and that clients were listed who were no longer being served. It is important that this spreadsheet is accurate as the information is used for planning purposes, to verify that obligations are accurate, and that payments are within the obligations established.

Currently, the WIOA Staff enters the Customer Name, Program, Counselor, and Service. The Staff Accountant enters the monthly expenditures within the spreadsheet when payments are made. Each month, the WIOA staff review this spreadsheet to verify that all obligations/payments are documented within the correct cells and that the figures are up-to-date and accurate.

It was determined that this process should be revised as follows. The WIOA staff will enter all the information (including expenditure requests) at the time of the client review. The Staff Accountant will review the spreadsheet for accuracy based on the accounting record payments. Any discrepancy questions/comments will be discussed as necessary.

Grantee Response

None needed at this time.

IWD Determination

The monitor will review the obligation spreadsheet during the next monitoring visit.

Participant Payments

A total of forty-two (42) payments were included in the sample. The review included determining if costs were charged to the appropriate program, completeness of time and attendance records, adequate levels of obligations, and whether payments were calculated accurately. Also, a determination is made as to whether costs incurred are consistent with the Region 12's Customer Service Plan (CSP). There were no findings noted.

Comment #2

The monitor noted two files (Shilo T. and Nicole S.) that were missing payment back-up documentation. The monitor was provided with the documentation and a copy was placed in the individual files.

Grantee Response

None needed at this time.

Staff Overhead Payments

Staff overhead claims were sampled in order to ensure that payments are reasonable, allowable and allocable to the programs charged. There were no findings noted.

Cost Limitations

Cost limitations are reviewed to determine if there are any possible compliance issues in relation to meeting the budget requirements as imposed in federal regulations and the terms of the contracts. There were no findings noted.

Other Issues from IWD Questionnaire

There are other tests conducted during the visit that cannot be appropriately classified with the sections outlined above. There were no findings noted.

Date: November 11, 2016

To: RWDB Board

Re: Summary of State & Federal Guidance Documents

TEGL #5-15 – Change to Trade Adjustment Act (TAA) Operating Instructions

Corrected wording on training timelines, credentialing requirements, approved training programs, work status, and training plan modifications.

TEGL #8-16 – Supporting Unemployment Insurance (UI) Beneficiaries Seeking Postsecondary Education or Training

Policy on strategies that provide unemployed individuals with access to longer term training and education programs. Encourages referrals and assistance with applications for training resources including the Federal Pell Grant, the GI Bill, and other Veterans Education Assistance programs.

TEN #13-16 – 2017 Health Insurance Marketplace Open Enrollment Period

Workforce Centers and staff strategies to inform clients of Healthcare Coverage options and enrollment deadlines, including the effective use of e-mails and brochures.

TEN #14-16 – Release and Availability of Eleven Briefing Papers and Two New Reports from the WIA Adult and Dislocated Worker Programs Gold Standard Evaluation

Release of preliminary results on the impact of Adult and Dislocated Worker programs as it relates to credential completion, employment, and earnings potential. A comparison of limited vs. intensive services was conducted as well as delivery cost comparisons for various types of services. A final report of evidence and findings is expected to be completed in 2018.

TEN #15-16 – Release and Availability of Report: Process Study of the U.S. Department of Labor's "Pay for Success" Pilots

Report on pilot projects that focus on increasing employment and reducing recidivism among newly release ex-offenders. One of the studies focused on young male parolees in Massachusetts and the other pilot focused on adult ex-offenders in New York. The report is designed to identify challenges and promising practices as it relates to service delivery for these unique populations.

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION TAA
	CORRESPONDENCE SYMBOL OTAA
	DATE September 23, 2016

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 5-15,
CHANGE 1

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE LIAISONS
AFFILIATE AMERICAN JOB CENTER MANAGERS
COMPREHENSIVE AMERICAN JOB CENTER MANAGERS
STATE WORKFORCE ADMINISTRATORS
STATE AND LOCAL WORKFORCE BOARD CHAIRS AND
DIRECTORS
STATE LABOR COMMISSIONERS
RAPID RESPONSE COORDINATORS
TRADE ADJUSTMENT ASSISTANCE LEADS

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: Change 1 to the Trade Adjustment Assistance (TAA) Operating
Instructions for Implementing the Amendments to the Trade Act of 1974
Enacted by the Trade Adjustment Assistance Reauthorization Act of 2015
(TAARA 2015)

1. **Purpose.** To provide corrections to the TAA Operating Instructions for Implementing the Amendments to the Trade Act of 1974, issued in Training and Employment Guidance Letter (TEGL) No. 5-15 dated September 4, 2015.
2. **References.**
 - TEGL No. 5-15, *Operating Instructions for Implementing the Amendments to the Trade Act of 1974 Enacted by the Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015)*
3. **Background.** In TEGL No. 5-15, the Department issued technical guidance to states to implement the TAARA 2015. This change clarifies information given in TEGL No. 5-15 and its Attachment A.
4. **Corrections.** The corrections to TEGL No. 5-15, and its Attachment A include:
 - Correction of an error under the "Income Support (TRA)" section on page 6 in TEGL No. 5-15. The word "consecutive" should be removed from the sentence

RESCISSIONS None	EXPIRATION DATE: Continuing
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in the fourth bullet. The corrected sentence should read: “Payment of up to 13 weeks of Completion TRA if the workers must undertake additional weeks of education to complete a program of TAA training and earn a degree or industry-recognized credential.”

