



PY 2020

Sub-recipient Handbook
on
Contract Compliance,
Program Guidance, and
Responsibilities



OUT-OF-SCHOOL YOUTH SERVICES

LOWER SHORE WORKFORCE ALLIANCE

Sub-recipient Handbook on Contract Compliance, Program Guidance, and Responsibilities

This guide is designed to provide you with comprehensive instructions for managing your program. Direct any questions to the Youth Program Manager at 410-341-3835. Thank you for your dedication to the youth in Somerset, Wicomico, and Worcester Counties. We look forward to working with you!

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ELIGIBILITY

To participate in the WIOA youth program, an individual must:

1. Be a U.S. citizen or non-citizen authorized to work in the U.S.;
2. Register for Military Selective Service (if applicable); and
3. Meet WIOA Out-of-School Youth eligibility criteria. Under the Workforce Innovation and Opportunity Act (WIOA) Section 129(a) (1) (B), an out-of-school youth is defined as an individual who is:
 - a. not attending any school (as defined under State law);
 - b. not younger than age 16 or older than age 24; and
 - c. one or more of the following:
 - i. A school dropout.
 - ii. A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter.
 - iii. A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is basic skills deficient or an English language learner.
 - iv. An individual who is subject to the juvenile or adult justice system.
 - v. A homeless individual (as defined in section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2(6))), a homeless child or youth (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act (42U.S.C. 11434a(2))), a runaway, in foster care or has aged out of the foster care system, a child eligible for assistance under section 477 of the Social Security Act (42 U.S.C. 677), or in an out-of-home placement.
 - vi. An individual who is pregnant or parenting.
 - vii. A youth who is an individual with a disability.
 - viii. A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment. The policy of the local board is that these are low income youth:
 1. with poor work history, no work history, or who have been fired from a job within the last six months prior to application, or who have never held a full-time job for more than 13 consecutive weeks;
 2. with an incarcerated parent or guardian; or
 3. who have a family history of substance abuse.

PARTICIPATION

Program Expenditures Prior to Participation

According to TEGL 21-16 “There are limited instances where WIOA youth funds may be expended on costs related to individuals who are not yet participants in the WIOA youth program. Youth funds can be expended on outreach and recruitment or assessment for eligibility determination (such as assessing basic skills level) prior to eligibility determination, but they cannot be spent on youth program services, such as the 14 program elements prior to eligibility determination.”

Defining a participant

In order for an applicant to become a participant, the following must occur:

1. Registration of the applicant in the Maryland Workforce Exchange (MWE);
2. eligibility determination;
3. an objective assessment;
4. development of an individual service strategy;
5. **and** receipt of one of the 14 WIOA Youth program elements.

Providers are responsible for all aspects of service delivery and case management for the participants, including: background checks which may be required, CASAS testing, contacting social service agencies, employers, educational institutions or other entities for verification documents, and registering participants in MWE.

1: Eligibility Determination

LSWA conducts a participant certification to determine WIOA eligibility. The certification is a verification of documentation between LSWA staff and the youth program applicant.

Each applicant should register in the Maryland Workforce Exchange (MWE), mwejobs.maryland.gov. If already registered, individuals should review their profile for accuracy. Prior to submitting a request for certification, the provider should collect all required documents and send the *entire* packet, including complete eligibility documentation, *Eligibility Statement* and *MWE Application Summary* to LSWA. In order to maximize efficiency, no individual will be certified or have an application for WIOA entered prior to registration in MWE and receipt of all necessary documentation. If the information sent is without all required documentation, such as CASAS testing results or Social Security card, the information will be returned and will not be reviewed until all the required information is sent together. This helps to prevent multiple emails in regard to an individual. All documentation should be submitted within 30 days of signed application date and be current and valid. Once reviewed, the Youth Program Specialist will contact the provider to inform them that the individual is ready for certification. After certification is complete, LSWA staff will notify the provider of the enrollment status of the youth applicant. Providers will be notified within one week of the certification whether the youth is eligible for WIOA services.

Allowable and required documentation is listed in the following three sections: a) requirements for all applicants, b) documents necessary to verify eligibility dependent on the criteria being met, and c) documentation necessary to meet data collection within the application.

a. FOR EACH APPLICANT	
Characteristic	Allowable Documentation
Citizen or Authorized to Work in the U.S.	Alien Registration Card indicating Right to Work (DHS/USCIS Forms I-551(Permanent Resident Card or Alien Registration Receipt Card), I-94 (Departure/Arrival Record), I94A, I-197 (U.S. Citizen I.D. Card), I-179 (Identification Card for Use of Resident Citizen in the U.S.), I-766 (Employment Authorization Document), Baptismal Certificate (If place of birth is shown), Birth Certificate, DD-214 (If place of birth is shown), Foreign Passport Stamped Eligible to Work (Unexpired), Hospital Record of Birth, Naturalization Certificate, Public Assistance Records, U.S. Passport or U.S. Passport Card (Unexpired), Native American Tribal Document, Voter Notification Card, Cross Match With Department of Vital Statistics
Selective Service Registrant	Selective Service Acknowledgement Letter, Status Information Letter, Registration Record/Card or Verification Form, print out via sss.gov, DD-214
School Status At Registration	School records , Dropout/Withdrawal Form
Age	Driver's license, baptismal record, birth certificate, DD-214, Federal, state or local identification card, passport, hospital record of birth, public assistance/social service records, School records or ID cards, work permit, cross match with Department of Vital Statistics, or tribal records

b. WHEN APPLICABLE	
Characteristic	Allowable Documentation
A school dropout	Applicable records from education institution (including High School Diploma or GED certificate, attendance records, transcripts, drop out letter, school documentation)
A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter	School records

b. WHEN APPLICABLE

Characteristic	Allowable Documentation
<p>A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is basic skills deficient or an English language learner.</p>	<p><u>A recipient of a secondary school diploma</u>: Diploma, GED, school records; <u>A low income individual</u>: Alimony agreement, Applicant statement, Award letter from veteran’s administration, Bank statements, Compensation award letter, Court award letter, Pension statement, Employer statement/contact, Family or business financial records, Housing authority verification, Pay stubs, Public Assistance records, Quarterly estimated tax for self-employed persons, Social Security benefits, UI documents; <u>Basic Skills Deficient</u>: National Reporting System (NRS) approved standardized assessment test score (CASAS), School records; <u>an English Language Learner</u>: National Reporting System (NRS) approved standardized assessment test score (CASAS), School records</p>
<p>An individual who is subject to the juvenile or adult justice system</p>	<p>Documentation from juvenile or adult criminal justice system, public records, Documented phone call with court or probation representative</p>
<p>A homeless individual [(A) Individuals who lack a fixed, regular, and adequate nighttime residence (within the meaning of the McKinney Vento Homeless Assistance Act section 103(a)(1)); and (B) includes —(i) children and youths who are sharing the housing of other persons due to loss of housing, economic hardship, or a similar reason; are living in motels, hotels, trailer parks, or camping grounds due to the lack of alternative adequate accommodations; are living in emergency or transitional shelters; are abandoned in hospitals; or are awaiting foster care placement; (ii) children and youths who have a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings (within the meaning of section the McKinney-Vento Homeless Assistance Act 103(a)(2)(C)); (iii) children and youths who are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings; and (iv) migratory children (as such term is defined in section 1309 of the Elementary and Secondary Education Act of 1965) who are living in circumstances described in clauses (i) through (iii).]</p>	<p>Written statement from an individual providing residence, shelter or social service agency</p>
<p>A runaway</p>	<p>Written statement from an individual providing residence, shelter or social service agency</p>
<p>In foster care or has aged out of the foster care system</p>	<p>Written confirmation from social services agency, Court Documentation stating youth has been placed into care of the State</p>

