

## REGION 12 RWDB/CEO MEETING

Location: Western Iowa Tech Community College

Date: 5/25/17

PRESENT - RWDB MEMBERS				ABSENT - RWDB MEMBERS			
Neal Adler	X	Dan Moore	X	Neal Adler		Dan Moore	
John Hamm	X	Brenda Noll-Norvell	X	John Hamm		Brenda Noll-Norvell	
Janet Hansen		James O'Donnell	X	Janet Hansen	X	James O'Donnell	
Bridget Hoefling	X	Judy Peterson	X	Bridget Hoefling		Judy Peterson	
Christine Kennedy		Dr. Robert Rasmus	X	Christine Kennedy	X	Dr. Robert Rasmus	
Craig Levine	X	Marcia Rosacker	X	Craig Levine		Marcia Rosacker	
Teresa Miller		Jeff Simonsen	X	Teresa Miller	X	Jeff Simonsen	
PRESENT - CEO MEMBERS				ABSENT - CEO MEMBERS			
Craig Anderson	X	Pete Groetken	X	Craig Anderson		Pete Groetken	
Tom Brouillette	X	Keith Radig	X	Tom Brouillette		Keith Radig	
Raymond Drey	X	Jeff Simonsen	X	Raymond Drey		Jeff Simonsen	
PRESENT				PRESENT			
Shawn Fick – Job Training Partners		X		Adam Dahlke – (Voc Rehab) – Ex-Officio			X
Janet Gill – Job Training Partners				Jean Logan (CAAS) – Ex-Officio			
Lori Knight – Job Training Partners		X		Rosie Thierer (SCSEP)			X
MacKenzie Reiling (IWD) – Ex-Officio		X					
Pamela Woolridge (ESL/ELL) – Ex-Officio							
<b>1. Call to Order &amp; Roll Call:</b> RWDB @ 4:00pm/ CEO @ 4:02pm							
<b>2. Approval of Agenda:</b> RWDB & CEO							
<b>3. Approval of Meeting Minutes:</b> March 23, 2017 Joint RWDB/CEO Minutes – RWDB – Bridget Hoefling & CEO – Jeff Simonsen							
<b>4. New Business:</b> Approval of RWDB/CEO Proposed Meeting Dates (9/28/17, 11/16/17, 1/25/18, 3/22/18, 5/24/18) – RWDB & CEO; Nomination & Selection of Executive Board Members (Officer Election 2017-2018) – RWIB & CEO; RFP WIOA Title II Program – Adult Education and Literacy; Approval of Training Programs – RWDB (Medical Scribe – (Diploma) – WITCC, Medical Assistant – (Diploma)–WITCC, Specialist in Safety & Health Official – WITCC, Certified Safety & Health Official – WITCC); Senior Community Service Employment Program (SCSEP) – Iowa Department on Aging – Rosie Thierer; Board Bylaws							
<b>5. Old Business:</b> RWDB Membership and Structure Discussion; JD NEG & SP NEG Updates							
<b>6. WIOA Core Partner Reports:</b> Disability Access Committee							
<b>7. RWDB Chair Report:</b> Bridget Hoefling							
<b>8. Policy/Field Memo Updates:</b> Summary; <b>TEN# 42-16:</b> Release and Availability of the Report, <i>Evidence-Building Capacity in State Workforce Agencies: Insights from a National Scan and Two State Site Visits</i> ; <b>Field Memo# 17-01:</b> Adult, Dislocated Worker and Youth Carry Over; <b>Field Memo# 17-02:</b> Transfer of Funds Between the Workforce Innovation and Opportunities Act (WIOA) Adult and Dislocated Worker Programs							
<b>9. WIOA Updates</b>							
<b>10. Reports from Individual RWDB/CEO Members</b>							
<b>11. Report from State Representative</b>							
<b>12. Adjournment</b>							

<b>Motions Taken - Decisions Reached</b>			
<b>APPROVALS</b>	<b>1ST</b>	<b>2ND</b>	<b>Unanimously Approved</b>
<b>2. May 25, 2017 Agenda – RWDB</b>	Dan Moore	Dr. Robert Rasmus	X
<b>2. May 25, 2017 Agenda – CEO</b>	Craig Anderson	Tom Brouillette	X
<b>3a. March 23, 2017 Joint RWDB/CEO Minutes – RWDB</b>	Marcia Rosacker	Brenda Noll-Norvell	X
<b>3a. March 23, 2017 Joint RWDB/CEO Minutes – CEO</b>	Craig Anderson	Keith Radig	X
<b>4a. RWDB/CEO Meeting Dates (9/28/17, 11/16/17, 1/25/18, 3/22/18, 5/24/18) – RWDB</b>	Dan Moore	Neal Adler	X
<b>4a. RWDB/CEO Meeting Dates (9/28/17, 11/16/17, 1/25/18, 3/22/18, 5/24/18) – CEO</b>	Keith Radig	Pete Groetken	X
<b>4b. Nomination &amp; Selection of Executive Board Members (Officer Election 2017-2018) – RWIB</b> Bridget read resignation letter from Teresa Miller. <b>RWDB Chair – Bridget Hoefling</b> <b>RWDB Vice Chair – Dan Moore</b> <b>RWDB Secretary – Judy Peterson</b>	Judy Peterson Dr. Robert Rasmus Marcia Rosacker	James O'Donnell Jeff Simonsen Dan Moore	X X X
<b>4b. Nomination &amp; Selection of Executive Board Members (Officer Election 2017-2018) – CEO</b> <b>CEO Chair – Jeff Simonsen</b> <b>CEO Vice Chair – Craig Anderson</b>	Craig Anderson Raymond Drey	Raymond Drey Pete Groetken	X X
<b>4c. RFP WIOA Title II Program – Adult Education and Literacy – RWDB</b>	No Action		
<b>4c. RFP WIOA Title II Program – Adult Education and Literacy – CEO</b>	No Action		
<b>4d. Approval of Training Programs – RWDB</b> • Medical Scribe – (Diploma) – WITCC • Medical Assistant – (Diploma)–WITCC • Specialist in Safety & Health Official – WITCC • Certified Safety & Health Official – WITCC)	Dan Moore	Marcia Rosacker	X (Abstained – Dr. Rasmus & Neal Adler)
<b>13. Adjournment – RWDB @ 5:04pm</b>	James O'Donnell	Dan Moore	X
<b>13. Adjournment –CEO @ 5:04 pm</b>	Jeff Simonsen	adjourned the	CEOs

### Meeting Notes

Reports/Discussion:

MacKenzie Reiling reviewed the Adult Ed and Literacy update.

Rosie Thierer from the Iowa Department on Aging presented a program overview on the Senior Community Service Employment Program (SCSEP) authorized by the Older Americans Act.

There were no Carry-In Bylaws.

Shawn Fick reviewed RWDB membership and structure. The new board structure should be in place by November so in September need to certify. Discussion of 19 or 21 member board followed. Consensus was to work toward 21 member board. Janet Hansen will be contacted to see if she wants to remain.

JD NEG and SP NEG updates were given by Shawn Fick.

Partner Reports: Shawn Fick reviewed the Title I Director's Report-Attachment G. MacKenzie Reiling reviewed the Region 12 One-Stop Highlights and Customers Integration Statistics reports-Carry-Ins. Adam Dahlke reported last year 185 were served and so for this year 270 were served. Pam Woolridge (not present) submitted Title II information-Attachment H.

Adam Dahlke and MacKenzie Reiling talked about the Disability Access Committee and the member information matrix. The Disability Access Committee is a subcommittee of the RWDB and is a reviewing program. People can access the committee as a safety net. They need volunteers to serve and would like RWDB members on this committee.

Shawn Fick reviewed Policy/Field updates. Allowing regions to carry over 30%. Region 12 is already at 80% for Adult and Dislocated Workers.

Dr. Rasmus stated WITCC graduated the largest class ever. WITCC has impacted nationally through their graduates, stated Shawn Fick.

Marcia Rosacker stated there is a possibility of a food manufacturing program at WITCC. Wells Enterprises has expressed interest and there is discussion going on.

**RESPECTIVELY SUBMITTED**



Judith Peterson  
Date: 5/25/17

**“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.”**

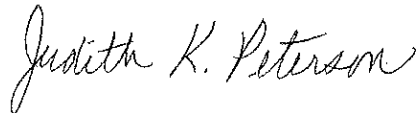
RWDB/CEO Executive Committee Meeting Conference Call Friday, June 23, 2017 – One Stop Operator Review

RWDB Members present: Judy Peterson, Jeff Simonsen and Dan Moore  
CEO Members present: Jeff Simonsen and Craig Anderson

Motion by Jeff Simonsen second by Dan Moore to authorize Iowa Workforce Development to designate or certify a one-stop operator on behalf of the Workforce Development Board, in accordance with section 121(d) of the federal Workforce Innovation and Opportunity Act for a one year term only subject to a performance review of said one-stop operator by our local RWDB. Motion carried.

Motion by Craig Anderson second by Jeff Simonsen to authorize Iowa Workforce Development to designate or certify a one-stop operator on behalf of the workforce development board, in accordance with section 121(d) of the federal Workforce Innovation and Opportunity Act for a one year term only subject to a performance review of said one-stop operator by our local CEO Board. Motion carried.

Meeting adjourned.

A handwritten signature in cursive script that reads "Judith K. Peterson".

Judith Peterson

**REGIONAL WORKFORCE DEVELOPMENT BOARD**

**REGION 12**

CHAIR, RWDB: BRIDGET HOEFLING  
CHAIR, CEO'S: JEFF SIMONSEN

ATTACHMENT "B2"

June 26, 2017

Beth Townsend  
Director of Iowa Workforce Development  
1000 East Grand Avenue  
Des Moines, IA 50319

Re: Region 12 Workforce Development Board Authorization of Iowa Workforce Development  
to Select One-Stop Operator

Director Townsend,

On June 23, 2017, the Region 12 Workforce Development Board voted to authorize Iowa Workforce Development to select a one-stop operator **for a one year term only subject to a performance review of said one-stop operator by our local RWDB.** The board will approve the minutes memorializing this action at the next meeting of the board.

Sincerely,



Bridget Hoefling  
RWDB Chair

**"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."**

**REGIONAL WORKFORCE DEVELOPMENT BOARD  
REGION 12**

CHAIR, RWDB: BRIDGET HOEFLING  
CHAIR, CEO'S: JEFF SIMONSEN

June 26, 2017

Beth Townsend  
Director of Iowa Workforce Development  
1000 East Grand Avenue  
Des Moines, IA 50319

Re: Region 12 Workforce Development Board Authorization of Iowa Workforce Development  
to Select One-Stop Operator

Director Townsend,

On June 23, 2017, the Region 12 Chief Elected Official Board voted to authorize Iowa Workforce Development to select a one-stop operator **for a one year term only subject to a performance review of said one-stop operator by our local CEO board.** The board will approve the minutes memorializing this action at the next meeting of the board.

Sincerely,



Jeff Simonsen  
CEO Chair

**"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."**

## **Region 12 WIOA Annual Report**

During the 2016-2017 program year the partners in Region 12 comprised of those working, serving, and living in Cherokee, Ida, Monona, Plymouth, and Woodbury Counties continued to work with many customers and successfully completed several vital tasks. The unemployment rate for the region continues to decrease and as of the end of the year was at the following for each county: Cherokee-2.4%, Ida-2.3%, Monona-3.2%, Plymouth-2.6%, and Woodbury-3.2%.