- Correction of an error under the “Older Worker Wage Supplement (RTAA)” section on page 7 in TEGL No. 5-15. The second mention of the phrase “full-time” should be removed from the sentence in the fourth bullet. The corrected sentence should read: “Workers may qualify for RTAA while working full-time or part-time if they are also enrolled in TAA approved training.”
 - Correction of an error under the “Secondarily-Affected Worker Certification Criteria” section on page A-19 in TEGL No. 5-15, Attachment A, Section B.2. The letter (c) should be removed from the first sentence of the statutory citation and replaced with (b). The corrected sentence should read: “(b) *ADVERSELY AFFECTED SECONDARY WORKERS.*”
 - Correction of an error under the “Training Benchmarks to Meet Completion TRA Eligibility Requirements” section on page A-38 in TEGL No. 5-15, Attachment A, Section C.5.1. The word “since” should be removed from the second sentence in the fifth paragraph in the section, and replaced with the word “or.” The corrected sentence should read: “Two substandard reviews indicate that the worker will not be able to meet both benchmarks and must result in a modification to the training plan or the worker will no longer be eligible for Completion TRA and a modification of the training plan may be the only way the worker can complete training.”
 - Correction of an error under the “Individual Eligibility” section on page A-69 in TEGL No. 5-15, Attachment A, Section H.3, Paragraph 3(b). The phrases “(full-time) TAA approved training program” and “TAA approved training program (either part-time or full-time)” should be included in the second sentence. The corrected sentence should read: “Similar to the statutory requirement in Section 236(g) of the 2009 Act, the 2011 Act, and the 2015 Act that TRA benefits may only be paid when enrolled in a (full-time) TAA approved training program, eligibility for RTAA benefits based on part-time employment and participation in training requires enrollment in a TAA approved training program (either part-time or full-time) as well.”
5. **Action Requested.** Cooperating State Agencies (CSAs) are requested to review the above information and attachment and disseminate the corrections to appropriate staff.
6. **Inquiries.** CSAs should direct all inquiries to the appropriate ETA Regional office.

7. **Attachment.**

Attachment A. Corrected and Revised Version – Operating Instructions for
Implementing the Trade Adjustment Assistance Reauthorization Act of 2015
(TAARA 2015)

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION UC/Approved Training and WIOA
	CORRESPONDENCE SYMBOL OUI/DUIO
	DATE September 23, 2016

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 8-16

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE LIAISONS
STATE AND LOCAL WORKFORCE BOARDS
AMERICAN JOB CENTERS
STATE UNEMPLOYMENT INSURANCE DIRECTORS

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: Supporting Unemployment Insurance Beneficiaries Seeking Postsecondary Education or Training

1. **Purpose.** To encourage the public workforce system to consider policies and strategies that support Unemployment Insurance (UI) beneficiaries who are seeking postsecondary education and training opportunities, including longer-term training and education programs.

2. **References.**

- The Workforce Innovation and Opportunity Act (WIOA) of 2014 (Public Law (Pub. L. 113-128)) Title I and Title III;
- The Workforce Investment Act (WIA) of 1998 (Pub. L. 105-220), Title I and Title III;
- Section 3304(a)(8) of the Federal Unemployment Tax Act (FUTA);
- Section 211(e)(1) of the VOW to Hire Heroes Act of 2011 (Pub. L. 112-56) (VOW Act);
- Section 479A of the Higher Education Act of 1965 (Pub. L. 89-329);
- Section 560 of the National Defense Authorization Act for Fiscal Year 2016 (Pub. L. 114-92)
- Training and Employment Guidance Letter (TEGL) No. 3-15, *Guidance on Services Provided through the Adult and Dislocated Worker Program under the Workforce Innovation and Opportunity Act (WIOA or Opportunity Act) and Wagner-Peyser, as Amended by WIOA, and Guidance for the Transition to WIOA Services*;
- Training and Employment Notice (TEN) No. 11-09, *Supporting UI Claimant Training Needs in the One-Stop Career Center*;
- TEN No. 32-08, *Guidance on 2009-2010 FAFSA: New Needs Determination to Include WIA Dislocated Workers*;
- TEGL No. 2-09, *Approved Training for the Unemployment Insurance Program Recommended Policies*;
- TEGL No. 21-08, Change 1, *Pell Grants and the Payment of Unemployment Benefits to Individuals in Approved Training*;

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- TEGL No. 21-08, *Pell Grants and the Payment of Unemployment Benefits to Individuals in Approved Training*;
- Unemployment Insurance Program Letter (UIPL) No. 14-16 Change 1, *The National Defense Authorization Act for Fiscal Year 2016 (Pub. L. 114-92) - Provisions that Affect the Unemployment Compensation for Ex-servicemembers Programs*
- UIPL No. 14-16, *The National Defense Authorization Act for Fiscal Year 2016 (Pub. L. 114-92) - Provisions that Affect the Unemployment Compensation for Ex-servicemembers Programs*

3. **Background.** This TEGL was developed in coordination with the Higher Education Student Supports Inter-agency Task Force (Task Force). The Task Force is a coordinated effort among multiple Federal partners, including the Department of Labor (Department), and the Departments of Education and Health and Human Services, to support students' opportunities and success by increasing take-up and alignment of existing supports and resources for low-income students, which may include unemployed or underemployed individuals. A key component of the Task Force's activities is promoting greater awareness and understanding of available educational and related supports, including Federal student aid and other means-tested programs, among groups that may be unaware of such eligibility. For example, the most common explanation among Pell Grant-eligible students for not completing a Free Application for Federal Student Aid (FAFSA) is that they did not think they were eligible. Similarly, many unemployed veterans who sought training assistance under the VOW to Hire Heroes Act of 2011 were unaware that they were already eligible for other veteran's education benefits.

Providing recipients of UI benefits with reemployment and training services continues to be one of the core missions of the public workforce system. In 2009, President Obama encouraged unemployed American workers to consider education and training opportunities to develop their skills while the economy was recovering. In support of the President, the Department issued a series of TEGLs strongly encouraging states to help beneficiaries in pursuing training and education while receiving UI benefits. This guidance also identified flexibilities and resources that may help unemployed workers apply for Pell Grants and other Federal student aid programs both within and outside the workforce system.