b. WHEN APPLICABLE

Characteristic	Allowable Documentation
<p>A child eligible for assistance under section 477 of the Social Security Act (42 U.S.C. 677), [477. [42 U.S.C. 677](a) Purpose.—The purpose of this section is to provide States with flexible funding that will enable programs to be designed and conducted— (1) to identify children who are likely to remain in foster care until 18 years of age and to help these children make the transition to self-sufficiency by providing services such as assistance in obtaining a high school diploma, career exploration, vocational training, job placement and retention, training in daily living skills, training in budgeting and financial management skills, substance abuse prevention, and preventive health activities (including smoking avoidance, nutrition education, and pregnancy prevention); (2) to help children who are likely to remain in foster care until 18 years of age receive the education, training, and services necessary to obtain employment;(3) to help children who are likely to remain in foster care until 18 years of age prepare for and enter postsecondary training and education institutions;(4) to provide personal and emotional support to children aging out of foster care, through mentors and the promotion of interactions with dedicated adults; (5) to provide financial, housing, counseling, employment, education, and other appropriate support and services to former foster care recipients between 18 and 21 years of age to complement their own efforts to achieve self-sufficiency and to assure that program participants recognize and accept their personal responsibility for preparing for and then making the transition from adolescence to adulthood; (6) to make available vouchers for education and training, including postsecondary training and education, to youths who have aged out of foster care; (7) to provide the services referred to in this subsection to children who, after attaining 16 years of age, have left foster care for kinship guardianship or adoption; and (8) to ensure children who are likely to remain in foster care until 18 years of age have regular, ongoing opportunities to engage in age or developmentally-appropriate activities as defined in section 475(11).]</p>	<p>Letter from appropriate state/local social service agency</p>

b. WHEN APPLICABLE	
Characteristic	Allowable Documentation
In an out-of-home placement	Letter from appropriate state/local social service agency
An individual who is pregnant or parenting	Copy of child's birth certificate, Doctor's note confirming pregnancy, Public Assistance records, Child Support Enforcement Records
A youth who is an individual with a disability [An individual with: (A) a physical or mental impairment that substantially limits one or more major life activities of such individual; (B) a record of such an impairment; or (C) being regarded as having such an impairment (as described in the Americans with Disabilities Act § 12102 (3))]	Letter from a Vocational Rehabilitation Agency, such as Maryland Division of Rehabilitation Services (DORS) verifying disability, Letter from Maryland Department of Health (MDH) Behavioral Health Administration (BHA), Administrative Services Organization, or another Core Service Agency attesting that the individual receives specialty services within the Public Health System, Developmental Disabilities Administration (DDA) certificate for long term supports, Social Security Administration disability records, Statement or Diagnosis from a PhD, MD, Licensed Clinical Social Worker (LCSW) or other licensed clinical professional, School records (Individualized Education Plan, 504 Plan, exit documents or other documentation stating disability), Workers Compensation records, Veterans Administration letter/records, Temporary Disability Assistance Program approval letter, Public Assistance to Adults (PAA) approval letter, Self-certification (Participant identifies status and signs and dates paperwork)
A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment. The policy of the local board is that these are individuals who lack occupational skills or goals. low income youth: a) with poor work history, no work history, or who have been fired from a job within the last six months prior to application, or who has never held a full-time job for more than 13 consecutive weeks; b) with an incarcerated parent or guardian; or c) who have a family history of substance abuse.	<u>Low Income</u> : Alimony agreement, Applicant statement, Award letter from veteran's administration, Bank statements, Compensation award letter, Court award letter, Pension statement, Employer statement/contact, Family or business financial records, Housing authority verification, Pay stubs, Public Assistance records, Quarterly estimated tax for self-employed persons, Social Security benefits, UI documents; <u>Work history</u> : school records, resume, documented interview with participant; <u>Incarcerated parent or guardian</u> : self-attestation, court records; <u>Substance abuse</u> : court or medical records, documented interview with participant

Low Income Eligibility

Note that there are only two categories of youth eligibility that include a low income requirement (1) a recipient of a secondary school diploma or its recognized equivalent who is either basic skills deficient or an English language learner; and (2) an individual who requires additional assistance to enter or complete an educational program or to secure or hold employment. Low income is defined in WIOA Section 3(36) as an individual who:

- (i) receives, or in the past 6 months has received, or is a member of a family that is receiving or in the past 6 months has received, assistance through the supplemental nutrition assistance program established under the Food and Nutrition Act of 2008 (7 U.S.C. 2011 et seq.), the program of block grants to States for temporary assistance for needy families program under part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.), or the supplemental security income program established under Title XVI of the Social Security Act (42 U.S.C. 1381 et seq.), or State or local income-based public assistance;
- (ii) is in a family with total family income that does not exceed the higher of— (I) the poverty line; or (II) 70 percent of the lower living standard income level;
- (iii) is a homeless individual (as defined in Section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e–2(6))), or a homeless child or youth (as defined under Section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a (2)));
- (iv) receives or is eligible to receive a free or reduced price lunch under the Richard B. Russell National School Lunch Act (42 U.S.C. 1751 et seq.);
- (v) is a foster child on behalf of whom State or local government payments are made; or
- (vi) is an individual with a disability whose own income meets the income requirement of clause (ii), but who is a member of a family whose income does not meet this requirement.

A youth also qualifies as low income if he or she lives in a high-poverty area. Refer to [TEGL 21-16](#) for instructions on determining high poverty areas. Income guidelines are updated annually.

20 CFR § 675.300 defines family as “two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories: (1) A married couple and dependent children; (2) A parent or guardian and dependent children; or (3) A married couple.”

Maryland Workforce Exchange

The Maryland Department of Labor utilizes the Maryland Workforce Exchange as its data collection and case management tool. LSWA is required to use MWE for youth program participants. In addition to providing documentation related to eligibility, there are many “data validation” elements that must be verified during the application process. The MWE youth program application fields are included here so that individual applicants are prepared for their interview with all required personal records. MWE is updated frequently; these fields are current as of 9/15/2019.