During this time the region enrolled 8,992 new members or 9.29% of all the new members entering the workforce system in Iowa which is down slightly from last year's total 9,688 new members. In contrast, Region 12 provided 30,815 individual services to customers which is a 13.8% increase from the previous year when 27,076 individual services were provided. This is consistent with the understanding that those seeking employment during the increased economic period are those with the greatest challenges in need of the most assistance in getting employed and up-skilled. The services include employment and career referrals, resume assistance, mock interviews, career planning, and other workshop opportunities. The services provided helped serve those with barriers including Veterans with Disabilities, English Language Learners (ELL), High School Equivalency Diploma (HSED), ex-offender, and others.

### **Title II Service Provider Selection**

During this past year there was an opportunity for organizations to bid to serve as the Title II (Adult Basic Education (ABE)/ English Language (ELL) provider. The final determination following local workforce board review and state decision was that Western Iowa Tech Community College would continue serving as the Title II provider for Region 12 as it has for many years.

### **Partner Efforts in Career and Employment Events**

During the program year the Business Services team continued to host "Meet and Greet" events for individual businesses seeking to fill their open positions at the Center. The 253 Meet and Greet events allowed business representatives an opportunity to meet directly with job seekers where they are seeking employment. In addition to the regular individual sessions, there were six (6) large scale community career and employment events also held throughout the region. An example of the success of the events includes the semi-annual career fair held on the WITCC campus in Sioux City on November 17<sup>th</sup> from 10:00 am-3:00 pm. IowaWORKS partners including WITCC and the Employers Council of Iowa (ECI) worked to once again provide opportunities for regional employers to meet with students planning to graduate in December and community members looking for career options. There were approximately sixty-five (65) businesses in attendance during the event. A spring career fair was also held at the WITCC campus in Sioux City with approximately seventy-two (72) businesses in attendance seeking spring graduates and community members interested in career opportunities.

These efforts, although planned in advance in most cases, were helpful to the continued loss of positions and business closings in and immediately around the region as the economy continues to enter what has been described as the "Retail Ice Age" in an article shown on FOX News in the

spring of 2017. In the story, Bob Knakal, Chairman of New York City Investment Sales at Cushman & Wakefield is predicted 5,000 retail stores will be closing in 2017. During the past year several large national retailers closed stores including K-Mart, Gordman's, Vanity, Things Remembered, Family Christian Book Store, as well as regional employers which included The Abbey of Le Mars and the Alorica call center located in North Sioux City, South Dakota. The layoffs and closures resulted in more than 400 individuals being dislocated from their current careers.

On the upside the region's core partners have been working very closely with the recruitment staff at Seaboard-Triumph Foods. During the last part of the year and for the near future they worked to fill their long term goals of hiring more than 2,000 employees for their new, state-of-the-art pork processing facility located in Sioux City. Although the opening of the plant was delayed by more than a month due to construction set-backs, the company plans to be up and running by early fall. Efforts from all partners to find, refer, and up-skill potential candidates with short-term training, improved language skills, HSED, detailed resumes, improved interviewing skills, and regular referrals have provided many individuals for the company to interview and consider.

### **Jobs Driven (JD-NEG) and Sector Partnership (SP-NEG) National Emergency Grants**

The funding allocations available to Region 12 for Adult and Dislocated Workers were both relatively limited for this year which was July 1, 2016 through June 30, 2017. The state and region were fortunate to have other funding options specifically available to our region to serve dislocated workers through the Department of Labor Grants known more commonly as the Jobs-Driven National Emergency Grant (JD-NEG) and the Sector Partnership National Emergency Grant (SP-NEG). Changes in the way the JD-NEG could be administered allowed regions to utilize the funds in a manner that was very similar to the requirements of the dislocated worker program. The goal remained to enroll as many people as possible in to on-the-job training and apprenticeships though regions were able to spend the funds on training and other support services even if an apprenticeship did not result at the end of the enrollment. At the completion of both grants on June 30, 2017 there were 43 co-enrollments in the JD-NEG and 40 co-enrollments in the SP-NEG. Of the co-enrollments 8 participants were able to participate in on-the-job training (OJT) which lead to full-time employment for most of the enrollments. Those not able to utilize the OJT option were enrolled in to training programs that resulted in other industry recognized credentials.

As the SP-NEG ended earlier than initially planned, the region worked with the state office of Iowa Workforce Development and received a \$70,000 state emergency grant (SEG) to continue serving the OJT and training related enrollments through the end of the June 2018 when the SP-NEG was planned for completion. It is through this continued partnership that OJT and other related activities in the region will serve dislocated workers as well as meet the needs of business and industry looking for skilled employees.



## Success Stories

During the year the Center worked with a veteran, "Dan" who was homeless and living in his van with his wife. The local Disabled Veterans Opportunity Program (DVOP) representative referred him to Family Alliance for Veterans of America (FAVA) to address his housing issue. FAVA moved quickly to solve the situation allowing the veteran to find housing after it was inspected and approved to meet FAVA standards. FAVA issued checks for deposits, utilities, etc., so "Dan" could move in to the apartment with FAVA assistance with the rent for 90 days. Staff at the One-Stop took action to assist "Dan" in getting his commercial driver's license (CDL) reinstated. Previously, "Dan" lost his driver's and commercial license due to running red lights in his private car. He paid his fines but needed to complete a one day refresher and demonstration class in Sheldon to get his Class A CDL back through a Department of Transportation conducted class and assessment. A local trucking company ran a background check with their insurance company to make sure he was insurable as a driver. He passed the check so the One-Stop Center staff moved forward seeking the \$400 funding to cover the costs of the class. Job Training Partners (WIOA Title I) worked with the Regional Workforce Development Board (RWDB) to review and eventually approve the training program. After the program was approved "Dan" was approved for funding through the Adult program. "Dan" passed the testing and his CDL was reinstated. He started a new job with Meyers Trucking which has their office based in Wisconsin. He is making about \$1000 a week driving long-haul and is fully supporting him and his wife.

"Mike" was a referral from Vocational Rehabilitation (Voc. Rehab) to the Disability Employment Initiative (DEI) Grant staff. "Mike" was diagnosed as being high-functioning autistic with ADHD. "Mike" has been attending college for a degree in IT technology. "Mike's" barriers to employment have kept him from finding employment options in the past that would give him relevant work experience and suitable references. DEI and Title I youth staff worked with the Voc. Rehab staff to seek out options for work experience. Through collaborative efforts an opening for "Mike" was found with a local computer store. The position allowed "Mike" to utilize the skills he had already gained from his college classes while providing him a safe and structured environment to assist with his barriers. "Mike" has been very successful in the position and is looking forward to completing his degree. "Mike's" success was only possible through collaboration of several of the core partners and their dedication to seeing him succeed.

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

ATTACHMENT "D"

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 9-22-17

Name of Institution Bio-Chi Institute of Massage

Address 1925 Geneva St Sioux City, IA

Telephone Number 712-252-1157 Fax 712-252-2066

Location of Training Facility Sioux City Iowa

Name of Chief Executive Officer Kathy Spencer Jensen

Program Contact Information Robin Freeman

Telephone Number 712-252-1157 Email Address r.freeman14@gmail.com

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 Massage and Bodywork 1

B. A brief program description Massage program 1 is a 18 week program that will give students the tools to become a licensed massage therapist.

C. Length of Program 625 hours Total Credit Hours Required 38

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) 171.05
- 1b. Tuition (Out-of-State, per credit hour) 0
- 2. Supplies, including tools, uniforms, etc. 0
- 3. Fees, including laboratory, student rentals, deposits 0
- 4. Miscellaneous charges 0
- 5. Average cost per year for program 6,500.00
- 6. Total cost to complete this program 6,500.00

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**

certify that I am the

Robin Freeman  
Name

Student Services  
Title

of the training

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

Robin Freeman  
Signature

9-22-17  
Date

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

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

- 1. Date institution was founded: 1995
- 2. Number of years the institution has been in continuous operation: 22
- 3. Is the institution accountable to a policy or governmental board?  Yes  No  
If so, what board? \_\_\_\_\_ Please attach a member list.
- 4. Does each program lead to a degree or certification? Please Explain: yes - massage license

### 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: \_\_\_\_\_

### PART IV - FACILITIES

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

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

### PART V - ORGANIZATION OF THE TRAINING INSTITUTION

Please provide a description of each of the following:

- \*The number of persons employed - 7
- \*Current number of students enrolled - 4
- \*Class size to instructor ratio 1-10
- \*School Calendar
- \*Availability of Transcripts - Yes

### 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: \$20-25.00 a hour

Bio- Chi Institute of Massage Therapy  
1925 Geneva St.  
Sioux City, IA 51103  
(712) 252-1157

This Bio-Chi Institute of Massage was founded in 1995 with the original owners Lonnie & Kathy Jensen. Who continues to teach today? From 2012-2017 the school has had 53 students attend with 45 of the completing the program and are working licensed massage therapist.

Bio-Chi Institute offers 2 massage programs:

Massage and Bodywork 1- 625 hours, 38 credits, 18 weeks

This program is an entry-level program the will teach students the basic skills to be a successful Licensed Massage Therapist.

Massage and Bodywork 2- 1000 hours, 54 credits, 36 weeks

This is a continuing program from Massage and Bodywork 1. The program is designed to teach advance techniques. The 1000 hours is also requires by the state of Nebraska. Since we are a school that boards them we like to give that option.

All costs are included in tuition. Students are required to take their State boards before the y graduate. After the boards are passes, and they have graduated students will then apply to the state for a licenses.

The school offers assistant with job placement. Currently we hold a 100% placement rating for students.

Thank you,



Robin Freeman  
Student Services

9/22/17

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

**ATTACHMENT "E"**

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 07/17/2017

Name of Institution LS Coding & Education LLC

Address 5991 East Grant Road Tucson, AZ 85712

Telephone Number 520-777-8853 Fax 520-777-8893

Location of Training Facility Online and at our Tucson Arizona facility

Name of Chief Executive Officer Lynn Schoeler

Program Contact Information Edward Schoeler

Telephone Number 520-777-8853 Email Address Enrollment@certifiedcodertraining.com

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 AAPC Professional Medical Coding Curriculum

B. A brief program description Students learn to use the 3 HIPAA approved coding books CPT-4, ICD-10-CM, HCPCS Level II.  
Students also learn how to abstract from a medical record and apply the guidelines and apply  
the guidelines from AMA and CMS to choose the correct code to represent what services  
were provided and prove the medical necessity of the service being billed.  
Once a student passes the course they are eligible to sit for the AAPC national examination.

C. Length of Program 36 weeks Total Credit Hours Required 512

D. What is the method of delivery?

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

Web-Based (Internet) URL Address http://www.certifiedcodertraining.com http://www.onlinecpc.net

**PROGRAM COSTS:**

1a. Tuition (per credit hour)	4.58
1b. Tuition (Out-of-State, per credit hour)	4.58
2. Supplies, including tools, uniforms, etc.	0
3. Fees, including laboratory, student rentals, deposits	270
4. Miscellaneous charges	390
5. Average cost per year for program	3010
6. Total cost to complete this program	3010

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, Edward Schoeler certify that I am the Enrollment Administrator 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.