Although the economic conditions today are substantially different from 2009, many of the factors that contributed to the President's encouragement of states and unemployed workers to consider education and training as a pathway to reemployment are even more relevant today. By 2020, nearly two thirds of all jobs will require some postsecondary education or training. Additionally, numerous studies have linked post-secondary education to financial self-sufficiency and economic mobility. Allowing UI beneficiaries to continue to receive benefits while enrolled in education/training programs, which the states may do under Section 3304(a)(8), FUTA, may help to reduce reliance on loans and increase enrollment intensity, which is associated with increased rates of program completion and ultimately help these individuals succeed in the labor market.

4. **New Commitments Under the Workforce Innovation and Opportunity Act.** WIOA, which became law on July 22, 2014, supersedes titles I and II of WIA, amends the Wagner-Peyser Act, and amends the Rehabilitation Act of 1973. The WIOA Joint Rule for Unified and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions was made publically available on June 30 2016, and published in the Federal Register on August 19, 2016. This guidance reflects the final regulations and the statutory provisions of WIOA.

For many UI beneficiaries, enrollment in the WIOA Dislocated Worker program may be an appropriate and sufficient means of obtaining the career and/or training services necessary for reemployment. However, WIOA also recognizes that some beneficiaries may require assistance beyond that provided by WIOA-authorized programs, and includes new provisions to help define and formalize the role of the public workforce system in assisting customers to identify public education and training assistance.

In the context of serving UI beneficiaries, Section 305 of WIOA specifically amended Section 7(a)(1) of the Wagner-Peyser Act to clearly identify “unemployment insurance claimants” among the groups to be served and Section 7(a)(3)(G) to acknowledge the importance of referring UI claimants to education and training opportunities:

providing unemployment insurance claimants with referrals to, and application assistance for, training and education resources and programs, including Federal Pell Grants under subpart 1 of part A of title IV of the Higher Education Act of 1965 (20 U.S.C. 1070a et seq.), educational assistance under chapter 30 of title 38, United States Code (commonly referred to as the Montgomery GI Bill), and chapter 33 of that title (Post-9/11 Veterans Educational Assistance), student assistance under title IV of the Higher Education Act of 1965 (20 U.S.C. 1070 et seq.), State student higher education assistance, and training and education programs provided under titles I and II of the Workforce Innovation and Opportunity Act, and title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.).

WIOA includes a similar provision in Section 134(c)(2)(A)(xi) which identifies the career services provided across WIOA’s partners to eligible adults and dislocated workers to include, “assistance in establishing eligibility for programs of financial aid assistance for training and education programs that are not funded under this Act.” This provision is further explained in the WIOA final regulations at 20 CFR 678.430. Information about career services is also provided in TEGL No. 3-15.

Many American Job Centers (AJCs) currently assist UI beneficiaries and other unemployed workers with educational financial aid applications. Others may need to establish policies, provide desk aids, conduct staff training, or upgrade web sites and materials. Some online resources that may support these efforts are listed below:

- The Department of Education’s *Financial Aid Toolkit* provides Federal student aid information and outreach tools for counselors, college access

professionals, nonprofit mentors, and others. AJC staff providing career and training services to UI beneficiaries and other job seekers are strongly encouraged to familiarize themselves with these resources to help inform their education and career counseling (<https://financialaidtoolkit.ed.gov/tk/>).

- The *Financial Aid Toolkit* includes a downloadable flyer with additional information about the FAFSA. AJCs are encouraged to consider posting and distributing this flier and other FAFSA information at their local offices, websites, and through its routine mailings and outreach to AJC customers (<https://financialaidtoolkit.ed.gov/resources/college-scorecard-fafsa-flyer.pdf>).
- The Department of Veterans Affairs (VA), in collaboration with the Department of Defense, developed <https://www.ebenefits.va.gov/>. The eBenefits site is a web portal that provides service members, veterans, their families, and authorized caregivers with a single sign-on central access point to clinical and benefits information. The site contains numerous resources that may be useful to frontline staff in assisting veterans in applying for various education and benefit programs. UIPL 14-16 provides additional information about provisions in the National Defense Authorization Act for Fiscal Year 2016 that may affect the UI eligibility of individuals receiving VA administered post 9-11 education assistance.
- The Department sponsors www.mynextmove.org and www.mynextmove.org/vets. These online interactive tools help job seekers and students to learn more about their career options. My Next Move has tasks, skills, salary information, education requirements, and more for over 900 different careers. My Next Move for Veterans provides the same information as My Next Move but also includes specialized tools for veterans. These online tools are valuable resources that can help inform and guide education and career choices.

5. Financial Aid and Flexibility for Unemployed Workers. As described in further detail in TEN No. 11-09, unemployed workers have two opportunities to benefit from the flexibility built into the Federal financial aid process.

- In 2009, the FAFSA, a common application used across several Federal aid programs, introduced a question to identify dislocated workers who may qualify for a reduced family contribution. The FAFSA continues to include this question and the FAFSA definition of dislocated worker aligns closely with the WIOA definition of dislocated worker.

The FAFSA online help page available at <https://fafsa.ed.gov/help.htm> provides the following information for the dislocated worker question (question 102 on the paper FAFSA):

In general, a person may be considered a dislocated worker if he or she:

- *is receiving unemployment benefits due to being laid off or losing a job and is unlikely to return to a previous occupation;*
- *has been laid off or received a lay-off notice from a job;*
- *was self-employed but is now unemployed due to economic conditions or natural disaster;*
- *is the spouse of an active duty member of the Armed Forces and has experienced a loss of employment because of relocating due to permanent change in duty station;*
- *is the spouse of an active duty member of the Armed Forces and is unemployed or underemployed, and is experiencing difficulty in obtaining or upgrading employment; or*
- *is a displaced homemaker. A displaced homemaker is generally a person who previously provided unpaid services to the family (for example: a stay-at-home mom or dad), is no longer supported by the spouse, is unemployed or underemployed, and is having trouble finding or upgrading employment.*

Except for the spouse of an active duty member of the Armed Forces, if a person quits work, generally he or she is not considered a dislocated worker even if, for example, the person is receiving unemployment benefits.