MWE MATRIX – 5 pages

C. MWE APPLICATION					
QUESTION	DATA-ENTRY TYPE	"R" = REQUIRED FIELD	VERIFICATION REQUIRED	Preferred Documentation	Allowable but not preferred / Allowable with prior approval
A: CONTACT					
First name	Enter	R			Allowable with prior approval
Middle Initial	Enter	R			
Last Name	Enter	R			
			Must be verified, however no services can be denied to anyone refusing to furnish a social security number if their citizenship/alien status can be documented via other means		Other Federal or State ID with SSN, Employment records (if SSN is listed), Pay stub (if SSN is listed), W-2 Form, Cross-match with Unemployment Insurance records
SSN	Enter	R		Social Security Card, Passport, Military ID, DD-214 (if SSN is listed)	
Current Address Line 1	Enter	R	Must be verified	Driver's license, Federal, state or local identification card, public assistance/social service records, utility bill, statement from landlord, rent, lease or mortgage bill	Signed statement from witness
Line 2	Enter				
City	Enter				
State	Select from dropdown	R			
County	Select from dropdown	R			
Zip Code	Enter	R			
Country	Select from dropdown	R			
Primary Phone Number	Enter	R			
	Select: Cell/Mobile Phone, Relative's Phone, Work Phone, Not Identified, Home, Other	R			
Primary Phone Type	Enter				
Alternate Phone Number	Enter				
	Select: Cell/Mobile Phone, Relative's Phone, Work Phone, Not Identified, Home, Other				
Alternate Phone Type	Enter				
Email	Enter	R			
Mailing address Line 1	Enter				
Mailing address Line 2	Enter				
City	Enter	R			
State	Select from dropdown	R			
Zip Code	Enter	R			
Country	Select from dropdown	R			
B: DEMOGRAPHICS					
Date of Birth	Enter	R	Must be verified	Driver's license, baptismal record, birth certificate, DD-214, Federal, state or local identification card, passport, hospital record of birth, public assistance/social service records	School records or ID cards, work permit, cross match with Department of Vital Statistics, or tribal records
Gender	Select: Male, Female, Did not self-identify	R			
Registered for Selective Service	Select: Yes, No, Documented exemption from registration, Not Applicable		Must be verified	Selective Service Acknowledgement Letter, Status Information Letter, Registration Record/Card or Verification Form, print out via sss.gov, DD-214	
Selective Service Registration Number	Enter				
Selective Service Registration Date	Enter				

D: EMPLOYMENT									
Employment Status	Select: Employed, Employed but received notice of termination, Not Employed	R	Must be verified	Pay stub, UI records, Employer Contact	Self-Attestation				
If employed, individual is under-employed	Select: Yes, No, Not Applicable	R							
In a Registered Apprenticeship Program	Select: Yes, No, Not Applicable	R							
Unemployment Eligibility Status	Select: Neither Claimant nor Exhaustee, Claimant, Exhaustee	R							
UI Referred By Status	Select: WPRS, RESEA, Not Applicable								
Claimant has been exempted from work search	Select: Yes, No, Unknown								
Date claimant was exempted from work search	Enter								
Unemployment Compensation Verify	Select: UI Records; Other	R	Must be verified	UI Records					
Long-term Unemployed (27 or more consecutive weeks)	Select: Yes, No	R							
Current or Most Recent Hourly Rate of Pay	Enter								
Occupation of Most Recent Employment Prior to WIA/WIDA Participation	Select from O*Net								
Employment History	Enter Resume								
E: EDUCATION									
Most Recent Date Attended Secondary School	Enter	R							
Within Compulsory School Age and Did Not Attend the Most Recent Complete School Year Calendar Quarter	Select: Yes, No	R	"Yes" must be verified	School records	Self-Attestation				
Has secondary school diploma/equivalent on date of application?	Select: Yes, No	R							
School Status at Youth Program Eligibility	Select: In-School; Secondary School or less; In-School; Alternative School, In-School; Post-Secondary School, Not Attending School or Secondary School Dropout, Not Attending School; Secondary School Graduate or has a recognized equivalent, Not Attending School; Within Age of Compulsory School Attendance	R	Must be verified	School records (diploma, attendance records, transcript, other school documentation), Dropout/Withdrawal Form	Self-Attestation				
WIDA Definition Attending Any School	Select: Yes, No	R							
Highest School Grade Completed	Select: No School Grade Completed, X Grade Completed	R							
High School Diploma or Equivalent Received	Select: Yes, No	R							
Highest Education Level Completed	Select: Attained Secondary School Diploma, Attained a secondary school equivalency, Certificate of Completion, Completed one or more years of Post-Secondary Education, Attained a Post-Secondary Technical or Vocational Certificate, Attained and Associate's Degree, Attained a Bachelor's Degree, Attained a degree beyond Bachelor's, No Educational Level Completed	R	Must be verified	School records (diploma, attendance records, transcript, other school documentation), Dropout/Withdrawal Form	Self-Attestation				
School Status	Select: In-School; Secondary School or less; In-School; Alternative School, In-School; Post-Secondary School, Not Attending School or Secondary School Dropout, Not Attending School; Secondary School Graduate or has a recognized equivalent, Not Attending School; Within Age of Compulsory School Attendance	R	Must be verified	School records (diploma, attendance records, transcript, other school documentation), Dropout/Withdrawal Form	Self-Attestation				
Receiving Services from Adult Education	Select: Yes, No, Did not self-identify	R							
Receiving Services from Youth Build	Select: Yes, No, Did not self-identify	R							