LS Coding and Education LLC 07/17/2017  
Signature Date

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: 10/1/2000
2. Number of years the institution has been in continuous operation: 17
3. Is the institution accountable to a policy or governmental board?  Yes  No
- If so, what board? Arizona Private Post Secondary Board Please attach a member list.
4. Does each program lead to a degree or certification? Please Explain: Certification by the American Academy Of Professional Coders

### 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:

As required by Arizona Private Post Secondary (See Catalog)

### PART IV - FACILITIES

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

- \*The number of buildings 1      \*Availability of suitable training equipment Students must have their own PC and Internet access  
\*Handicap accessibility Yes      \*Compliance with fire, building and safety codes, including off-campus locations or other sites Yes

### PART V - ORGANIZATION OF THE TRAINING INSTITUTION

Please provide a description of each of the following:

- \*The number of persons employed 4  
\*Current number of students enrolled 343  
\*Class size to instructor ratio 25 to 1  
\*School Calendar Classes start monthly  
\*Availability of Transcripts No

### 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: Successfully attended all classes and passed all exams with a minimum of 70%

- 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: Feedback forms, 85%, 2016

- \*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: 18





# REGION 12 WORKFORCE DEVELOPMENT BOARD

## Bylaws

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### 1. Territory of Region.

Region 12 (Region) consists of the following counties in the State of Iowa (State):

- Cherokee
- Ida
- Monona
- Plymouth
- Woodbury

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### 2. Effective Date.

These Bylaws take effect on November 16, 2017.

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### 3. Vision.

- 3.1. The Region 12 Workforce Development Board (WDB) will serve as a strategic leader and convener of local workforce development system stakeholders.
- 3.2. The WDB will partner with employers and the local workforce development system to develop policies and investments that support public workforce system strategies that support:
  - 1) The regional economy;
  - 2) The development of effective approaches including local and regional sector partnerships and career pathways; and
  - 3) High quality, customer centered service delivery and service delivery approaches.

- 3.3. In partnership with the CEO Board, the WDB will set policy for the portion of the statewide workforce development system within the Region and consistent with State policies.

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## **4. Goals.**

Iowa *WORKS* Greater Siouxland will deliver a demand driven system that focuses on building a workforce of high skilled, high wage jobs that will enable the employers of our region to remain competitive in a global environment. The One Stop system within our region is a comprehensive, integrated service delivery system that is responsive to the employment and training needs of the customers we serve and incorporates the products and services of our partners in order to assure that customer needs are met without duplicating services and are delivered efficiently and cost effectively. The vision of the region is for all career-seekers to have a career path and that all businesses will have their positions filled with career-ready individuals.

The WDB will work to achieve the following goals:

- 4.1. The Region's employers will have access to advanced, skilled, diverse, and Future Ready workers.
- 4.2. All Iowans in the Region will be provided access to a continuum of high-quality education, training, and career opportunities.
- 4.3. The Region's one-stop delivery system will align all programs and services in an accessible, seamless, and integrated manner.
- 4.4. All youth will be afforded the best educational and career opportunities in the nation.
- 4.5. The Region will improve the structure, accessibility and administration of workforce delivery systems across the state.
- 4.6. [Add any additional goals from the WDB.]

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## **5. Functions.**

The WDB will perform the functions in Iowa Code section 84A.4 and section 107(d) of WIOA as well as any other functions necessary to implement title I of the federal Workforce Innovation and Opportunity Act of 2014 (WIOA), Public Law No. 113-128.

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## **6. Responsibilities.**

### **6.1. Convene Stakeholders in the Region's One-Stop Delivery System.**

In order to ensure that its members actively participate in the convening of stakeholders in the one-stop delivery system, the WDB will:

6.1.2. Identify and quantify employers' education, training, and employment needs and capture those needs in a talent supply and demand interactive portal to be driven by a public-private collaborative, leveraging and institutionalizing the sector strategies and career pathway methodologies.

6.1.3. Improve degree and credential completion and target resources to support attainment of high demand credentials, degrees, and certifications valued by employers, including for those individuals with barriers to employment.

6.1.4. Cultivate, develop and align work-based learning opportunities including, but not limited to STEM school-business partnerships, student internships, teacher externships and apprenticeships for individuals through public-private partnerships.

6.1.5. Create a system of coordinated resources to engage, assist, and reinforce Future Ready career guidance for parents, students, educators and adults.

6.1.6. Ensure secondary students have access to high quality career and technical educational programs aligned with labor market needs.

6.1.7. Ensure all Iowa students meet high state academic standards, including being literate by the end of the third grade and promoting STEM disciplines.

6.1.8. Increase rigorous concurrent post-secondary enrollment opportunities in high demand career pathways, including STEM disciplines.

6.1.9. Institutionalize the college-going process within secondary schools statewide (College Application Campaign, FAFSA completion, assessing "college fit", etc.)

6.1.10. Elevate and operationalize promising financial literacy models that impact student borrowing.

6.1.11. Nurture entrepreneurial connectivity and skills development.

6.1.12. Adult Basic Education, English as a Second Language, Literacy and high school equivalency completions so our customers have skills that will lead them to family sustaining wages and security that comes with a marketable skill set.

Success of the system will be measured when the Region 12 one-stop system partners report on the progress of the WIOA performance measures. All partners also agree to work collaboratively on attaining

the DOL Common Performance Measures and involve a number of partners. This collaboration includes strategizing on approaches to attain these measures and providing data to the performance reporting system. In addition, success stories from the core partners, community partners, and their collaborative efforts will be used to show how the partners are utilizing their collective resources to best serve the region.

## **6.2. Broker Relationships with a diverse Range of Employers.**

In order to ensure that its members actively participate in the brokering of relationships with a diverse range of employers, the WDB will:

- 6.2.1. Work in partnership with economic developers from the counties and cities in Region 12 to expand the knowledge of training opportunities available to new and expanding businesses.
- 6.2.2. Enhance the relationship between training providers and business employers in the region.
- 6.2.3. Identify and expand means to share information about training opportunities to entry-level workers, especially with the preparation for under-utilized populations such as veterans, ex-offenders, disabled, non-English speaking minorities, older workers, youth and families on Temporary Assistance (TANF) in the region.
- 6.2.4. Increase the knowledge of employers in services that can prepare them in employing people in under-utilized populations.
- 6.2.5. Increase the availability of workers trained in soft skills.
- 6.2.6. Increase the availability of workers trained and certified in technical areas, including healthcare, welding, information technology, education, advanced manufacturing, industrial maintenance, transportation/logistics, and skilled trades.
- 6.2.7. Encourage and expand ways to identify businesses that can be assisted by the workforce system.

Success of the system will be measured when the Region 12 one-stop system partners report on the progress of the WIOA performance measures. All partners also agree to work collaboratively on attaining the DOL Common Performance Measures and involve a number of partners. This collaboration includes strategizing on approaches to attain these measures and providing data to the performance reporting system. In addition, success stories from the core partners, community partners, and their collaborative efforts will be used to show how the partners are utilizing their collective resources to best serve the region.

## **6.3. Leverage Support for Workforce Development Activities.**

In order to ensure that its members actively participate in the leveraging of support for workforce development activities, the WDB will:

- 6.3.1. Continue to expand marketing of available workforce products and services throughout the communities in the region. Adding access through Core partner sites within the region will be an important part of this connectivity.
- 6.3.2. Make a variety of Iowa *WORKS* partner services and information available throughout the region in all partner locations.
- 6.3.3. Continue to work with communities to find ways to address the needs of the ever growing diversity of the workforce, including veterans, ex-offenders, disabled, non-English speaking minorities, older workers, those on Temporary Assistance, and youth.
- 6.3.4. Make HSED/English Language Learner training information more readily available.
- 6.3.5. Make information on citizenship training, English Language Learner (ELL), and High School Equivalency Diploma (HSED) options the more readily available to the jobseeker.
- 6.3.6. Continue to work to develop and market a greater variety and number of skill upgrade and short-term training programs with multiple entry and exit opportunities to jobseekers.
- 6.3.7. Promote the use of the National Career Readiness Certificate as an assessment to better define employment skill levels to the employer.
- 6.3.8. Promote Skilled Iowa and Future Ready Iowa Initiative to workers in current and future jobs.
- 6.3.9. Develop permanent solutions for housing, communication, and other challenges to careers with both immediate referral information and regularly scheduled workshops to help with long term planning.

Success of the system will be measured when the Region 12 one-stop system partners report on the progress of the WIOA performance measures. All partners also agree to work collaboratively on attaining the DOL Common Performance Measures and involve a number of partners. This collaboration includes strategizing on approaches to attain these measures and providing data to the performance reporting system. In addition, success stories from the core partners, community partners, and their collaborative efforts will be used to show how the partners are utilizing their collective resources to best serve the region.

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## **7. Members.**

- 7.1. The WDB's membership must meet the requirements in:
  - 7.1.1. The criteria for appointment to local workforce development boards in Iowa as established by the State Workforce Development Board pursuant to section 107(b)(1) of WIOA; and
  - 7.1.2. Section 107(b)(2) of WIOA.

- 7.2. The WDB shall have a total of [number written out] ( ) voting members, with each representing an entity located within the Region. The WDB's voting membership shall consist of:
- 7.2.1. [Number] ( ) representatives of business.
  - 7.2.2. [Number] ( ) representatives of labor organizations.
  - 7.2.3. One representative of a Registered Apprenticeship program.
  - 7.2.4. One (1) representative of a community-based organization.
  - 7.2.5. One (1) representative of an institution of higher education that performs workforce investment activities.
  - 7.2.6. One (1) representative of an economic and community development entity.
  - 7.2.7. One (1) representative of an eligible provider of adult education and literacy activities under the federal Adult Education and Family Literacy Act (AEFLA), as amended by title II of WIOA.
  - 7.2.8. One (1) representative of the employment service program under the Wagner-Peyser Act, as amended by title III of WIOA.
  - 7.2.9. One (1) representative of a vocational rehabilitation program under the federal Rehabilitation Act of 1973, as amended by title IV of WIOA.
- 7.3. The WDB may have nonvoting members, representing entities located within the Region. The WDB's nonvoting membership may consist of members of the region the WDB deems appropriate to fulfill its role and may include members such as but not limited to:
- 7.3.1. One (1) representative who is a city elected official.
  - 7.3.2. One (1) representative of a K-12 school district.
  - 7.3.3. One (1) representative who is a county official.

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## **8. Nomination Process.**

- 8.1. Representatives of business must be nominated by local business organizations and/or business trade organizations.
- 8.2. Representatives of labor organizations must be nominated by local labor federations.
- 8.3. Every applicant to serve on the WDB, regardless of whether the nominee is a current member seeking re-appointment or an individual who has never served on the WDB before, must complete and sign the application to serve on the WDB that is created and distributed by IWD in collaboration with the Governor's office.