- For unemployed workers whose income level or unemployment status does not qualify them for an adjustment to their expected family contribution under the FAFSA, financial aid officers, as authorized by section 479A of the Higher Education Act, are able to use their “professional judgment” to adjust the applicant’s expected family contribution or the cost of attendance based on special circumstances, such as becoming unemployed and claiming UI benefits. Use of professional judgment is at the discretion of the financial aid officer and varies by institution. To seek an adjustment under this professional judgment authority, individuals must first accurately complete the FAFSA application, indicating income for the base year. After the application has been reviewed, the individual may appeal for professional judgment using the educational institution’s appeal process.

6. **Training Policies that Support Greater Enrollment Intensity and Continuity within Postsecondary Education and Training Programs.** Successful completion of postsecondary education/training is related to both enrollment intensity (full-time or part-time) and the continuity, or consecutiveness, of attendance. Section 3304(a)(8), FUTA, requires that state law include, as a condition of employers in the state receiving credit against the Federal unemployment tax, that:

Compensation shall not be denied to an individual for any week because he is in training with the approval of the State agency (or because of the application to any such week in training, of State law provisions relating to available for work, active search for work, or refusal to accept work);

This provision was added to Federal law to ensure that certain state UI eligibility criteria, such as a requirement that a claimant actively seek work, are not an impediment to the individual improving his or her prospects of employment by participating in training. All state laws contain provisions implementing this FUTA requirement. TEGL No. 21-08 and TEGL No. 2-09 strongly encouraged states to revisit and expand their training policies to respond to economic conditions. States are again strongly encouraged to review their UI training policies and consider expanding approved training to include longer term education and training. The Department notes that increased access to longer-term training and education is valuable to employers who face challenges in getting workers with the skills they need in a tight job market and to the economy broadly.

TEGL No. 2-09 identifies several recommended policies regarding payment of UI during approved training. Given the increasing number of occupations for which a post-secondary certificate or degree is essential, states should consider implementing policies that support such programs on a permanent basis. These policies include, but are not limited to:

- ***Post-Secondary Education.*** In many cases, programs in community colleges and other post-secondary institutions are specifically designed to lead to occupations in fields such as criminal justice, health care, information technology, and numerous others. Similarly, many four-year programs may lead to a degree that qualifies the individual for specific occupations, such as teaching or nursing. Some states have a policy of not approving certain postsecondary education programs even when they lead to a specific occupation. The Department encourages states to consider approval of such programs. Additionally, states are encouraged to include flexibility within their approval policies to allow, under certain circumstances, the approval of academic courses leading to a degree or certificate that may not lead to specific occupations. These approvals should be made on an individual basis and generally only where the completion of the degree or certificate is expected to increase the individual's opportunities for reemployment.
 - ***Limits for Completing Training.*** In some states, approval of training is limited to courses that can be completed within a relatively short period of time, such as 12 months. Given that many certificate and degree programs require a minimum of two to four years for completion, such limitations can prevent approval of a significant number of valuable educational and other training opportunities that lead to good jobs. The Department recommends that any such time limitation be lengthened. Specifically, state policy should provide for approval if, at a minimum, the individual expects to complete training or a degree or certificate course within two years.
7. **Action Requested.** State Workforce Agencies, State and Local Workforce Development Boards, and AJCs are encouraged to examine their service delivery strategies for UI beneficiaries and other unemployed workers and make adjustments where necessary to ensure that these customers receive appropriate application assistance for training and education resources. States are also encouraged to explore UI eligible training/education program

policies that help support longer-term training and education programs that position these individuals for high-quality jobs.

8. **Inquiries.** All inquiries should be directed to the appropriate regional office.

TRAINING AND EMPLOYMENT NOTICE	NO. 13-16
	DATE November 4, 2016

TO: STATE WORKFORCE AGENCIES
STATE WORKFORCE ADMINISTRATORS
STATE WORKFORCE LIAISONS
STATE AND LOCAL WORKFORCE BOARD CHAIRS AND DIRECTORS
STATE LABOR COMMISSIONERS
AMERICAN JOB CENTERS
RAPID RESPONSE COORDINATORS
ALL EMPLOYMENT AND TRAINING ADMINISTRATION GRANTEES

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: 2017 Health Insurance Marketplace Open Enrollment Period

- Purpose.** This notice is to inform the public workforce investment system about available health insurance coverage options during the Health Insurance Marketplace Open Enrollment period beginning on November 1, 2016 and ending on January 31, 2017, and to offer potential opportunities to refer job seekers and workers to information about how and where to sign up for coverage.
- Background.** Open Enrollment is the period of time during which eligible individuals can enroll in a Qualified Health Plan through the Health Insurance Marketplace. Individuals can enroll directly through the Marketplace online at www.HealthCare.gov or by calling the Marketplace Call Center at **1-800-318-2596/1-855-889-4325 (TTY)**.

For health coverage starting on January 1, 2017, individuals must choose a plan by December 15, 2016. Individuals enrolling between December 16, 2016 and January 31, 2017 will have their coverage start at a later date.

Under the WIOA authority 134(c)(2)(A), local areas are providing information to clients about Federally-funded programs, such as Medicaid, Temporary Assistance for Needy Families (TANF), or Supplemental Nutrition Assistance Program (SNAP). Providing information about Open Enrollment for the Marketplace is similar and allowable under WIOA 134(c)(2)(A).

To prepare the public workforce system for Open Enrollment, the Employment and Training Administration circulates a yearly Training and Employment Notice (TEN) (See TEN 02-13, TEN 13-14, and TEN 15-15). These resources and other educational materials are available for workforce development professionals who connect individuals to supportive services to assist them with referring clients to the Marketplace during Open Enrollment. Frontline staff and managers in the public workforce system serving job seekers and workers are encouraged to inform clients about the Marketplace options and refer individuals to the Marketplace and/or organizations that can help assist clients with enrollment.