Receiving Services from Job Corps	Select: Yes, No, Did not self-Identify	R					
Receiving Services from Vocational Education (Carl Perkins)	Select: Yes, No, Did not self-Identify	R					
Individual Education Program Participant	Select: Not Applicable, Yes, No						
F: PUBLIC ASSISTANCE							
Individual or member of a family that is receiving or in the last six months has received:							
Temporary Assistance for Needy Families	Select: Yes, No	R	"Yes" must be verified	Public assistance records/printout			
If yes, who:	Select: Applicant, Family Member, Not Available/Unknown	R					
Supplemental Security Income (SSI)	Select: Yes, No	R	"Yes" must be verified	SSI records, copy of SSI check			
If yes, who:	Select: Applicant, Family Member, Not Available/Unknown	R					
General Assistance (GA)	Select: Yes, No	R	"Yes" must be verified	Public assistance records/printout			
If yes, who:	Select: Applicant, Family Member, Not Available/Unknown	R					
Supplemental Nutrition Assistance Program (SNAP)	Select: Yes, No, Unknown	R	"Yes" must be verified	Public assistance records/printout			
If yes, who:	Select: Applicant, Family Member, Not Available/Unknown	R					
Refugee Cash Assistance (RCA)	Select: Yes, No	R	"Yes" must be verified	Public assistance records/printout			
If yes, who:	Select: Applicant, Family Member, Not Available/Unknown	R					
Individual receives or in the last six months has received Social Security Disability Insurance Income (SSDI)	Select: Yes, No	R	"Yes" must be verified	Public assistance statement/records/printout, Copy of Check			
Individual is currently	see below	R					
Foster Child (State of local payments are made for the applicant)	Select: Yes, No	R	"Yes" must be verified	Written confirmation from social services agency, Court document, copy of payment made on behalf of child			
Youth currently living in a high poverty area	Select: Yes, No	R	"Yes" must be verified	Verified based on address: refer to I.E.G.L. 21-16 Attachment 2			
Youth currently receives or is eligible to receive free or reduced lunch under the Richard B. Russell National School Lunch Act	Select: Yes, No	R	"Yes" must be verified	School Document			Self-Attestation
Receiving services under SNAP Employment and Training Program	Select: Yes, No	R					
Receiving or has been notified will receive, Pell Grant	Select: Yes, No	R					
Ticket to Work Holder issued by the Social Security Administration	Select: Yes, No	R					
G: BARRIERS							
English Language Learner	Select: Yes, No	R	"Yes" must be verified	National Reporting System (NRS) approved standardized assessment test score, School records			Self-certification (Participant identifies status and signs and dates paperwork)
Basic Skills Deficient/Low Levels of Literacy	Select: Yes, No	R	"Yes" must be verified	National Reporting System (NRS) approved standardized assessment test score, School records			
Basic Skills Scores	Enter	R		National Reporting System (NRS) approved standardized assessment test score			
Homeless	Select: Yes, No	R	"Yes" must be verified	Written statement from an individual providing residence, shelter or social service agency			Self-certification (Participant identifies status and signs and dates paperwork)
Runaway	Select: Yes, No	R	"Yes" must be verified	Written statement from an individual providing residence, shelter or social service agency			Self-certification (Participant identifies status and signs and dates paperwork)
Youth in or aged out of Foster Care	Select: Yes, No	R	"Yes" must be verified	Written confirmation from social services agency, Court Documentation stating youth has been placed into care of the State			
Ex-offender - individual has been arrested or convicted of a crime	Select: Yes, No	R	"Yes" must be verified	Documentation from juvenile or adult criminal justice system, public records, Documented phone call with court or probation representative			Self-certification (Participant identifies status and signs and dates paperwork)

Incarcerated at Program Entry	Select: Yes, No	R	"Yes" must be verified	Documentation from juvenile or adult criminal justice system, public records, Documented phone call with court or probation representative		
Incarceration Release Date	Enter					
Pregnant/Parenting Youth	Select: Yes, No	R	"Yes" must be verified	Copy of child's birth certificate, Doctor's note confirming pregnancy, Public Assistance records, Child Support Enforcement Records	Baptismal record, Observation of pregnancy status	
Youth Requires Additional Assistance to complete an education program or to secure/hold employment	Select: Yes, No	R	"Yes" must be verified	School records, court records, work history		Self-Attestation
Out-of-Home Placement	Select: Yes, No	R	"Yes" must be verified	Letter from appropriate state/local social service agency		
Eligible under Section 477 of the Social Security Act (Foster Care transition services)	Select: Yes, No	R	"Yes" must be verified	Letter from appropriate state/local social service agency		
Displaced Homemaker	Select: Yes, No	R	"Yes" must be verified	Court records, Public Assistance Records, Divorce papers, Bank records, Spouse's layoff notice, Spouse's death record		
Within two years of exhausting TANF lifetime eligibility	Select: Yes, No	R	"Yes" must be verified	Public assistance records/printout		
Hawaiian Native	Select: Yes, No	R				
American Indian/Alaskan Native	Select: Yes, No	R				
Single parent (including single pregnant women)	Select: Yes, No, Individual Did not Self-Identify	R				
Cultural barriers	Select: Yes, No, Individual Did not Self-Identify	R				
Eligible Migrant-Seasonal Farmworker as defined in WIOA Sec.167 (i)	Select: Yes, No	R				
Meets governors special barriers to employment	Select: Yes, No	R				
H: FAMILY INCOME						
Due to the individual's disability, they qualify as a family of 1	Select: Yes, No	R			birth certificate; court/divorce decree; landlord statement; lease; marriage certificate; medical card; most recent tax return supported by IRS Documents (i.e., Form Letter 1722); Public assistance/Social Service Agency records; Public housing authority (if resident of or on waiting list); Written statement from publically supported 24 hour care facility or institution.	
Family size	Enter	R	Must be verified	Self-Attestation (family size form)		
Annualized family income (last 6 months x 2)	Enter	R	Must be verified	Alimony agreement, Applicant statement, Award letter from veteran's administration, Bank statements, Compensation award letter, Court award letter, Pension statement, Employer statement/contact, Family or business financial records, Housing authority verification, Pay stubs, Public Assistance records, Quarterly estimated tax for self-employed persons, Social Security benefits, UI documents		

2. Objective Assessment

After determination of eligibility, providers must conduct an objective assessment of academic levels, skill levels, and service needs. In order to identify appropriate service needs, the assessment should include a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes, supportive service needs, and developmental needs. All participants must receive an educational assessment. CASAS GOALS series is the acceptable assessment type.

CASAS should be done before the Individual Service Strategy is submitted to help determine participant needs. Use of previous assessments is allowable for any part of the objective assessment provided the results are no more than six months old.

3. Individual Service Strategy

All of the information gathered during the objective assessment should be used to develop the Individual Service Strategy. The Individual Service Strategy is an agreement between a counselor and a youth that details services that will be provided via your agency. These services should lead to achievement of the individual's personal, employment and educational goals and be based upon the results of assessments provided to the youth (including any objective and educational assessments conducted).

According to federal and state regulation, an Individual Service Strategy should include employment goals, educational goals, achievement objectives and services and be established as a result of an objective assessment. The Individual Service Strategy (ISS) should be well-developed with the active participation of the youth. Case managers cannot establish goals and objectives without the input of the youth being served.

Provider-completed ISS forms should be submitted to the LSWA Youth Program Specialist no later than 30 days after the provider receives notification that the youth is WIOA eligible and has been certified. LSWA will provide ISS forms to youth providers. Questions regarding the completion of the document can be directed to the LSWA Youth Program Specialist. Youth without complete ISS documents will NOT enter participation in MWE.

In order to ensure ongoing review of the Individual Service Strategy, case managers must meet with participants to review the ISS within 90 days of the most recent update throughout participation.

At any given time, the service strategy for the participant can change. Changes to the ISS must be recorded on the ISS update form, signed and dated by the youth and case manager and submitted to LSWA. At times, the initial ISS is in effect with no changes. In this case, it is appropriate to create a case note reflecting that the case manager and participant met to review the ISS and that no changes are necessary. The date of the meeting must be listed in the case note.