- 8.4. Every applicant to serve on the WDB must submit the applicant's completed and signed application to the chairperson of the CEO Board.
- 8.5. When there is more than one eligible provider of adult education and literacy activities under the AEFLA, as amended by title II of WIOA, the CEO Board must solicit nominations from those providers.
- 8.6. When there is more than one institution of higher education providing workforce investment activities, the CEO Board must solicit nominations from those providers.
- 8.7. The representative of the employment service program under the Wagner-Peyser Act, as amended by title III of WIOA, must be nominated by IWD.
- 8.8. The representative of a vocational rehabilitation program under the Rehabilitation Act of 1973, as amended by title IV of WIOA, must be nominated by IVRS and IDB.
- 8.9. The CEO Board shall expediently vote on approval of an applicant and transmit the application to IWD, in accordance with the procedure established by IWD.
- 8.10. IWD will review each application to ensure it is complete and signed. If an application is not complete or signed, IWD will alert the CEO Board chairperson, WDB chairperson, and applicant. If an application is complete and signed, IWD will transmit the application to the Governor for consideration.
- 8.11. To ensure the prompt nomination of applicants for WDB membership positions that are vacated due to the end of the member's term of service, the WDB shall submit each year, in the month of January, to the CEO Board a report that includes:
  - 8.11.1. A complete membership roster of voting and nonvoting WDB members;
  - 8.11.2. The affiliation category of each WDB member;
  - 8.11.3. The appointment date of each WDB member; and
  - 8.11.4. The date upon which each WDB member's term of service on the WDB ends.

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## **9. Appointments.**

- 9.1. Only the Governor is authorized to appoint nominees to serve on the WDB under Iowa Code section 84A.4.
- 9.2. The Governor will notify IWD in writing of the appointment or rejection of a CEO Board nominee for the WDB.
- 9.3. IWD will notify the CEO Board of the Governor's appointment or rejection of a CEO Board nominee for the WDB.

- 9.4. An appointed member must complete the oath of office at the start of the member's term of service on the WDB. A member's completed oath of office shall cover the entirety of the member's term of service.
- 9.5. To ensure the prompt nomination of applicants for WDB membership positions that are vacated due to the end of the member's term of service, the WDB shall submit each year, in the month of January, to the CEO Board a report that includes:
  - 9.5.1. A complete membership roster of voting and nonvoting WDB members;
  - 9.5.2. The affiliation category of each WDB member;
  - 9.5.3. The appointment date of each WDB member; and
  - 9.5.4. The date upon which each WDB member's term of service on the WDB ends.

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## **10. Member Resignation.**

- 10.1. To resign from the WDB, a member must submit a written letter of resignation that is signed and dated by the member and that contains:
  - 10.1.1. The member's full name;
  - 10.1.2. An affirmative statement of resignation from the WDB; and
  - 10.1.3. The effective date of the member's resignation.
- 10.2. The member must send — electronically or by U.S. Mail — the member's letter of resignation to both the chairperson of the WDB and/or the chairperson of the CEO Board.
- 10.3. A WDB member's letter of resignation shall be a public record under the Iowa Open Records Act, Iowa Code chapter 22.
- 10.4. Notwithstanding Sections 10.1 through 10.3, a WDB member may be deemed to have resigned as a matter of law pursuant to Iowa Code section 69.15 if either of the following events occurs:
  - 10.4.1. The member misses three or more consecutive meetings of the WDB. This paragraph does not apply unless the first and last of the consecutive meetings counted for this purpose are at least thirty (30) days apart; or
  - 10.4.2. The member attends less than one-half of the regular meetings of the WDB within any period of twelve (12) calendar months beginning on January 1 or July 1. This paragraph does not apply unless the WDB holds at least four regular meetings during such period and applies only to such period beginning on or after the date upon which the member takes the oath of office and executes the required paperwork for the Iowa Secretary of State.



- 10.4.3. However, if a member received no notice and had no knowledge of a regular meeting and gives the chairperson of the CEO Board and the Governor a sworn statement to that effect within ten (10) days after the person learns of the meeting, such meeting shall not be counted for the purposes of Iowa Code section 69.15 and this Section.
- 10.4.4. The CEO Board, in its discretion, may accept or reject a resignation under Iowa Code section 69.15 and this Section. If the CEO Board accepts, the CEO Board must notify the WDB member and the Governor, in writing, that the resignation is accepted pursuant to Iowa Code section 69.15 and this Section.

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## **11. Member Removal.**

- 11.1. The CEO Board may remove a member from the WDB for conduct detrimental to the WDB.
- 11.2. The determination of whether conduct is detrimental to the WDB will be made on a case-by-case basis, depending on the facts of the situation. Conduct detrimental to the WDB may include, but is not limited to: criminal behavior, misuse of WDB funds, the acceptance of something of value in exchange for the specific performance of an official WDB function, a violation of the WDB conflict of interest policy, intentional violation of the Iowa Open Meetings Act, etc.
- 11.3. The CEO Board may appoint an independent entity to investigate the conduct of a WDB member and report back findings.
- 11.4. The WDB may recommend the removal of a WDB member to the CEO Board for conduct detrimental to the WDB by a vote in open session of no less than two-thirds (2/3) of the WDB's voting members. The WDB must include the reason for the removal vote in that meeting's minutes.
- 11.5. The CEO Board may remove a member from the WDB by a vote in open session of no less than two-thirds (2/3) of the CEO Board's membership. The CEO Board must include the reason for the removal vote in that meeting's minutes.
- 11.6. As soon as practicable but not later than five (5) days after the CEO Board's vote to remove a member from the WDB, the chairperson of the CEO Board must notify the WDB member, IWD, and the Governor's office in writing of the CEO Board's vote to remove the member and the reason for the removal.

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## **12. Terms of Service.**

- 12.1. The following voting members shall each serve a term of four (4) years:
- 12.1.1. Representatives of business;
  - 12.1.2. Representatives of labor;

- 12.1.3. The representative of a community-based organization;
  - 12.1.4. The representative of a Registered Apprenticeship program;
  - 12.1.5. The representative of an institution of higher education; and
  - 12.1.6. The representative of an entity performing economic and community development.
- 12.2. Members representing the employment service program under the Wagner-Peyser Act, as amended by title III of WIOA; a vocational rehabilitation program under the Rehabilitation Act of 1973, as amended by title IV of WIOA; and an eligible provider of adult education and family literacy activities under the AEFLA, as amended by title II of WIOA, shall serve until:
- 12.2.1. The entity the member represents loses its status as an entity providing such program services or activities; or
  - 12.2.2. The member no longer works for or has ultimate policymaking authority for the entity the individual represents.
- 12.3. So long as an individual meets all applicable criteria necessary to qualify to serve on the WDB as a representative with a certain affiliation type under Section 7.1, there is no limit on the number of terms an individual may serve as a member of the WDB.
- 12.4. The CEO Board must stagger the terms of WDB members so that no more than one-quarter (1/4) of the WDB's members have their terms expire in a given year.

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### **13. Executive Officers.**

The WDB shall have executive officers identified in this Section.

#### **17.1. Chairperson.**

- 17.1.1. The CEO Board must choose the WDB chairperson from among the WDB representative(s) of business who the WDB nominates at its annual May meeting.
- 17.1.2. The WDB chairperson shall serve a term of one year.
- 17.1.3. A WDB member who has served a term as the chairperson once may serve additional terms as the chairperson, if appointed by the CEO Board.
- 17.1.4. The WDB chairperson shall preside over WDB meetings.
- 17.1.5. The WDB chairperson must communicate in writing the chairperson's receipt of a WDB member's resignation to the WDB's membership and the CEO Board's membership.

## **17.2. Vice Chairperson**

17.2.1. At its annual May meeting, the WDB shall choose a vice chairperson from among its voting members.

17.2.2. The WDB vice chairperson shall serve a term of one year.

17.2.3. A WDB member who has served a term as the vice chairperson once may serve additional terms as the vice chairperson, if chosen by a majority vote in a public meeting of the WDB.

17.2.4. The vice chairperson of the WDB shall preside over WDB meetings if the chairperson is absent.

## **17.3. Secretary**

17.3.1. At its annual May meeting, the WDB shall choose a secretary from among its voting members.

17.3.2. The WDB secretary shall serve a term of one year.

17.3.3. A WDB member who has served a term as the vice chairperson once may serve additional terms as the vice chairperson, if chosen by a majority vote in a public meeting of the WDB.

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## **18. Meetings.**

18.3. The Iowa Open Meetings Act, Iowa Code chapter 21, governs meetings of the WDB.

18.4. Any formal or informal gathering of a majority of the voting members of the WDB constitutes a meeting of the WDB.

18.5. The WDB may not take action without a quorum. A majority of the voting members of the WDB, who have completed the appointment process, constitutes a quorum. The WDB may not take action via an email vote.

18.6. The WDB may meet at a date and time designated by the WDB chairperson or upon submission to the chairperson of a written request by a majority of the WDB's voting members for a meeting at a certain date and time.

18.7. The WDB and its standing committees must use technology to promote member participation.

18.7.1. All WDB meetings must have a conference call option that allows members and the public to participate via telephone.

18.7.2. A WDB meeting may have an online conference option that allows members and the public to participate online.

- 18.7.3. The WDB must provide an accessible location where members of the public may use technology to access the meeting. If the WDB has an accessible location where some members of the WDB will gather in person for the WDB meeting, that location will meet the requirements in this Section.
- 18.7.4. The notice of the WDB meeting must include information on how a member of the public may access the meeting using technology.

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## **19. Alternative Designee Process.**

- 19.3. A WDB member who is unable to attend a meeting may assign an alternative designee to attend the meeting as the member's proxy.
- 19.4. An alternative designee for a representative of business on the WDB must have optimum policymaking authority or ultimate hiring authority for the business the individual would represent.
- 19.5. An alternative designee for a representative on the WDB identified in Sections 7.2.2 through 7.2.9 must have optimum policymaking authority and demonstrated experience and expertise.
- 19.6. A WDB member who wishes to have an alternative designee attend a meeting as the member's proxy must give as much advance notice as possible under the circumstance to the chairpersons of the WDB and CEO Board. Such notice must include the following information regarding the alternative designee:
- 19.6.1. Full name;
  - 19.6.2. Job title;
  - 19.6.3. Name of the organization the individual will represent;
  - 19.6.4. The location of the organization;
  - 19.6.5. If the alternative designee is a representative of business, whether the alternative designee has optimum policymaking authority or ultimate hiring authority.
  - 19.6.6. If the alternative designee is a representative identified in Sections 7.2.2 through 7.2.9, whether the individual has optimum policymaking authority and demonstrated experience and expertise.
- 19.7. The chairperson of the WDB must distribute the notice to the WDB as soon as practicable after receipt of notice under Section 19.3.
- 19.8. At the start of the WDB meeting at which the alternative designee is intended to serve as a proxy, the WDB must vote in open session on whether to accept the alternative designee as the WDB member's proxy for the meeting.

- 19.9. The WDB must include in the minutes of the meeting both the notice provided under Section 19.3 and the results of the WDB's vote on whether to accept the alternative designee as the WDB member's proxy.

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## 20. Standing Committees.