**EMPLOYMENT AND TRAINING ADMINISTRATION
U.S. DEPARTMENT OF LABOR
WASHINGTON, D.C. 20210**

3. **Options Available.** The Department of Labor suggests that state workforce agencies (SWAs), state and local workforce development boards (WDBs), American Job Centers (AJCs) and grantees share information with job seekers and workers about Marketplace coverage options available during Open Enrollment, as appropriate. Below are potential opportunities the public workforce system can consider to raise awareness:

- Emphasize the Importance of Health Coverage During Intake: AJC intake staff are strongly encouraged to integrate information about the availability of affordable health coverage options through the Marketplace during the orientation and/or intake process.
- Email to Jobseekers: AJCs are strongly encouraged to distribute emails to AJC clients as a standalone email, part of newsletter distribution, alerts, or where appropriate. We strongly recommend sending this email to AJC job seekers the week of December 12th and the week of January 23rd, leading up to two key enrollment deadlines. Suggested language is attached.
- Update Web Sites:
 - Display widgets and badges that link to the Health Insurance Marketplace.
 - Post brochures and fact sheets about the Marketplace on the Web site; and
 - Display Marketplace logo as computer screensaver and/or welcome screen. Widgets, badges, and logos in English and in Spanish can be found at <http://marketplace.cms.gov/outreach-and-education/widgets-and-badges.html>;
- Update Call Centers: Provide recorded messages with information referring job seekers and workers to the 24/7 Marketplace Call Center number, **1-800-318-2596** or **1-855-889-4325** for the hearing impaired, or www.HealthCare.gov, while callers are on hold. Two suggested messages could read as follows:

“It’s Open Enrollment at HealthCare.gov. That means, if you—or someone you care about—needs health insurance, now is your chance to find a plan that fits your needs and budget. Visit www.HealthCare.gov.”

“Did you know that last year more than 8 out of 10 people who signed up for health coverage at HealthCare.gov qualified for financial help to make their coverage more affordable? Most people found plans available for under \$75 dollars a month. Visit www.HealthCare.gov or call 1-800-318-2596 to learn more.”
- Share Resources with Job Seekers and Workers (more information on how to access resources to share is attached):
 - Distribute Marketplace brochures and fact sheets to clients;
 - Display Marketplace posters in prominent places;
 - Dedicate computer(s) in a resource room for enrollment signup and post signage to highlight availability of the “Health Care Corner”; and
 - Connect jobseekers and workers in need of insurance to any of the following:

- Local Navigators or Assisters, found at:
<https://localhelp.healthcare.gov/#intro>
- www.HealthCare.gov for general marketplace information
- Marketplace toll free number **1-800-318-2596/1-855-889-4325 (TTY)** to speak with a trained customer service representative 24 hours a day, 7 days a week.

In addition to the above options, the public workforce system can also partner with other groups seeking to provide information on affordable health care options:

- **Coordinate Outreach Activity with Navigators and Assisters:** Connect with local navigators and assisters to create a pipeline for referrals for clients who need health insurance. Navigators may also reach out to AJCs to give presentations about the Marketplace and to provide one-on-one enrollment assistance. To find a Navigator or assister near you, visit <https://localhelp.healthcare.gov>.
 - **Contact HHS Regional Office:** HHS hosts ten Regional Offices that directly serve state and local organizations. The Regional Offices are a good resource for staying up-to-date on ACA outreach efforts in the community and to facilitate connections with local navigators. To contact an HHS Regional Office, please visit <http://www.hhs.gov/about/agencies/regional-offices/index.html>.
4. **Inquiries.** Information about the Marketplace is available at www.HealthCare.gov and questions can be directed to a trained customer representative at the Marketplace Call Center (**1-800-318-2596/1-855-889-4325 TTY**).
 5. **Attachments.** Suggested email language for jobseekers and Marketplace resources.

TRAINING AND EMPLOYMENT NOTICE	NO. 14-16
	DATE November 8, 2016

TO: AFFILIATE AMERICAN JOB CENTER MANAGERS
 COMPREHENSIVE AMERICAN JOB CENTER MANAGERS
 DEPARTMENT OF LABOR EMPLOYMENT AND TRAINING
 ADMINISTRATION REGIONAL ADMINISTRATORS
 STATE GOVERNORS
 STATE LABOR COMMISSIONERS
 STATE WORKFORCE INNOVATION AND OPPORTUNITY ACT LIAISONS
 STATE WORKFORCE ADMINISTRATORS WORKFORCE INNOVATION
 AND OPPORTUNITY ACT
 WORKFORCE DEVELOPMENT BOARD LOCAL CHAIRS
 WORKFORCE DEVELOPMENT BOARD STATE CHAIRS
 WORKFORCE DEVELOPMENT BOARD STATE EXECUTIVE DIRECTORS
 WORKFORCE DEVELOPMENT BOARD LOCAL EXECUTIVE DIRECTORS

FROM: PORTIA WU /s/
 Assistant Secretary

SUBJECT: Release and Availability of Eleven Briefing Papers and Two New Reports from the WIA Adult and Dislocated Worker Programs Gold Standard Evaluation: *Providing Public Workforce Services to Job Seekers: Implementation Findings on the WIA Adult and Dislocated Worker Programs*, and *Providing Public Workforce Services to Job Seekers: 15-month Impact Findings on the WIA Adult and Dislocated Worker Programs*

1. **Purpose.** Since 2008, the Employment and Training Administration (ETA) has overseen the development and execution of a rigorous random assignment evaluation of the Workforce Investment Act (WIA) Adult and Dislocated Worker Programs, referred to as the WIA Gold Standard Evaluation. This Training and Employment Notice (TEN) announces the release and availability of 11 briefing papers; a report from the evaluation's implementation analysis; and the interim report from the evaluation's impact analysis. *Providing Public Workforce Services to Job Seekers: Implementation Findings on the WIA Adult and Dislocated Worker Programs* and 11 related briefing papers describe program operations, providing the context for understanding the evaluation's impact results. *Providing Public Workforce Services to Job Seekers: 15-month Impact Findings on the WIA Adult and Dislocated Worker Programs* presents the interim impact findings from the evaluation, 15 months after participants were randomly assigned into the study.
2. **References.**
 - TEN 37-09, The Workforce Investment Act Gold Standard Evaluation, released on April 6, 2010