Examples of Common Types of ISS reviews:

1. The initial ISS is dated June 1st. On July 20th, changes were made to the ISS based on newly identified needs; you document the revisions and include signatures. Submit the updated ISS form to LSWA. The next ISS update is expected no later than 90 days from July 20th **or** if there is a change before then.
2. The initial ISS is dated June 1st. Service to the individual is being provided according to the ISS. An ISS review must be done by August 30th so you meet with the participant on August 19th. After talking with the participant, you discover that there will be a change to the ISS and you document the revisions and include signatures. Submit the updated ISS form to LSWA. The next ISS update is expected no later than 90 days from August 19th **or** if there is a change before then.
3. The initial ISS is dated June 1st. Service to the individual is being provided according to the ISS. An ISS review must be done by August 30th so you meet with the participant on August 19th. After talking with the participant, you both agree that no changes to the ISS are necessary. You write a case note indicating that you met with the participant on August 19th, that you reviewed the ISS and that there are no changes to the service strategy at this time. The next ISS update is expected no later than 90 days from August 19th **or** if there is a change before then.

4. Fourteen Youth Program Elements

WIOA requires that 14 elements be made available to all participants. Not every participant will receive every service; however, if the individual is in need of one of the elements, then it must be made available. Elements may be directly provided or provided by an external partner. Any elements not directly provided should be monitored by the case manager. Follow up must be provided to all participants. There are two important resources that all staff should review which provide detailed information about program elements: a) pages 14 through 22 of [TEGL 21-16](#) and b) 20 CFR § 681.480 through § 681.600 ([WIOA Final Rule](#)). The elements are:

1. Tutoring, study skills training, and instruction leading to secondary school completion (including dropout prevention strategies);
2. Alternative secondary school services, or dropout recovery services, as appropriate;
3. Paid and unpaid work experience that have as a component academic and occupational education, which may include – (i) summer employment opportunities and other employment opportunities available throughout the school year; (ii) pre-apprenticeship programs, (iii) internships and job shadowing; and (iv) on-the-job training opportunities;
4. Occupational skill training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area involved;
5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
6. Leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors, as appropriate;
7. Supportive services;
8. Adult mentoring for the period of participation and a subsequent period, for a total of not less than 12 months;
9. Follow-up services for not less than 12 months after the completion of participation, as appropriate;
10. Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral as appropriate;
11. Financial literacy education;
12. Entrepreneurial skills training;
13. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
14. Activities that help youth prepare for and transition to post-secondary education and training.

Documenting receipt of program elements is critical to ensure that youth who are actively participating in programs do not get unintentionally exited due to 90 days of no service.

CASE MANAGEMENT

Case Files

Providers must keep participant files, whether paper and/or electronic. These files should record all activities and supporting documents related to the individual's participation in WIOA activities. They must be made available during monitoring periods as well as upon request by LSWA staff. Although there is not a particular requirement for the way the file is set up, all files should have a consistent arrangement and be neat and orderly. All files should be secured to protect personally identifiable information.

Case Notes

Providers are responsible for submitting monthly case notes for each participant in "active" and "follow up" status. Providers are responsible (with LSWA guidance) for understanding the definitions of "active" and "follow-up" and responding to data requests accordingly.

Case notes should be submitted to LSWA by the 15th of each month. Please submit with the service/element listed, type of contact, and detailed facts stating what occurred with the participant. Case notes are the primary source of information related to services delivered and are used for data entry into MWE. Case notes should refer back to the participant's ISS and reflect the current goals the case manager and participant have set. It is a good practice to always start a case note in reference to the previous case note; this allows for updates on ongoing services and provides a logical narrative flow. Start and ends dates should always be provided for services. No changes should be made once case notes are submitted unless discussed with the LSWA Youth Program Specialist. Case managers may be contacted by LSWA staff regarding clarifications to case notes.

Case notes should follow the BROCRIP format:

- Background
- Reason
- Observations
- Content
- Results
- Impressions
- Plan

At no time should opinion or information irrelevant to the individual's success in the program be included.

There are a number of service codes used in MWE for case management. The following matrix is meant to be a general guide only. Updates are frequently made in MWE as well as through other guidance released through the Department of Labor. If you are unable to identify the code that correlates to an element or service that you are providing, you may contact LSWA's Youth Program staff for assistance. Also note that service provision is not limited to the codes provided.

Service Code	Service Name	Element Number	Element Name
400	Summer Employment	3	Paid and Unpaid work experience that have as a component academic and occupational education
401	Employment Opportunities directly linked to Academic and Occupational Learning	Unspecified	
405	Youth Computer Literacy	Unspecified	
406	Tutoring, study skills training & instruction	1	Tutoring, Study Skills and Instruction Leading to Secondary School Completion
407	Summer Services for Academic - Basic Educational Skills Enrichment	1	Tutoring, Study Skills and Instruction Leading to Secondary School Completion
409	Job Shadowing	3	Paid and Unpaid work experience that have as a component academic and occupational education
410	Leadership Development Services	6	Leadership Development Opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors
411	Adult Mentoring	8	Adult Mentoring for the period of participation and a subsequent period, for a total of not less than 12 months
414	Basic Education Leading to Secondary School	2	Alternative Secondary School Services, or dropout recovery services
415	Enrolled in Alternative Secondary Education	2	Alternative Secondary School Services, or dropout recovery services
416	Occupational Skills Training - Approved Provider List	4	Occupational Skills Training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area involved
417	Comprehensive Guidance and Counseling	10	Comprehensive Guidance and Counseling, which may include drug and alcohol abuse counseling and referral as appropriate
418	Youth GED Preparation and Attainment	2	Alternative Secondary School Services, or dropout recovery services

Service Code	Service Name	Element Number	Element Name
419	Support Services - Stipends	7	Supportive Services
420	Assistance in Securing a Better Paying Job, Career Development, and Further Education	13	Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services
421	Post-Secondary School Activities	Unspecified	
422	Youth Skills Training Leading to An Approved Educational Certificate	4	Occupational Skills Training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area involved
423	Post-Secondary School Leading to Degree or Certificate	Unspecified	
424	Pre Apprenticeship Activities	3	Paid and Unpaid work experience that have as a component academic and occupational education
425	Work Experience - Paid and Unpaid	3	Paid and Unpaid work experience that have as a component academic and occupational education
427	Youth Internship	3	Paid and Unpaid work experience that have as a component academic and occupational education
428	On-the-Job Training	Multiple	Element 3 - Paid and Unpaid work experience that have as a component academic and occupational education; Element 5 - Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster
429	Enrolled in Secondary School (H.S.)	Unspecified	
440	Linkages to Community Services	7	Supportive Services
441	Financial Literacy Education	11	Financial Literacy Education
442	Entrepreneurial Skills Training	12	Entrepreneurial Skills Training
443	Career Awareness/Career Exploration	13	Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services