- 20.3. The WDB may designate and direct the activities of standing committees to provide information and to assist the WDB in carrying out its functions, duties, and responsibilities.
- 20.4. A standing committee must have a member (voting or nonvoting) of the WDB as its chairperson.
- 20.5. A standing committee may have other members of the WDB as members.
- 20.6. A standing committee may include other individuals appointed by the WDB who are not members of the WDB and who the WDB determines have demonstrated experience and expertise.
- 20.7. The WDB may designate an entity in existence as of the date of the enactment of WIOA, such as an effective youth council, to serve as a standing committee as long as the entity meets the requirements in this Section.
- 20.8. A standing committee may make recommendations to the WDB regarding the standing committee's membership.
- 20.9. The WDB may authorize a standing committee to appoint individuals to serve as standing committee members so long as they have sufficient experience and expertise.
- 20.10. The WDB may require its standing committees to report back to the WDB as the WDB deems appropriate.
- 20.11. A standing committee may form work groups as the standing committee deems appropriate.
- 20.12. **Disability Access Standing Committee.** The WDB shall have a disability access committee that will provide information and assist with operational and other issues relating to the provision of services to individuals with disabilities, including but not limited to:
- 20.12.1. Issues relating to compliance with the Iowa Civil Rights Act of 1965, as amended, the Americans with Disabilities Act of 1990, as amended (ADA); and section 188 of WIOA regarding physical and programmatic access to the services programs, and activities of the one-stop delivery system, including the performance of the annual assessment of physical and programmatic accessibility of all one-stop centers in the Region, as required by section 107(d)(13) of WIOA and in accordance with section 188 of WIOA and the American Disabilities Act of 1990, as amended, 42 U.S.C. section 12101 *et seq.*
- 20.12.2. Appropriate training for staff on providing services, supports for, or accommodations to individuals with disabilities;

20.12.3. Appropriate training for staff on providing services, supports for, or accommodations with respect to finding employment opportunities for individuals with disabilities, with an emphasis on competitive integrated employment; and

20.12.4. Work with the State Workforce Development Board Disability Access Committee to implement statewide initiatives in the Region.

**20.13. Youth Standing Committee.** The WDB shall have a youth standing committee with duties and responsibilities that include:

20.13.1. Providing information to the WDB on the provision of services to youth;

20.13.2. To assist with planning, operational, and other issues relating to the provision of services to youth;

20.13.3. Coordinating programs, services, and activities that address the employment, training, or education needs of eligible youth, including out-of-school youth, in the Region; and

20.13.4. Coordinating with the State Workforce Development Board Youth Standing Committee on statewide initiatives.

**20.14. Operations Standing Committee.** The WDB shall have an operations committee.

20.14.1. The membership of the WDB's operations committee must, at a minimum, include the RWD members representing each of the core programs under WIOA, the director of the Region's youth, adult, and dislocated worker programs under title I of WIOA, a representative of IDB, and representatives of other partner entities in the Region, as deemed appropriate by the operations committee.

20.14.2. The WDB's operations committee must send to the members of the WDB and CEO Board a report every quarter. Such report must contain a summary of activities in the Region during the preceding quarter, anticipated activities during the current quarter for each partner program and information about individuals served by the operations committee's respective programs during the preceding quarter.

20.14.3. The WDB's operations committee must report to the WDB each meeting.

**20.15. Executive Standing Committee.**

20.15.1. WDB Chair

20.15.2. WDB Vice-Chair

20.15.3. WDB Secretary

20.15.4. CEO Chair

20.15.5. CEO Vice-Chair

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## 21. Suspected Violation of Conflict of Interest Policy.

- 21.3. The WDB may vote to recommend that the CEO Board investigate one of its members for violating the WDB conflict of interest policy.
- 21.4. The WDB must notify the chairperson of the CEO Board and IWD, in writing, of any vote to recommend CEO Board investigation of a WDB member under this Section. Such notification must include:
- 21.4.1. The WDB member's name; and
  - 21.4.2. A summary of the events that form the basis for the WDB's recommendation.
- 21.5. The CEO Board may investigate a WDB member if:
- 21.5.1. There is reasonable cause to believe that an actual or possible conflict of interest exists for a WDB member and such member has not disclosed such to the WDB; or
  - 21.5.2. A WDB board member engaged in conduct forbidden under the conflict of interest policy.
- 21.6. An investigation under Section 21.3 must follow the following procedures:
- 21.6.1. **Notice.** As soon as practicable but not more than five days after the CEO Board votes to investigate, the CEO Board must inform the WDB member in writing of the basis for its belief that the WDB member has failed to disclose an actual or possible conflict of interest.
  - 21.6.2. **Explanation.** The CEO Board must afford the member an opportunity to explain the alleged failure to disclose or forbidden conduct.
    - 21.6.2.1. The WDB member's explanation must be in writing.
    - 21.6.2.2. The WDB member's explanation must be submitted to the chairperson of the CEO Board as soon as practicable but no later than ten (10) days after the member receives notice from the CEO Board.
    - 21.6.2.3. The WDB member may elect to make a presentation to the CEO Board at a meeting in addition to the member's written explanation.
  - 21.6.3. **Further Board Investigation.** After receipt of the WDB member's explanation, the CEO Board may make further investigation as warranted under the circumstances. The CEO Board may designate and direct a committee of the board or a third party to conduct any such investigation.
  - 21.6.4. **Vote on Whether a Violation Occurred in Open Session.** The CEO Board must conduct a roll-call vote in open session that is separate from any other votes, on the question of whether the WDB member violated the conflict of interest policy.

- 21.6.5. **Vote on Disciplinary Action.** In a roll-call vote in open session that is separate from any other votes, the CEO Board may take disciplinary action up to and including removal of the board member.
- 21.6.6. **Vote on Corrective Action.** In a roll-call vote in open session that is separate from any other votes, the CEO Board may take corrective action up to and including the rescission of any part of any process in which the WDB member participated that constituted a conflict of interest.
- 21.6.7. **Notice to IWD and the Governor.** As soon as practicable and no more than five days after CEO Board action pursuant to Sections 21.4.4 through 21.4.6, the CEO Board must notify, in writing, the members of the WDB, IWD, and the Governor's office of the investigation, findings, any disciplinary action, and any corrective action.

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## **22. Bylaws Amendment Procedure.**

- 22.3. These Bylaws may be amended only in accordance with Section 22.2 or 22.3.
- 22.4. The CEO Board may amend these Bylaws by majority vote to adopt the amendment in open session of a public meeting. An amendment to these Bylaws by the CEO Board will take effect on either the date of the vote or the date set by the CEO Board.
- 22.5. The WDB may initiate an amendment to these Bylaws. An amendment initiated by the WDB must be in accordance with the following:
- 22.5.1. A majority vote of the WDB in open session of a public meeting approving the amendment and the submission of the amendment to the CEO Board for its consideration; and
- 22.5.2. A majority vote of the CEO Board in open session of a public meeting to adopt the amendment.
- 22.5.3. An amendment to these Bylaws initiated by the WDB will take effect on either the date of a CEO Board vote to adopt the amendment or the date set by the CEO Board.



PLEASE NOTE: You now report CUMULATIVE to date!

Cumulative Quarterly Report for Quarter Ending: 03/31/17	Region # 12
Grantee: Iowa Workforce Development	
Project ID: JD-NEG - IA-55	
Project Name: Apprenticeship ID-NEG	
Grant Quarter: 12	
Performance Period Covered by this Report:	
Mo/Day/Yr 04/01/17 to Mo/Day/Yr 06/30/17	
<b>CUMULATIVE PARTICIPANT INFORMATION</b>	
Receiving Intensive Services	43
Enrolled in Training	41
Enrolled in OJT	8
Receiving Supportive Services	29
Receiving Needs-Related Payments (always 0)	0
Exits	2
Entering Employment at Exit	2
Entering OJT Employment at Exit	1
Entering OJT-Related Employment at Exit	1
<b>TOTAL PLANNED PARTICIPANTS</b>	<b>60</b>
<b>CUMULATIVE PARTICIPANT EXPENDITURES</b>	
Core And Intensive Services	\$ 161,709.00
Training	\$ 54,924.00
OJT Training Employer Reimbursement	\$ 27,371.00
Supportive Services	\$ 0
NRPs (always 0)	\$ 244,004.00
Total participant expenditures	
<b>CUMULATIVE PROGRAM MANAGEMENT &amp; OVERSIGHT</b>	
Admin Excluding NRP Processing	\$31,781
NRP Processing (always 0)	\$ 0
Other (always 0)	\$ 0
<b>TOTAL: PROGRAM MANAGEMENT &amp; OVERSIGHT</b>	<b>\$31,781</b>
Other (always 0)	\$ 0
<b>TOTAL EXPENDITURES: PROJECT OPERATOR LEVEL &gt;</b>	<b>\$275,785.00</b>
(The line above is total of "Participant Expenditures" plus "Total Expenditures: Project Operator Level")	

Enrolled in Training includes those enrolled in OJTs.

This is all staff costs charged to the grant  
 This are costs paid for training including OJTs.  
 OJT costs are to be included in "Training." This entry is "0"  
 Support services for any apprenticeship participant in any activity

Total of all the above costs

Admin charged for the Apprenticeship grant

Total which should equal the Admin amount above it.

Total: This should be the c28 costs plus the c33 costs.

The total on line C35 should be equal to the amount claimed on the FSRs for the quarter

Cumulative Quarterly Report for Quarter Ending: 6/30/17	Region # 12
Grantee: Iowa Workforce Development	
Project ID: IA-56	
Project Name: Sector Partnership (SP) NEG	
Grant Quarter: 8	
Performance Period Covered by this Report: Mo/Da/Yr 04/01/17 to Mo/Da/Yr 06/30/17	
<b>CUMULATIVE PARTICIPANT INFORMATION</b>	
Receiving Intensive Services	40
Enrolled in Training	39
Enrolled in OJT	8
Receiving Supportive Services	29
Receiving Needs-Related Payments (always 0)	0
Exits	2
Entering Employment at Exit	2
Entering OJT Employment at Exit	1
Entering OJT-Related Employment at Exit	1
<b>TOTAL PLANNED PARTICIPANTS</b>	
<b>CUMULATIVE PARTICIPANT EXPENDITURES</b>	
Core And Intensive Services	\$ 49,831.00
Training	\$ 32,642.00
OJT Training Employer Reimbursement	\$
Supportive Services	\$ 2,463.00
NRPs (always 0)	\$0
Total participant expenditures	\$ 84,936.00
<b>CUMULATIVE PROGRAM MANAGEMENT &amp; OVERSIGHT</b>	
Admin Excluding NRP Processing	\$112,245
NRP Processing (always 0)	\$0
Other (always 0)	\$0
<b>TOTAL: PROGRAM MANAGEMENT &amp; OVERSIGHT</b>	\$112,245
Other (always 0)	\$0
<b>TOTAL EXPENDITURES: PROJECT OPERATOR LEVEL &gt;</b> (The line above is total of "Participant Expenditures" plus "Total Expenditures: Project Operator Level")	\$97,181.00

**Please be sure that all participant numbers and expenditure amounts are reported as a cumulative total from 5/16/16 through 6/30/17.**

If you have questions on this report please contact Todd McGee at (515) 281-4710 or todd.mcgee@iwd.iowa.gov.

Enrolled in Training includes those enrolled in OJTs.

This is all staff costs charged to the grant

This are costs paid for training including OJTs.

OJT costs are to be included in "Training." This entry is "0"

Support services for any apprenticeship participant in any activity

Total of all the above costs

Admin charged for the Apprenticeship grant

Total which should equal the Admin amount above it.

Total: This should be the c28 costs plus the c33 costs.

The total on line C35 should be equal to the amount claimed on the FSRs for the quarter



## WORKFORCE DEVELOPMENT BOARDS: Draft Conflict of Interest Policy

### 1. EFFECTIVE DATE.

This Policy takes effect on \_\_\_\_\_, 2017.

### 2. DEFINITIONS.

For purposes of this Policy, the following terms have the following meanings.

#### 2.1. Board.

The State Workforce Development Board under Iowa Code section 84A.1A and WIOA section 101 (State Board), a Local Workforce Development Board under Iowa Code section 84A.4 and WIOA section 107 (Local Board), and any committee created by the State Board or a Local Board.