- TEN 13-15, Update on the Workforce Investment Act Adult and Dislocated Worker Programs Gold Standard Evaluation and Announcement of the Availability of a New Research Report, released on October 15, 2015
- The Workforce Innovation and Opportunity Act (WIOA)
- The Workforce Investment Act of 1998
- *Providing Services to Veterans Through the Public Workforce System: Descriptive Findings from the WIA Gold Standard Evaluation*, released in October 2015
- *Evaluating National Ongoing Programs: Implementing the WIA Adult and Dislocated Worker Programs Gold Standard Evaluation*, released in January 2016

3. **Background.** In June 2008, ETA awarded a contract to Mathematica Policy Research, working with subcontractors Social Policy Research Associates, MDRC, and the Corporation for a Skilled Workforce, to conduct a rigorous impact evaluation of the WIA-funded Adult and Dislocated Worker Programs. As explained in TEN 37-09, the WIA Gold Standard Evaluation will inform the general public, program administrators, the Office of Management and Budget, and Congress about the effectiveness of WIA-funded intensive and training services relative to more limited services. Specifically, the outcomes of study participants eligible to receive WIA-funded training services will be compared to the outcomes of those eligible to receive WIA-funded intensive and core services but not training, while the outcomes of those eligible to receive WIA-funded intensive services will be compared to the outcomes of those eligible to receive only WIA-funded core services.

The evaluation also will provide information about the cost of the range of services provided at American Job Centers (AJCs) and an analysis of the cost of the programs relative to the positive impact, if any, of program services. Further, the evaluation will provide substantial detail about what contributed to the observed employment and earnings outcomes and estimated impacts, providing context and possible explanations for the evaluation results and the services' cost effectiveness.

WIOA supersedes WIA. Although WIOA makes some important changes to the public workforce development system, WIOA leaves intact important elements of the service-delivery structure of the Adult and Dislocated Worker programs; services will continue to be accessed at AJCs, a similar basic set of services will be offered, and customers eligible for training will continue to choose the training they view as most appropriate, with some parameters. Thus, under WIOA, it continues to be the case that this evaluation will provide details about what works, for whom and under what conditions.

4. **WIA Gold Standard Evaluation Description.** The evaluation uses a random assignment design to examine the impact of Adult and Dislocated Worker Programs as implemented by 28 randomly selected local workforce investment areas (LWIAs) operating nationwide. The random selection of LWIAs ensures that the customers in the study were representative of all the workforce investment system customers across the continental United States and not just those in LWIAs that agreed to participate in the study. As a result of the LWIAs' participation, the evaluation's results will be generalizable to the workforce development system.

With few exceptions (for example, veterans), all eligible adults and dislocated workers in the local areas were randomly assigned to one of three research groups defined by the WIA-funded services that they could receive: 1) all WIA services, including training, 2) core and intensive services but not training, and 3) core services but not intensive or training services. Throughout, all individuals enrolled into the study were able to receive services, including training, from other sources in their communities. Random assignment took place just after customers were found eligible to receive WIA-funded intensive services. In total, approximately 34,000 individuals were enrolled into the study between November 2011 and April 2013. Study participants eligible for intensive and training services received those services before the implementation of WIOA.

The evaluation has three major components: an implementation analysis, an impact analysis, and a cost-benefit analysis. Detailed information on the implementation of the WIA-funded intensive and training services, the subject of the implementation report and the briefing papers, was collected through interviews with state and local staff, observation of service provision, and focus group discussions with program participants. Information about the impacts measured 15 months after random assignment into the study is the subject of the interim impact report. The outcome data was collected through individual participant follow-up surveys.

5. **Publication Description.** The implementation report and the briefing papers discuss the services offered by the Adult and Dislocated Worker Programs and the contexts in which they operated, highlighting service-delivery features that might have a direct bearing on customers' employment and other outcomes. The report provides lessons learned about the configuration and provision of core, intensive, training, supportive and follow-up services. The report also presents implications for the workforce system under WIOA.

The interim impact report presents estimated impacts of intensive and training services based on customers' experiences during the 15 months after they were found eligible for intensive services and randomly assigned into one of the study's three research groups. The study does not have a control group. Rather, it is testing the impact of the availability of different service intensities relative to lower-tiered services also offered at participating AJCs. Specifically, the report presents interim impact estimates of: 1) the availability of intensive services relative to the availability of core services; 2) the availability of training services relative to the availability of intensive services; and 3) the availability of training services relative to the availability of core services.

6. **Key WIOA-Related Implementation Analysis Findings.** As a result of the study design, the findings from the implementation analysis are representative of what would be observed in LWIAs across the country. Findings from the evaluation suggest that many of the changes made by WIOA add flexibility for local areas to continue in directions they were already heading. For example:
 - **Blending core and intensive services into one tier.** WIOA combines core and intensive services into a single "career services" tier. The distinction between core and intensive

services was often not clear across study local areas, an indication that many areas already combined them when the data were collected in 2012 and 2013, or are well set to do so under WIOA.