Service Code	Service Name	Element Number	Element Name
444	Transition to Post-Secondary Education and Training	14	Activities that help youth prepare for and transition to post-secondary education and training
445	Interview Preparation Techniques/Mock Interview	13	Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services
446	Youth Skills Upgrading/Retraining	Multiple	Element 4 - Occupational Skills Training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area involved; Element 5 - Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster
447	Basic Computerized Remediation Skills	Multiple	Element 5 - Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster; Element 14 - Activities that help youth prepare for and transition to post-secondary education and training
448	Education Offered Concurrently w/Workforce Prep	5	
449	Secondary School Dropout Prevention Strategies	1	Tutoring, Study Skills and Instruction Leading to Secondary School Completion
455	Work-Related Peer Support Groups	Multiple	Element 5 - Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster; Element 6 - Leadership Development Opportunities, which may include community service and peer- centered activities encouraging responsibility and other positive social and civic behaviors; Element 10 - Comprehensive Guidance and Counseling, which may include drug and alcohol abuse counseling and referral as appropriate
480	Support Service - Child/Dependent Care	7	Supportive Services

Service Code	Service Name	Element Number	Element Name
481	Support Service - Transportation Assistance	7	Supportive Services
482	Support Service - Medical	7	Supportive Services
483	Support Service - Temporary Shelter	7	Supportive Services
484	Support Service - Incentives / Bonuses	7	Supportive Services
485	Support Service -Other	7	Supportive Services
486	Support Service - Counseling	7	Supportive Services
487	Assistance with Uniforms, Appropriate Attire, Work related Tool Costs for Youth	7	Supportive Services
490	Regular Contact with a Youth Participant's Employer	7	Supportive Services
F01	Referral to Community Resources	9	Follow-up services for not less than 12 months after the completion of participation
F02	Referral to Medical Services	9	Follow-up services for not less than 12 months after the completion of participation
F03	Tracking Progress on the Job	9	Follow-up services for not less than 12 months after the completion of participation
F04	Work Related Peer Support Group	9	Follow-up services for not less than 12 months after the completion of participation
F05	Assistance securing better paying job	9	Follow-up services for not less than 12 months after the completion of participation
F06	Career development and further education planning	9	Follow-up services for not less than 12 months after the completion of participation
F07	Assistance with Job/Work Related Problems	9	Follow-up services for not less than 12 months after the completion of participation
F08	Adult Mentoring	9	Follow-up services for not less than 12 months after the completion of participation
F09	Tutoring	9	Follow-up services for not less than 12 months after the completion of participation
F10	Leadership Development	9	Follow-up services for not less than 12 months after the completion of participation
F11	Other Follow Up Service, not classified	9	Follow-up services for not less than 12 months after the completion of participation
F12	SS-Transportation	9	Follow-up services for not less than 12 months after the completion of participation
F13	SS- Purchase work related uniforms/attire	9	Follow-up services for not less than 12 months after the completion of participation
F14	SS-Purchase work related tools	9	Follow-up services for not less than 12 months after the completion of participation
F15	SS-Housing Assistance	9	Follow-up services for not less than 12 months after the completion of participation

Service Code	Service Name	Element Number	Element Name
F16	SS-Utilities	9	Follow-up services for not less than 12 months after the completion of participation
F17	SS-Dependent Care	9	Follow-up services for not less than 12 months after the completion of participation
F18	SS-Medical	9	Follow-up services for not less than 12 months after the completion of participation
F19	SS-Incentives/Bonus	9	Follow-up services for not less than 12 months after the completion of participation
F21	Follow-up Services, including counseling after entering employment	9	Follow-up services for not less than 12 months after the completion of participation
F24	Follow-up Services, including guidance Regarding the Workplace	9	Follow-up services for not less than 12 months after the completion of participation
F25	Follow-Up Services, interview Refresher	9	Follow-up services for not less than 12 months after the completion of participation
F26	Youth Mentoring	9	Follow-up services for not less than 12 months after the completion of participation
F27	Post Exit Education/Training Program Leading to Post-Secondary Credential	9	Follow-up services for not less than 12 months after the completion of participation

Selective Service Registration Requirement

Men born on or after January 1, 1960 are required to register with Selective Service within 30 days of their 18th birthday. Before being enrolled in WIOA-funded services, all males over the age of 18 must be registered with the Selective Service. If a male turns 18 while participating in WIOA-funded services, registration with Selective Service must be completed no later than 30 days after he becomes 18 in order to continue to receive WIOA-funded services. If a male under the age of 26 refuses to register with Selective Service, WIOA-funded services must be suspended until he registers. Registration can easily be completed via the Selective Service website at www.sss.gov.

Work Experience

Work experience is a critical WIOA youth program element. Each provider has a contracted level of expenditures that must be spent on work experience. It is essential that programs be managed to provide work experience to participants. Allowable program expenditures on the work experience program element include:

- Wages/stipends paid for participation in a work experience;
- Staff time working to identify and develop a work experience opportunity, including staff time spent working with employers to identify and develop work experience;
- Staff time working with employers to ensure a successful work experience, including staff time spent evaluating the working experience;
- Staff time spent evaluating the work experience;
- Participant work experience orientation sessions;
- Employer work experience orientation sessions;
- Classroom training or required academic education component directly related to the work experience;
- Incentive payments directly tied to the completion of work experience;
- Employability skills/job readiness training to prepare youth for a work experience.

Note that Supportive Services cannot be counted toward the work experience expenditure requirement even if supportive services assist the youth in participating in the work experience. A *Work Experience Expenditure Report* will be due each quarter.

Basic Skills Deficient

Per WIOA Section 3(5), an individual is to be considered Basic Skills Deficient if he or she is an individual: (1) who is a youth that has English reading, writing, or computing skills **at or below the 8th grade level** on a generally accepted standardized test; or, (2) who is a youth or adult that is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual's family, or in society. The primary method for determining whether an individual is Basic Skills Deficient is through basic education skills assessment. LSWA requires the use of CASAS GOALS series to document Basic Skills levels for all participants. Individuals who meet the category of Basic Skills Deficient in reading or math should receive appropriate instruction in the subject area and be post-tested to measure improvement. The goal of instruction should be to increase scores by one Educational Functioning Level (EFL) and ideally to bring the youth above the Basic Skills Deficient level.

Non-Discrimination

Section 188 prohibits discrimination against individuals in any program or activity that receives financial assistance under Title I of WIOA as well as by the one-stop partners listed in WIOA Section 121(b) that offer programs or activities through the American Job Center system. Section 188 prohibits discrimination because of race, color, religion, sex, national origin, age, disability, political affiliation or belief, or, for beneficiaries, applicants, and participants only, citizenship status or because of an individual's participation in a program or activity that receives financial assistance under Title I of WIOA.