#### 2.2. Board Member.

A voting or nonvoting member of a board.

#### 2.3. Compensation.

Direct or indirect remuneration, as well as gifts or favors that are not insubstantial.

#### 2.4. Conflict of Interest.

Any private interest of a board member that directly or indirectly, through business, investment, or family, affects the judgment of the board member in a manner that is adverse to the interests of the board or might have the appearance of doing so, including:

- 1) An ownership, investment, or compensation interest in an entity with which the board has a transaction or arrangement;
- 2) A potential ownership, investment, or compensation interest in an entity with which the board is negotiating a transaction or arrangement;
- 3) Receipt of a gift from any entity or individual with which the board has a transaction or arrangement;
- 4) Receipt of a gift from any entity or individual with which the board is negotiating a transaction or arrangement;
- 5) Performing a decision-making or oversight role for an entity or individual with which the board has a transaction or arrangement; or
- 6) Performing a decision-making or oversight role for an entity or individual with which the board is negotiating a transaction or arrangement.

## **2.5. Disclosure.**

A written description of a board member's actual or possible conflict of interest that includes all material facts related thereto and is submitted to the board for consideration and inclusion in the meeting minutes.

## **2.6. Gift.**

A rendering of anything of value in return for which legal consideration of equal or greater value is not given and received.

## **2.7. Family.**

Parents, siblings, spouse, domestic partner, significant other, children, and grandchildren whether related biologically, through marriage, or through domestic partnership.

## **2.8. Significant Other.**

An individual with whom a board member is romantically involved.

## **3. APPLICABILITY.**

This Policy applies to the State Board and each Local Board in Iowa.

## **4. BOARD MEMBER DUTIES & RESPONSIBILITIES.**

Board members occupy positions of public trust. Board members are obligated to discharge their duties in good faith pursuit of the public good and with undivided loyalty to the board upon which they serve. They must act in the course of their duties solely in the board and public's best interests. Board members must act without regard to the interests of any other organization with which they are associated or individual with whom they have a relationship. Board members must refrain from taking part in any board matter if they cannot act with undivided loyalty to the board and in the public good.

## **5. PURPOSE.**

The purpose of this Policy is to:

- 5.1. Protect boards when they are contemplating taking action that might benefit the private interests of a board member.
- 5.2. Prevent the private interests of board members from influencing the performance of their duties.
- 5.3. Supplement but not replace any applicable state or federal laws governing conflict of interest applicable to the boards.

## **6. GOALS.**

This Policy's goals are to:

- 6.1. Raise board member awareness of the possible existence of conflicts of interest.
- 6.2. Educate board members on the types of relationships and situations that might give rise to an actual or possible conflict of interest.

- 6.3. Encourage board members to be proactive in identifying and voluntarily disclosing to the board actual or possible conflicts of interest.
- 6.4. Establish a regular process for board members to follow when an actual or possible conflict of interest arises.
- 6.5. Make clear to the public that conflicts of interest are disclosed, managed, and prohibited when appropriate.

## **7. PROHIBITED CONDUCT.**

Board members are forbidden from:

- 7.1. Participating in board deliberations or board action relating to a matter in which the board member has a conflict of interest.
- 7.2. Accepting compensation from an individual or entity with which the board has entered into an arrangement or transaction or is considering entering into an arrangement or transaction.
- 7.3. Engaging in employment or other activity that involves the use of evidences of board membership, board facilities, board equipment, or board supplies to give the board member or the board member's family an advantage or pecuniary benefit that is not available to other similarly situated individuals of the general public.
- 7.5. Engaging in employment or other activity that involves the receipt of, promise of, or acceptance of compensation by a board member or the board member's family from any individual or entity relating to the board member's performance of any act that the board member would be required or expected to perform as part of the board member's duties.

## **8. REQUIRED BOARD MEMBER DISCLOSURE.**

- 8.1. A board member who believes that he or she has an actual or possible conflict of interest must promptly disclose such to the board.
- 8.2. A board member's disclosure must include all material facts regarding the board member's actual or possible conflict of interest.
- 8.3. If the board member has a conflict of interest, the board member's disclosure must voluntarily recuse the member from any deliberations or votes on the matter before the board that gives rise to the member's conflict of interest.

## **9. BOARD MEMBER AFFIRMATION.**

### **9.1. New Board Members.**

Promptly after a board member's appointment to a board, the board member must sign a statement which affirms such member has:

- 1) Received a copy of this policy;
- 2) Read and understands this policy; and
- 3) Agrees to comply with this policy.

## **9.2. Annual Re-Affirmation by Sitting Board Members.**

Each board member must annually sign a statement which affirms such member has:

- 1) Received a copy of this policy;
- 2) Read and understands this policy; and
- 3) Agrees to comply with this policy.

## **10. INTERPLAY WITH LEGAL REQUIREMENTS.**

This Policy is in addition to, and does not supersede, any requirements that may exist under state or federal law.

## **11. QUESTIONS.**

If you have questions regarding this Policy, please contact:

Ben Humphrey, Attorney  
Iowa Workforce Development  
[Benjamin.Humphrey@iwd.iowa.gov](mailto:Benjamin.Humphrey@iwd.iowa.gov)



## **GUIDANCE:** Potential Conflicts of Interest

This Guidance contains illustrative examples of conflicts of interest that might arise under the State of Iowa Workforce Development Boards Conflict of Interest Policy. This Guidance does not contain an exhaustive list of conflicts of interest that might arise under this Policy.

### **I. PERSONAL CONFLICTS OF INTEREST FOR BOARD MEMBERS.**

#### **1.1. A board member's organization applies to be on the list of eligible training providers and programs.**

1.1.1. Bob is a member of a board, representing an organization that provides workforce training.

1.1.2. The organization that Bob represents applies to be included on the list of eligible training providers and programs, which will allow the organization to receive WIOA Title I program funds for providing training to Title I program participants.

1.1.3. Inclusion on the list of eligible training providers and programs will result in a tangible benefit for Bob's organization: receipt of Title I funds for providing training. The deliberations and the vote on whether to include Bob's organization on the list of eligible training providers and programs therefore represent a conflict of interest for Bob.

1.1.4. Bob must disclose this conflict of interest in writing to the board and recuse himself from deliberations and actions relating to the application for inclusion on the list of eligible training providers and programs filed by Bob's organization.

1.1.5. Bob submitted his disclosure to the board at the meeting that his organization's application for the list of eligible training providers and programs was on the agenda for consideration and action.

1.1.6. The board must respond to Bob's disclosure by taking votes in open session to do each of the following:

- 1) Accept Bob's disclosure;
- 2) Include Bob's disclosure in the minutes for the meeting; and
- 3) If Bob has not voluntarily recused himself, take a roll call vote to exclude Bob from all board deliberations and action relating to the RFP.

1.1.7. In the open meeting, the board may ask questions of Bob or another representative of the organization he represents regarding the organization's application for inclusion on the list of eligible providers and programs. Bob may respond to these questions, just as any other individual representing an entity applying for inclusion on the list of eligible provider might do.

- 1.1.8. Without Bob's participation, the board may deliberate and must take a roll call vote on whether to approve the application submitted by Bob's organization for inclusion on the list of eligible providers and programs.
- 1.1.9. The board must include Bob's disclosure in the minutes for the meeting at which Bob submitted the disclosure.
- 1.1.10. The board must also include in the minutes the record of the roll call vote on the application submitted by Bob's organization. The minutes must clearly show each of the following:
  - 1) Which board members voted;
  - 2) How each board member voted;
  - 3) That Bob abstained from the vote because of a conflict of interest; and
  - 4) The result of the vote.
- 1.2. A board member's organization submits a bid to be a Title I program service provider.**
  - 1.2.1. Jane is a member of a board, representing an organization that provides training and workforce services.
  - 1.2.2. The board is required to procure a service provider for a WIOA Title I program and posts a request for proposals (RFP).
  - 1.2.3. The board decides to create a procurement committee to write and post the RFP, receive and score proposals, and make a recommendation to the board as a whole on which bidder the board should award the WIOA Title I service provider contract.
  - 1.2.4. Jane knows that her organization is interested in submitting a proposal in response to the board's WIOA Title I service provider RFP. Because Jane's organization will benefit financially if the board awards it the WIOA Title I service provider contract, she has a conflict of interest.
  - 1.2.5. Jane must disclose her conflict of interest in writing to the board and recuse herself from participating in the board's procurement committee, any other discussions or deliberations by the board relating to the RFP, and any votes that take place regarding the RFP.
  - 1.2.6. The board must respond to Jane's disclosure by taking votes in open session to do each of the following:
    - 1) Accept Jane's disclosure;
    - 2) Include Jane's disclosure in the minutes for the meeting; and
    - 3) If Jane has not already voluntarily recused herself, take a roll call vote to exclude Jane from all board deliberations and action relating to the RFP.



1.2.7. Without Jane's involvement, the board procurement committee wrote and posted the RFP, received all proposals in response thereto, scored them, and decided on a recommendation for the board on awarding the WIOA Title I service provider contract.

1.2.8. The minutes for the meeting at which the board deliberates and/or takes action on the procurement committee's recommendation must clearly show each of the following:

- 1) Which board members participated in the deliberations;
- 2) Which board members voted on the awarding of the contract;
- 3) How each board member voted;
- 4) That Jane abstained from voting because of a conflict of interest; and
- 5) The result of the vote.

**1.3. A board member's organization would benefit from a change in the board's on-the-job training (OJT) policy.**

1.3.1. Juan is a member of a board, representing business.

1.3.2. Juan's business regularly contracts with the local area's Title I service provider to receive reimbursement for 50% of the extraordinary costs it incurs for providing Title I program participants with OJT.

1.3.3. The board decides to consider and vote on a proposal to increase the OJT reimbursement rate from 50% to 75%, in accordance with WIOA § 134(c)(3)(h) and 20 C.F.R. § 680.730.

1.3.4. Juan recognizes that his business would benefit financially from this change because it would receive an increase in the reimbursement it receives for providing Title I program participants OJT.

1.3.5. Juan must disclose in writing this conflict of interest to the board and recuse himself from deliberations and actions relating to the OJT policy.

1.3.6. The board must respond to Juan's disclosure by taking votes in open session to do each of the following:

- 1) Accept Juan's disclosure;
- 2) Include Juan's disclosure in the minutes; and
- 3) If Juan hasn't already recused himself, take a roll call vote to exclude Juan from all board deliberations and action relating to the OJT policy.

1.3.7. The minutes for the meeting at which the board deliberates and/or takes action on the OJT policy must clearly show each of the following:

- 1) Which board members participated in the deliberations;
- 2) Which board members voted on the OJT policy;
- 3) How each member voted;
- 4) That Juan abstained from voting because of a conflict of interest; and
- 5) The result of the vote.