- **Eliminating the sequence of services.** WIOA removes the requirement that customers receive core and intensive services (now career services) prior to receiving training services. Many LWIAs in the study, especially those that focused on providing services to customers already interested in training, moved customers through core and intensive services quickly. For example, some LWIAs counted the interactions with the AJC greeter and determination of training eligibility as the core and intensive services required for training eligibility.
- **Emphasizing credentials.** WIOA increases the emphasis on the importance of customers obtaining employer-recognized credentials. It adds a performance measure to account for customers who achieve a credential or make progress toward a credential. However, even under WIA, this was already considered important by some LWIAs that were either making training approval contingent on the possibility of attaining a credential or providing a larger Individual Training Account for programs that led to credentials.
- **Collocating Employment Service (ES) and WIA programs.** WIOA requires WIA and ES staff to be colocated at AJCs. In 2012 and 2013, all but one of the 19 states with LWIAs participating in the study already required that both WIA and ES staff be physically located at comprehensive centers, at least part time. In addition, in most LWIAs, the same resource room served both ES and WIA customers, reflecting grassroots expectations that collocation of resources would improve services to clients.

WIOA also responds to barriers that study sites were facing in offering work-based training. For example, staff in the study sites noted that one reason the local areas did not fund more customer placements in on-the-job and customized training was that it was difficult to obtain businesses' participation. WIOA decreases the costs to businesses by allowing local areas to fund employer-specific training for employed workers (incumbent training) and authorizes increased wage reimbursements for on-the-job training. WIOA also allows local formula funds to be spent on transitional jobs, another type of work-based training. These changes might lead to more opportunities for customers to participate in work-based training.

7. **Key Impact Analysis Findings.** As a result of the study design, the findings from the impact analysis are representative of what would be observed in LWIAs across the country. The information presented in this report was collected only 15 months after random assignment into the study. As such, these results are considered interim. A significant portion of those in the study group eligible to access all WIA-funded services was still participating in training activities at the time, thus, these early estimates are expected to differ from the impact estimates derived from the final outcomes to be collected 30 months after random assignment. The interim findings include:

- The availability of WIA funding for training increased the proportion of customers who enrolled in a training program. Full-WIA customers were 13 percentage points more likely to enroll in training during the 15 months after random assignment than core-and-

intensive customers and 16 percentage points more likely to enroll in training than core customers. Both core-and-intensive and core-only customers were able to access training from other providers in their communities.

- Full-WIA customers received more supportive services (either funded by WIA or from other sources in the community) than core-and-intensive customers, who in turn received more than core customers. Although 21 percent of the full-WIA group received supportive services, only 12 percent of the core-and-intensive group and 5 percent of the core group received them.
- Full-WIA customers were more likely to participate in training than core-and-intensive customers in the first four quarters after random assignment. Rates of training participation were highest, and differences across study groups in these rates were largest, in the first quarter after random assignment and then generally declined over time.
- Trainees in the full-WIA group were more likely than trainees in the core group to complete a training program and more likely to earn a credential. Seventy-one percent of full-WIA trainees completed a training program, and 54 percent of full-WIA trainees received a credential. In comparison, only 56 percent of core-only trainees completed a training program and 41 percent of core-only trainees received a credential.
- The availability of WIA-funded intensive services increased earnings by \$600 (17 percent) and increased employment compared to those eligible to receive core services only.
- Customers receiving core and intensive services earned more than those receiving only core services in each of the five quarters.
- The availability of both WIA-funded training and intensive services increased the likelihood of being employed (a six percentage point increase) in the fifth quarter after random assignment, although higher average earnings were not observed.
- The impact of the availability of training on Quarter 5 earnings was negative but not statistically significant. The lack of positive earnings outcomes in this quarter was expected since those in training have less time for employment, and was likely impacted by a significant number of customers still in training (approximately 17 percent) or just recently completing it. It is too soon to judge the impact of training.
- The availability of training or intensive services did not affect total annual household income, receipt of public assistance, reported health, health insurance coverage, or criminal activity within the 15-month period.
- The estimated impact of the availability of both WIA-funded intensive and training services was significantly positive for men, customers who were white and non-Hispanic, and customers who did not work in the year before random assignment. Estimates suggest a positive impact of intensive services relative to core services.
- The estimated earnings impacts were generally similar across local areas with high and low unemployment rates. There is some suggestive evidence that intensive services might be more effective in high-unemployment local areas.
- Nearly one-half of full-WIA customers (able to receive training) did not participate in training in the 15 months after random assignment, suggesting unmet demand.
- Earnings impacts patterns are broadly similar for dislocated workers and adults.

The evidence on intensive services is encouraging. Study findings suggest that intensive services, when offered as a standalone service without training, were effective at increasing earnings and employment. However, it is too soon to judge the effectiveness of the availability of training services. It is to be expected that participating in training would have a negative impact on employment and earnings in early quarters because customers enrolled in training have less time for employment. In fact, many of the study group participants eligible for training services were still in training in the fifth quarter or had only recently completed it. Likewise, it is too soon to judge whether the availability of both WIA-funded intensive and training services was more effective than the availability of core only services, in which case neither of these WIA-funded services was available.

The final report will provide more definitive evidence. It will discuss the estimates of the effectiveness of the programs based on follow-up data for a total of 30 months after random assignment. In addition to estimating the impact of the availability of WIA-funded intensive and training services relative to lower-tiered services, it also will examine whether any positive benefits of the services on earnings are large enough to cover the costs of the services.

8. **The Evaluation Report Timeline.** The Final Impact Report is scheduled to be released in early 2018.
9. **Inquiries.** For more information about this study, contact Eileen Pederson, Contract Officer's Representative, Office of Policy Development and Research, ETA at (202) 693-3647 or pederson.eileen@dol.gov. To view an abstract of these reports and to download the briefing papers, the implementation report, the interim impact report, the VSS report, or the report on the implementation of the evaluation, visit <http://wdr.doleta.gov/research/keyword.cfm>.