FOLLOWUP

Exiting participation

When you are sure that the individual is prepared and/or services are no longer needed he/she may exit the program and enter into follow up. The exit date for most participants is the date of completion of the last service. Maryland uses a soft exit approach; once no services are recorded for 90 days, the individual’s exit date is recorded as the end date of the last service. Avoid unintentionally exiting active participants due to 90 days of inactivity. Exit dates MUST be supported in case notes. The only allowable program element that can be provided after exit is follow up. Follow up services do not cause the exit date to change and do not trigger re-enrollment.

ACTIVE SERVICE RECEIVED	NO ACTIVE SERVICES	SOFT EXIT
<-----Service period----->	<-----90 days, case still open----->	-System closure occurs with effective exit date retroactive to last day of last active service
Jan 15 April 23	April 23 July 23	On July 23, since no services have been recorded since April, the exit date becomes April 23

It is imperative that you manage exit dates for positive performance. Avoid exiting youth until you are sure they are ready and have the support they need to succeed after participation.

Follow Up Services

Follow up services may begin immediately following the last expected date of service and when no future services are scheduled. Maryland uses a “common exit” approach which means that the exit date is determined when the participant has not received services in the youth program or any other program tracked in MWE (which includes Wagner-Peyser or “Job Service” activities).

Follow up is a service that is required for no less than twelve months after exit from participation and assists in the participant’s long-term success. Follow up services are based on the needs of the individual and will vary. Follow up must include more than contact for the sole purpose of securing documentation related to performance.

Services and activities should be recorded in case notes and be supported whenever possible with additional documentation. Refer to the fourteen elements section in this handbook for additional assistance. Concerns about the types of services allowable under the follow up period can be discussed with the LSWA Youth Program Specialist.

Examples of follow up services include, but are not limited to:

- Transportation assistance;
- Child care or dependent care assistance;
- Housing assistance;
- Referrals to community resources;
- Referrals to medical services;
- Assistance with uniforms or other work attire/work-related tools;
- Tracking progress on the job;
- A work-related peer support group;
- Assistance securing a better paying job, career development, or further education;
- Assistance with work-related problems;
- Adult mentoring;
- Tutoring; or
- Leadership development.

When follow up is completed for no less than 12 months from exit, please provide a case note that services are no longer needed and file is now closed.

Performance Measures

Follow up is a service separate from measuring performance. However, effective follow up strategies will contribute to gaining information from the individual that can be captured positively in performance.

WIOA Legislation indicates that performance measures for youth are:

1. The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the *second quarter after exit* from the program.
2. The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the *fourth quarter after exit*.
3. The median earnings of program participants who are in unsubsidized employment during the *second quarter after exit*.
4. The percentage of program participants who obtain a recognized post-secondary credential, or a secondary school diploma (or its recognized equivalent) *during participation or within one year after exit*. Recipients of a secondary school diploma (or its recognized equivalent) will be included only if they also obtain or retain employment or are in an education or training program leading to a recognized postsecondary credential *within one year after exit*.
5. The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment.
6. One or more primary indicators of performance that indicate the effectiveness in serving employers

PY20 Locally Negotiated Performance Levels	
Placement in Employment, Education, or Training, During Second Quarter After Exit	71%
Placement in Employment, Education, or Training During Fourth Quarter After Exit	64%
Median Earnings	\$3,410
Credential Attainment	62%
Measurable Skills Gain	48%
Employer Measure	Baseline year

A *Follow-Up Performance Milestone Form* will be provided. Please fill out for each outcome and submit to the LSWA Youth Program Specialist. This will provide information necessary to enter in to MWE for capture in performance reporting.

You will be asked periodically to provide a success story on participants of your choice who have benefited in your program. Please attach the completed *Consent for Release of Information* form with your success story before submitting to LSWA.

Exclusions

Individual participants may be excluded from inclusion in performance measures in very limited circumstances as defined in WIOA guidance. These circumstances must be documented and are restricted to the following:

- The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during the course of receiving services as a participant.
- The participant exits the program because of medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.
- The participant is deceased.
- The participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
- The participant is in the foster care system as defined in 45 CFR 1355.20(a), and exits the program because the participant has moved from the local workforce area as part of such a program or system.

Program Outcomes

Providers are responsible for submitting documentation when a program measure is completed. An *Active Participant Milestone Form* and *Follow up Participant Milestone Form* should be completed as soon as one or more of the following has occurred:

Active Participant Milestone Form:

- a participant has increased one or more Education Functioning Levels (EFL);
- a participant has engaged in Occupational Skills Training, Work Experience, Job Corps, Post-Secondary Education or Military;
- has made satisfactory progress report toward an established milestone from an employer or training provider which can be reported as a measurable skills gain;
- a participant attained a diploma, certificate or GED during participation.

Follow Up Participant Milestone Form:

- a participant engaged in one of the following activities: unsubsidized employment, Military, post-secondary education, Job Corps, or advanced Occupational Skills Training;
- a participant attained a diploma, certificate or GED after participation;
- a participant gained at least one educational functioning level within one year of participation (as measured by CASAS assessment);

Providers should thoroughly and accurately complete each form. Supporting documentation is required for each outcome. Additionally, case notes should support the reported outcome. Please note that self-attestation is not an acceptable verification method for reporting on a measurable program outcome. Please report throughout participation and during all four post-exit quarters. Credential Attainment

According to TEGL 10-16 Change 1, "This indicator measures attainment of two types of credentials: either a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent."

Examples of what would count as a recognized post-secondary credential:

- An industry recognized certificate or certification (e.g. Microsoft IT certificate, certificate in business administration, Certified Welder)
- Certificate of completion of an apprenticeship or youth apprenticeship
- License recognized by state or federal government (e.g. Registered Nurse, Cosmetologist, Master Plumber, Licensed Certified Nursing Assistant)
- Technical diploma or associate, bachelors, or master's (graduate) degree
- Job Corps certificate of completion for career technical training

Examples of what would not count as a recognized post-secondary credential:

- Continuing Education Units (CEUs) or certificates of completion
- Work readiness certificates (e.g. completion of soft skills training)
- Workforce Development Board awarded certificates (e.g. Academy Trainings, Boot Camps)
- General skill certificates related to safety or hygiene (e.g. CPR, OSHA, and Emergency Management)
- Credentials that are not industry-recognized or sought by employers in industry (e.g. local college certificates such as Professional Communication, Global Studies, Bilingual Spanish Skills or Certificate of Completion of Certified Nurse Assistant course)

GRANT MANAGEMENT

Allowable Expenditures

Providers have been awarded funds to provide allowable services under WIOA. As a sub-recipient of WIOA funds, providers must abide by code of Federal Regulations 2 CFR 200 (“Uniform Guidance”).