**1.4. A board member's organization submits a bid in response to the board's request for proposals for one-stop operator.**

- 1.4.1. Molly is a board member, representing the organization providing Wagner-Peyscr employment services in the local area.
- 1.4.2. The board has started discussions on posting a request for proposals (RFP) for one-stop operator.
- 1.4.3. Molly's organization is planning on submitting a proposal in response to the board's RFP for one-stop operator. Because Molly's organization would benefit from the board awarding it the one-stop operator contract, this is a conflict of interest.
- 1.4.4. Molly must disclose in writing this conflict of interest to the board and recuse herself from all board deliberations and actions relating to the RFP.
- 1.4.5. The board must respond to Molly's disclosure by taking votes in open session to do each of the following:
  - 1) Accept Molly's disclosure;
  - 2) Include Molly's disclosure in the minutes; and
  - 3) If Molly hasn't already recused herself, exclude Molly from all board deliberations and actions relating to the RFP.
- 1.4.6. The minutes for the meeting at which the board deliberates and/or takes action on the RFP must clearly show each of the following:
  - 1) Which board members participated in the deliberations;
  - 2) Which board members voted on the awarding of the contract;
  - 3) How each member voted;
  - 4) That Molly abstained from voting because of a conflict of interest; and
  - 5) The result of the vote.

- 1.5. A board member's organization submits an application to become a local provider of adult education and literacy activities under WIOA Title II.**
- 1.5.1. Maria is a board member representing a community college.
  - 1.5.2. The Iowa Department of Education begins the process of awarding grants or contracts to local providers of Title II services.
  - 1.5.3. The local workforce development board must review the local Title II applications and make recommendations to the Iowa Department of Education on how they align with the local workforce development plan.
  - 1.5.4. The board decides to form a committee to review the Title II applications and provide appropriate feedback to the Iowa Department of Education.
  - 1.5.5. Maria knows that the community college is planning on submitting an application to the Iowa Department of Education to receive a Title II grant or contract.
  - 1.5.6. Because the community college Maria represents on the board would benefit financially from receiving a Title II grant from the Iowa Department of Education, Maria has a conflict of interest.
  - 1.5.7. Maria must disclose in writing this conflict of interest to the board and recuse herself from all board deliberations and actions relating to the review of the local Title II applications by the board.
  - 1.5.8. The board must respond to Maria's disclosure by taking votes in open session and do each of the following:
    - 1) Accept Maria's disclosure;
    - 2) Include Maria's disclosure in the meeting minutes; and
    - 3) If Maria hasn't already recused herself, exclude Maria from all board deliberations and actions relating to the review of Title II applications and the providing of recommendations to the Iowa Department of Education.
  - 1.5.9. The minutes for the meeting at which the board deliberates and/or takes action on the Title II application must clearly show each of the following:
    - 1) Which board members participated in the deliberations;
    - 2) Which board members voted on the awarding of the contract;
    - 3) How each member voted;
    - 4) That Maria abstained from voting because of a conflict of interest; and
    - 5) The result of the vote.

**1.6. A vendor gives a board member a gift.**

- 1.6.1. Henry is a board member, representing an organization that provides workforce services and training.
- 1.6.2. Henry goes to a conference in New York City, at which there are many vendors specializing in products relating to workforce services.
- 1.6.3. Henry goes out socializing with a group of other conference attendees and vendors. One vendor puts the group's meals on her company credit card. Henry's meal cost \$35.
- 1.6.4. Three months after the conference, the board posts a request for proposals (RFP) for one-stop operator.
- 1.6.5. The company for which the vendor who placed Henry's meal on her credit card at the conference works submits a bid in response to the board's RFP.
- 1.6.6. Because Henry previously accepted a gift from the vendor that has now submitted a proposal in response to the board's RFP, this is a conflict of interest.
- 1.6.7. Henry must disclose this conflict of interest in writing to the board and recuse himself from all board deliberations and actions relating to the RFP.
- 1.6.8. The board must respond to Henry's disclosure by taking votes in open session to do each of the following:
  - 1) Accept Henry's disclosure;
  - 2) Include Henry's disclosure in the minutes; and
  - 3) If Henry hasn't already recused himself, take a roll call vote to exclude Henry from all board deliberations and action relating to the RFP.
- 1.6.9. The minutes for the meeting at which the board deliberates and/or takes action on the RFP must clearly show each of the following:
  - 1) Which board members participated in the deliberations;
  - 2) Which board members voted on the awarding of the contract;
  - 3) How each member voted;
  - 4) That Henry abstained from voting because of a conflict of interest; and
  - 5) The result of the vote.

## **2. CONFLICTS OF INTEREST DUE TO A BOARD MEMBER'S FAMILY.**

When considering whether a conflict of interest exists due to a board member's family, substitute the board member for the family member. If a board member's family has a private interest that would constitute a conflict of interest if the board member had the same private interest, it is a conflict of interest for the board member.

### **2.1. A board member's spouse works for an organization that submits a bid in response to a request for proposal by the board.**

- 2.1.1. Pat is a board member, representing a one-stop partner agency.
- 2.1.2. Pat's spouse works for an organization that provides workforce services and training to individuals in the community.
- 2.1.3. The board posts a request for proposal for a WIOA Title I program service provider.
- 2.1.4. Pat's spouse tells Pat that the spouse's employer is going to submit a proposal to the board in response to the RFP.
- 2.1.5. Because Pat's spouse works for an organization that would benefit if it is awarded the WIOA Title I program service provider contract by the board, this is a conflict of interest for Pat.
- 2.1.6. Pat must disclose this conflict of interest in writing to the board and recuse her or himself from all board deliberations, discussions, and actions relating to the RFP because of the conflict of interest.
- 2.1.7. The board must respond to Pat's disclosure by taking votes in open session to do each of the following:
  - 1) Accept Pat's disclosure;
  - 2) Include Pat's disclosure in the minutes; and
  - 3) If Pat hasn't already recused her or himself, take a roll call vote to exclude Pat from all board deliberations and action relating to the one-stop operator RFP.
- 2.1.8. The minutes for the meeting at which the board deliberates and/or takes action on the RFP must clearly show each of the following:
  - 1) Which board members participated in the deliberations;
  - 2) Which board members voted on the awarding of the contract;
  - 3) How each member voted;
  - 4) That Pat abstained from voting because of a conflict of interest; and
  - 5) The result of the vote.

**2.2. A board member's child sits on the board of an organization that submits a bid in response to a request for proposal by the workforce development board.**

- 2.2.1. Bo is a workforce development board member, representing a business.
- 2.2.2. Bo's child sits on the board of an organization that provides workforce services and training to individuals in the community.
- 2.2.3. The workforce development board posts a request for proposal for a WIOA Title I program service provider.
- 2.2.4. Bo's child tells Bo that the organization for which Bo's child is a board member is going to submit a proposal to the workforce development board in response to the RFP.
- 2.2.5. Because Bo's child is a board member for an organization that would benefit if it is awarded the WIOA Title I program service provider contract by the workforce development board, this is a conflict of interest for Bo.
- 2.2.6. Bo must disclose this conflict of interest in writing to the workforce development board and recuse himself from deliberations and actions relating to the RFP because of the conflict of interest.
- 2.2.7. The workforce development board must respond to Bo's disclosure by taking votes in open session to do each of the following:
  - 1) Accept Bo's disclosure;
  - 2) Include Bo's disclosure in the minutes; and
  - 3) If Bo hasn't already recused himself, take a roll call vote to exclude Bo from all board deliberations and action relating to the RFP.
- 2.1.9 The minutes for the meeting at which the workforce development board deliberates and/or takes action on the RFP must clearly show each of the following:
  - 1) Which board members participated in the deliberations;
  - 2) Which board members voted on the awarding of the contract;
  - 3) How each member voted;
  - 4) That Bo abstained from voting because of a conflict of interest; and
  - 5) The result of the vote.



**TITLE I DIRECTOR'S REPORT**  
**SEPTEMBER 28, 2017**

### **Rapid Response**

Over the summer we received notice from two different companies in the region that they would be dislocating a large number of people. The first, Convergys, issued a Worker Adjustment and Retraining Notification (WARN) Notice on July 24<sup>th</sup> indicating as many as 152 employees would be losing their positions due to a change in contracts held by the company. Rapid Response Meetings were held on site during the middle of September for the affected staff. Due to changes in staffing and other transitions, only about 25-30 people will likely end up being dislocated when the contract they are working under ends on September 30<sup>th</sup>.

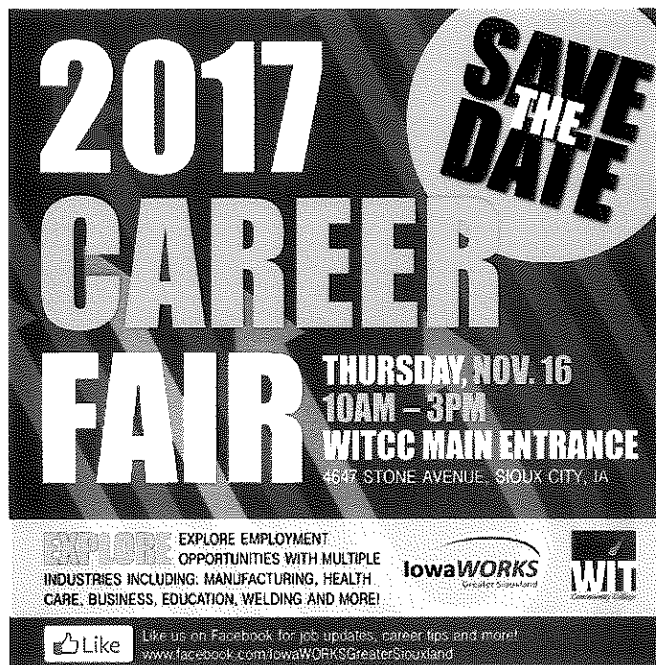
The second notice was received on August 3<sup>rd</sup> for Westrock-North Plant. The WARN notice indicated the entire north plant, located off Hamilton Boulevard in Sioux City, would be closing on or about September 29<sup>th</sup>. Preliminary estimates indicated 80 positions would be eliminated. Rapid Response meetings were also held for staff at the plant at which time we met with about 45 of the likely 50 employees who will be dislocated. In this situation, the remaining 30 employees either found other employment or were able to transfer to the South Plan located in the industrial area north of the Sioux City airport.

Staff from the One-Stop Center are currently working with the individuals who will not have positions at either facility to help them get re-employed or attend training as is their individual needs dictate.

### **RR-SP-NEG Update**

As previously scheduled, the JD and SP NEGs ended on June 30<sup>th</sup>. In order to continue serving those individuals who were enrolled with plans scheduled to end in June of 2018, IWD in Des Moines reviewed and later approved funding for individual regions based on their needs. Region 12 determined we would need approximately \$70,000 to fulfill all of our obligations which was awarded to the Region under a state emergency grant labeled RR-SP-NEG. The funds are specifically available for those participants who were already enrolled in the national grants. The funds also allow for reasonable staff time to assist participants during the period of the grant which runs from July 1, 2017 through June 30, 2018. At this time the planned expenses included on-the-job (OJT) learning, classroom training, support services including transportation

## Fall Career Fair



**2017  
CAREER  
FAIR**

**SAVE  
THE  
DATE**

**THURSDAY, NOV. 16  
10AM – 3PM  
WITCC MAIN ENTRANCE**  
4647 STONE AVENUE, SIOUX CITY, IA

**EMPLOYERS** EXPLORE EMPLOYMENT OPPORTUNITIES WITH MULTIPLE INDUSTRIES INCLUDING: MANUFACTURING, HEALTH CARE, BUSINESS, EDUCATION, WELDING AND MORE!