TRAINING AND EMPLOYMENT NOTICE	NO. 15-16
	DATE November 9, 2016

TO: STATE WORKFORCE AGENCY ADMINISTRATORS
STATE WORKFORCE ADMINISTRATORS WORKFORCE INNOVATION
AND OPPORTUNITY ACT
STATE WORKFORCE INNOVATION AND OPPORTUNITY ACT LIAISONS
WORKFORCE DEVELOPMENT BOARD STATE AND LOCAL EXECUTIVE
DIRECTORS
WORKFORCE DEVELOPMENT BOARD STATE AND LOCAL CHAIRS
AMERICAN JOB CENTER MANAGERS
ALL EMPLOYMENT AND TRAINING ADMINISTRATION GRANTEEES

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: Release and Availability of a Report: *Process Study of the U.S. Department of Labor's "Pay for Success" Pilots in Two States: Development of the Grant Applications and Initial Implementation*

- 1. Purpose.** To announce the release and availability of the research report: *Process Study of the U.S. Department of Labor's "Pay for Success" Pilots in Two States: Development of the Grants Applications and Initial Implementation.*

Background. In September 2013, the U.S. Department of Labor (DOL) awarded grants to two states to operate pilot projects using a Pay for Success (PFS) financing model which is thought to have the potential to promote innovation and to allow evidence-based practices to be scaled up, thus improving social or environmental outcomes for people and communities.

The PFS model used in the two DOL projects involves: private for-profit and philanthropic investors to cover the up-front costs of delivering an intervention; an intermediary organization to develop and manage the project; a "payor" (in this case a government agency) to reimburse investors and provide them with potentially significant returns if specific outcomes are met or exceeded, as determined by a rigorous evaluation; a service provider to deliver the interventions; and an independent validator to verify the outcomes.

The DOL grants, one awarded to the Massachusetts Executive Office of Labor and Workforce Development and the other to New York State Department of Labor, were each for approximately \$12 million. Both states also committed state funds to continue the pilots beyond the DOL grant period (which ends in 2017) and to measuring longer-term outcomes and impacts on individuals served. Both projects focus on increasing employment and reducing recidivism among newly released ex-offenders. The Massachusetts project targets young male parolees, while the New York pilot focuses on adult ex-offenders. Both projects

are using a random control trial (RCT) methodology, as required by DOL, to quantify participants' employment gains and reduction of days in prison, relative to that of controls, in order to determine the amounts that will be paid to investors.

This report is the first of two from a DOL-sponsored process study of the implementation of the two PFS pilots. The overall study, being conducted by Abt Associates, is designed to provide information on the PFS approach to policymakers and program administrators.

2. **Research Design and Analytical Approach.** This report documents the development of DOL's PFS pilots, including the grant application process and early implementation of the projects. The report is based on in-person interviews conducted in fall 2014 with the key partners involved in each PFS pilot, as well as reviews of grantee documentation and performance data that was reported to DOL. Key research questions included:
 - How were the PFS pilots designed, and what were the national and local contexts in which they were developed?
 - How did grantees identify, recruit, and maintain partnership organizations for their PFS pilots?
 - How was the PFS initiative managed and operated?
 - How was the PFS financing structure developed and operated?
 - How does the service delivery operate and what services were provided to participants?
 - What are the challenges and promising practices experienced by PFS grantees?
3. **Key Findings.** Preliminary observations regarding the development and early implementation of the two PFS pilots, as perceived by the respondents, are as follows:
 - **The support and influence of each state's Governor's Office, as well as other state leaders, was important in launching the initiative.** This leadership was viewed by the PFS partners as important in developing and launching the PFS projects, as it generated visible and influential support for the approach.
 - **Educating pilot partners about the PFS approach was a necessary part of the planning process.** Project partners needed to learn about various technically complex concepts and design issues, including, for example, defining and measuring the target outcomes to determine the effectiveness of the intervention, estimating budgetary savings that result from any improved outcomes, determining payment points and potential returns on investment, and designing and implementing rigorous evaluations.
 - **Carefully structured contracts and a strong management and communication process were needed to guide project organization and the PFS partnerships.** The partners in both states established detailed agreements or contracts specifying all aspects of the pilots, including: the service intervention and its cost, outcome measures and targets, the evaluation design, potential payouts for investors, and structures for oversight and day-to-day operations of the pilots.

- **While private capital remains the cornerstone of the PFS approach, partners reported the value of a diverse funding base.** Engaging the philanthropic community provided additional legitimacy and helped secure private investment for both pilots.
 - **Recognizing the need for rigorous evaluation was an important milestone that was eventually reached by both projects, but there have been some challenges in implementing these designs.** While the use of an experimental or quasi-experimental design was a required element of the DOL grant proposal, at the time of the proposal submissions, stakeholder understanding of the RCT methodology (and its justification) was limited. Over time, however, partners reported that they came to value the rigorous evaluation approach because it helped to maintain investors' confidence.
 - **Determining how to measure the outcomes of the service interventions and the potential budgetary savings associated with them was a difficult task.** Partners reported that determining future costs and budgetary savings required assumptions and estimations, not all of which could be accounted for, let alone accurately monetized. Each pilot has similar measures to gauge the success of its service intervention based on the RCT, but they use different methodologies to determine the budgetary savings, in part reflecting that there is not an established way to do this. Partners reported that it was important to reach consensus regarding the type of outcomes they expected the interventions could achieve, and then focus on how the outcomes would be measured.
 - **Establishing outcome targets that trigger payments to investors required significant time and negotiation.** Determining investor payouts was a complex, technical, and time-consuming part of the planning process, with both pilots taking similar, but distinct, approaches. Both pilots have sets of detailed formulas that specify under what circumstances and when payouts will be made to investors. The technical assistance provided by the Harvard Social Impact Bond Lab was particularly important for reaching consensus between the partners on this critical element of the PFS pilots.
4. **Publication Description.** The report documents the development of the pilots during the grant application period and the first approximately ten months of a multi-year operational period. This report examines early planning and operational experiences, including developing working partnerships and management structures, securing private and philanthropic capital and financing mechanisms, establishing the service intervention, setting up the evaluation design, and establishing outcome measures, outcome targets and payment amounts
5. **Inquiries.** To view an abstract of this publication, as well as to download the executive summary and full report, visit the ETA Research Publication Database Web site at: <http://wdr.doleta.gov/research/keyword.cfm>.