Budget: The budget approved during contract negotiations should be closely followed. Budget changes can occur throughout the life of a grant cycle, therefore budget modifications will be considered upon request and are valid only with written approval. You must notify the Youth Program Manager when any line item changes by 15% or more. Budget modifications are not valid unless approved in writing. To request a modification, contact the Youth Program Manager to discuss prior to completing the *Budget Modification Form*. Two common examples of budget changes requiring approval are 1) a new budget category is identified, and 2) transfer of funds between approved budget categories is necessary.

Purchases: Purchases with a unit acquisition cost of \$5,000.00 or more require prior approval unless identified and itemized on the approved budget.

Training Expenditures: LSWA is required to report training expenditures of sub-recipients to MD Labor. Sub-grantees should report their training expenditures on the *Quarterly Program Report* following the definition found in TEGl 20-19 (Training Expenditures Reporting Guidance): “The Training Expenditures reporting line should consider all costs for training, including, but not limited to: 1. All tuition costs and materials: books, tools, etc., as applicable. 2. All forms of training must be accounted for, including but not limited to: occupational skills training; school equivalency (General Education Development/High School Equivalency Test/Testing Assessing Secondary Completion) training; Registered Apprenticeship Programs (RAPs); Industry Recognized Apprenticeship Programs (IRAPs); on-the-job training (OJT); incumbent worker training ; and customized training.”

Requisitioning Funds

Funding is provided on a reimbursement basis. Payment up to the amount specified in the grant shall be made only for allowable, allocable and reasonable costs actually incurred in conducting the work under the grant. The determination of allowable costs shall be made in accordance with 2CFR200 Subpart E – Cost Principles.

One point of contact should be named as the authorized signatory for payment requests. Providers may requisition WIOA funds by submitting the *LSWA Requisition for Cash Form* to the Youth Program Manager. The form should be submitted monthly by the 15th. No changes may be made to a requisition once submitted to LSWA. If changes need to be made retroactively, please contact the Youth Program Manager for direction. The form should be accompanied by supporting documentation.

Types of acceptable documentation include:

EXPENSE	DOCUMENT
Staff Salary and Fringes	Proof of salary such as payroll report.
Travel	Number of miles, name(s) of individuals(s) traveling, location of travel, purpose of travel, etc.
Equipment	Copy of receipt/invoice, explanation of purpose.
Office Supplies & Materials	Copy of receipt/invoice, explanation of purpose.
Contractual	Copy of contract, invoices, and explanation of purpose.
Other:	
-Telephone	Copy of receipt/invoice.
-Postage	Copy of receipt/invoice.
-Rent	Copy of receipt/invoice.
-Utilities	Copy of receipt/invoice.
Participant Expenses	
-Participant Training	Copy of receipt/invoice and participant name.
-Supportive Services	Type of supportive service, copy of receipt/invoice, purpose.
-Participant Wages and Fringes	Proof of salary such as payroll report, including wage per hour, hours worked, and participant name.

Additionally, documentation of procurement processes, quotes and cost-benefit analysis must be kept for auditing purposes.

Quarterly Reports

In addition to monthly case notes, three quarterly reports will be due at the end of each quarter. The forms are provided and separately address program, fiscal and work experience activities. Questions about the forms can be directed to the Youth Program Manager.

1. Quarterly Program Report: This form provides a report of your program activities and enrolled individuals to date.
2. Quarterly Fiscal Report: This form reports your expenditures to date. It automatically calculates the expenses vs. the budget. This report includes Training Expenditures which is required to be reported to MD Labor.
3. Work Experience Expenditure Report: This form reports the work experience expenditures to date based on the allowable categories. This form is used to report to MD Labor as well as to evaluate the sub-grantee's progress toward their contractual requirement.

Program and Fiscal Monitoring

Program monitoring and fiscal compliance monitoring are requirements under law. LSWA is responsible for program monitoring of youth providers. LSWA staff will review participant files and provider processes to ensure compliance with WIOA law and LSWA policies. Tri-County Council is responsible for fiscal compliance monitoring. TCC staff will review financial records for accuracy and compliance. These reviews will be planned for a mutually agreed upon time and may occur multiple times each year.

Personally Identifiable Information (PII)

Grantees shall ensure that any PII used during the performance of their grant has been obtained and maintained in conformity with applicable Federal and state laws governing the confidentiality of information.

Technical Assistance

Technical Assistance (TA) is designed to provide support and training to sub-grantee staff. TA will be provided upon request; the topic and request should be made timely. Alternately, should LSWA staff identify an area of concern or one needing improvement, TA may be required.

HELPFUL RESOURCES

Web Links

Federal Department of Labor WIOA resource page: www.doleta.gov/wioa

Maryland Department of Labor Policy Issuances (MPI): www.dllr.state.md.us/employment/mpi/

Federal Department of Labor Training Employment Guidance Letters (TEGL):
wdr.doleta.gov/directives/

Third Workforce Innovation and Opportunity Act (WIOA) Title I Youth Formula Program Guidance
TEGL 21-16 https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7159

Code of Federal Regulations, 2 CFR 200: https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

WIOA Final Rule, 20 CFR 603, 651, 652, et al.: <https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-15975.pdf>

Definitions

Term	Informal definition
Active Participant:	A certified individual receiving services.
Certification:	Eligibility determination appointment.
Closed:	No longer actively receiving services.
Elements:	The fourteen allowable activities described in WIOA.
Exclusion:	A reason a participant can be removed from measurement in performance goals. Circumstances are limited and must be supported with documentation.
Exit:	The date of completion of the last service.
First quarter after exit:	The calendar quarter immediately following the quarter that contains the exit date.
Follow-up:	The twelve-month period following the last service date.
Services:	The fourteen elements described in WIOA as allowable activities.
MWE:	Maryland Workforce Exchange, LABOR's data management
Participant:	An individual who has been certified to receive WIOA services.
Provider:	The sub-recipient of WIOA youth funding.

Reporting Schedule

The following items are due to LSWA according to the schedule listed. Questions about these items should be directed to the Youth Program Manager.

MONTHLY	
Case Notes	By the 15 th of every month
LSWA Requisition for Cash	By the 15 th of every month
QUARTERLY	
Quarterly Fiscal Report	Two weeks after end of each quarter
Quarterly Participation report	
Quarterly Work Experience Report	
OTHER	
Initial ISS	Within 30 days of eligibility confirmation
Revised ISS	Review and re-submit every 90 days
Selective Service Registration	Within 30 days of 18 th birthday
Active Participant Milestone Form	As appropriate
Follow up Participant Milestone Form	As appropriate

REQUIRED FORMS

Case Management Forms

1. Eligibility Statement
2. MWE Application Summary
3. Individual Service Strategy
4. Active Participant Milestone Form
5. Follow Up Participant Milestone Form
6. Consent for Release of Information
7. Family Size Verification Form

Reports

8. Quarterly Fiscal Report
9. Quarterly Program Report
10. Quarterly Work Experience Report

Other

11. Requisition for Cash
12. Budget Modification Form