**iowaWORKS** Greater Siouxland

**WITCC** Western Iowa Tech Community College

Like us on Facebook for job updates, career tips and more!  
[www.facebook.com/iowaWORKSGreaterSiouxland](http://www.facebook.com/iowaWORKSGreaterSiouxland)

The semi-annual career fair held in partnership between IowaWORKS Greater Siouxland and Western Iowa Tech Community College is once scheduled for November 16<sup>th</sup>. Business and industry from around the region are invited to promote their hiring options and seek candidates to fill their open positions. As in the past there are likely to be more than seventy (70) business representatives. The event is promoted through the Employers' Council of Iowa (ECI), the IWGS Facebook page, WITCC's Facebook and electronic features as well as through flyers and mass media. If you or someone you know is interested in attending the fair please have them contact us for more information. This is a great opportunity to seek out qualified candidates that are graduating in December as well as community members seeking new opportunities or get back in to the workforce.

## National Workforce Development Month

Although it is extremely challenging to explain to partners, businesses, friends, and even family what it is that we do day in and day out, there are options to celebrate the work that is done to support workforce development efforts on every level. September is normally celebrated throughout workforce as Workforce Development Month. There is now legislation being introduced through bi-partisan efforts in Congress to recognize and designate September as National Workforce Development. In the press release related to the introduction of legislation notes the following: "Programs authorized under the *Workforce Innovation and Opportunity Act of 2014* served nearly 7 million young people and adults in 2015. Nationwide, there are more than 550 workforce development boards and 2,500 American Job Centers that work with job seekers and employers across industries ranging from healthcare and information technology to manufacturing and construction."





# New Members/One-Stop Customers INTEGRATION STATISTICS AT A GLANCE

DRAFT  
Printed: 9/20/2017

Location	Reg #	Total New Members	Regional Unemp Claims	Ratio of New Members to Unemp Claims
July 2016	12	653	422	154.7%
August 2016	12	758	427	177.5%
September 2016	12	691	435	158.9%
October 2016	12	807	645	125.1%
November 2016	12	1048	1120	93.6%
December 2016	12	848	1315	64.5%
January 2017	12	782	933	83.8%
February 2017	12	605	470	128.7%
March 2017	12	754	395	190.9%
April 2017	12	602	334	180.2%
May 2017	12	744	525	141.7%
June 2017	12	700	428	163.6%
<b>TOTAL</b>	<b>12</b>	<b>8992</b>	<b>7449</b>	<b>120.7%</b>
July 2017	12	574	358	160.3%
August 2017				
September 2017				
October 2017				
November 2017				
December 2017				
<b>Total</b>		<b>574</b>	<b>358</b>	<b>160.3%</b>

Gender	# of New Members		Ratio to Total Members	
	Male	Female	Male Gender	Female Gender
July 2016	371	282	56.8%	43.2%
August 2016	454	302	59.9%	39.8%
September 2016	384	306	55.6%	44.3%
October 2016	503	302	62.3%	37.4%
November 2016	714	334	68.1%	31.9%
December 2016	612	234	72.2%	27.6%
January 2017	460	322	58.8%	41.2%
February 2017	341	264	56.4%	43.6%
March 2017	398	356	52.8%	47.2%
April 2017	341	258	56.6%	42.9%
May 2017	394	349	53.0%	46.9%
June 2017	344	354	49.1%	50.6%
<b>TOTAL</b>	<b>5316</b>	<b>3663</b>	<b>59.1%</b>	<b>40.7%</b>
July 2017	281	290	49.0%	50.5%
August 2017				
September 2017				
October 2017				
November 2017				
December 2017				
<b>Total</b>	<b>281</b>	<b>290</b>	<b>49.0%</b>	<b>50.5%</b>

Disability	# Disabled of New Members	Overall Disabled Served
July 2016	50	7.7%
August 2016	59	7.8%
September 2016	51	7.4%
October 2016	48	5.9%
November 2016	65	6.2%
December 2016	57	6.7%
January 2017	63	8.1%
February 2017	53	8.8%
March 2017	47	6.2%
April 2017	43	7.1%
May 2017	61	8.2%
June 2017	65	9.3%
<b>TOTAL</b>	<b>662</b>	<b>7.4%</b>
July 2017	70	12.2%
August 2017		
September 2017		
October 2017		
November 2017		
December 2017		
<b>Total</b>	<b>70</b>	<b>12.2%</b>

Age	% of Young Adults 18-23 of New Members	% Adults Age 24-54 of New Members	% 55 and Above of New Members	
July 2016	70	500	83	12.7%
August 2016	89	558	111	14.6%
September 2016	88	506	97	14.0%
October 2016	102	583	122	15.1%
November 2016	148	780	120	11.5%
December 2016	103	591	154	18.2%
January 2017	102	566	114	14.6%
February 2017	84	431	90	14.9%
March 2017	78	549	127	16.8%
April 2017	54	451	97	16.1%
May 2017	81	546	117	15.7%
June 2017	106	477	117	16.7%
<b>TOTAL</b>	<b>1105</b>	<b>6538</b>	<b>1349</b>	<b>15.0%</b>
July 2017	68	413	93	16.2%
August 2017				
September 2017				
October 2017				
November 2017				
December 2017				
<b>Total</b>	<b>68</b>	<b>413</b>	<b>93</b>	<b>16.2%</b>

Location	Reg #	Total New Members	Regional Unemp Claims	Ratio of New Members to Unemp Claims
July 2016	12	653	422	154.7%
August 2016	12	758	427	177.5%
September 2016	12	691	435	158.9%
October 2016	12	807	645	125.1%
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March 2017	398	356	52.8%	47.2%
April 2017	341	258	56.6%	42.9%
May 2017	394	349	53.0%	46.9%
June 2017	344	354	49.1%	50.6%
<b>TOTAL</b>	<b>5316</b>	<b>3663</b>	<b>59.1%</b>	<b>40.7%</b>
July 2017	281	290	49.0%	50.5%
August 2017				
September 2017				
October 2017				
November 2017				
December 2017				
<b>Total</b>	<b>281</b>	<b>290</b>	<b>49.0%</b>	<b>50.5%</b>

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February 2017	53	8.8%
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September 2017		
October 2017		
November 2017		
December 2017		
<b>Total</b>	<b>70</b>	<b>12.2%</b>

Age	% of Young Adults 18-23 of New Members	% Adults Age 24-54 of New Members	% 55 and Above of New Members	
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September 2016	88	506	97	14.0%
October 2016	102	583	122	15.1%
November 2016	148	780	120	11.5%
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March 2017	78	549	127	16.8%
April 2017	54	451	97	16.1%
May 2017	81	546	117	15.7%
June 2017	106	477	117	16.7%
<b>TOTAL</b>	<b>1105</b>	<b>6538</b>	<b>1349</b>	<b>15.0%</b>
July 2017	68	413	93	16.2%
August 2017				
September 2017				
October 2017				
November 2017				
December 2017				
<b>Total</b>	<b>68</b>	<b>413</b>	<b>93</b>	<b>16.2%</b>

\* = NEG/DWNG Nat'l Emerg Grant transition center only.  
(x) = closed office



Location	Reg #	Total New Members
July 2016	12	653
August 2016	12	758
September 2016	12	691
October 2016	12	807
November 2016	12	1048
December 2016	12	848
January 2017	12	782
February 2017	12	605
March 2017	12	754
April 2017	12	602
May 2017	12	744
June 2017	12	700
<b>TOTAL</b>	<b>12</b>	<b>8992</b>
July 2017	12	574
August 2017		
September 2017		
October 2017		
November 2017		
December 2017		
<b>Total</b>		<b>574</b>

Education		% of New Memb Need High Sch Equiv.	% of New Memb Attain High School Dipl or Equiv.	Some College Ed	College Degree	Educ. Beyond College "17 & Abv"
118	18.1%	349	53.4%	141	41	4
118	15.6%	438	57.8%	147	47	8
134	19.4%	386	55.9%	121	42	8
165	20.4%	494	61.2%	98	36	14
260	24.8%	543	51.8%	163	77	5
206	24.3%	469	55.3%	132	36	5
169	21.6%	412	52.7%	158	35	8
127	21.0%	312	51.6%	136	22	8
171	22.7%	398	52.8%	142	35	8
132	21.9%	334	55.5%	99	29	8
162	21.8%	388	52.2%	141	40	13
127	18.1%	374	53.4%	140	49	10
<b>1889</b>	<b>21.0%</b>	<b>4897</b>	<b>54.5%</b>	<b>1618</b>	<b>489</b>	<b>99</b>
95	16.6%	307	53.5%	116	49	7
95	16.6%	307	53.5%	116	49	7

Veteran		% Ratio Veteran Rpt'd Disabled	% Ratio Veteran Rpt'd Disabled
31	4.7%	4	0.6%
41	5.4%	9	1.2%
33	4.8%	3	0.4%
23	2.9%	4	0.5%
55	5.2%	11	1.0%
42	5.0%	5	0.6%
45	5.8%	12	1.5%
40	6.6%	9	1.5%
31	4.1%	8	1.1%
15	2.5%	2	0.3%
37	5.0%	4	0.5%
33	4.7%	3	0.4%
<b>426</b>	<b>4.7%</b>	<b>74</b>	<b>0.8%</b>
39	6.8%	7	1.2%

July 2016	12	653
August 2016	12	758
September 2016	12	691
October 2016	12	807
November 2016	12	1048
December 2016	12	848
January 2017	12	782
February 2017	12	605
March 2017	12	754
April 2017	12	602
May 2017	12	744
June 2017	12	700
<b>TOTAL</b>	<b>12</b>	<b>8992</b>
July 2017	12	574
August 2017		
September 2017		
October 2017		
November 2017		
December 2017		
<b>Total</b>		<b>574</b>

118	18.1%	349	53.4%	141	41	4
118	15.6%	438	57.8%	147	47	8
134	19.4%	386	55.9%	121	42	8
165	20.4%	494	61.2%	98	36	14
260	24.8%	543	51.8%	163	77	5
206	24.3%	469	55.3%	132	36	5
169	21.6%	412	52.7%	158	35	8
127	21.0%	312	51.6%	136	22	8
171	22.7%	398	52.8%	142	35	8
132	21.9%	334	55.5%	99	29	8
162	21.8%	388	52.2%	141	40	13
127	18.1%	374	53.4%	140	49	10
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95	16.6%	307	53.5%	116	49	7
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31	4.7%	4	0.6%
41	5.4%	9	1.2%
33	4.8%	3	0.4%
23	2.9%	4	0.5%
55	5.2%	11	1.0%
42	5.0%	5	0.6%
45	5.8%	12	1.5%
40	6.6%	9	1.5%
31	4.1%	8	1.1%
15	2.5%	2	0.3%
37	5.0%	4	0.5%
33	4.7%	3	0.4%
<b>426</b>	<b>4.7%</b>	<b>74</b>	<b>0.8%</b>
39	6.8%	7	1.2%

\* = NEGI/DWVG Natl Emerg Grant transiti  
(x) = closed office



Location	Reg #	Total New Members	Ethnicity/Race					
			Hispanic	Race- AIAN*	Race- Asian	Race- Black/ African Amer	Race- HNPI**	Race- White
			% Ratio	% Ratio	% Ratio	% Ratio	% Ratio	% Ratio
July 2016	12	653	182	32	11	69	3	360
August 2016	12	758	206	42	8	74	4	429
September 2016	12	691	245	56	19	54	8	350
October 2016	12	807	318	53	18	86	3	390
November 2016	12	1048	459	53	11	73	5	541
December 2016	12	848	253	57	12	58	3	511
January 2017	12	782	212	53	13	74	8	471
February 2017	12	605	153	39	13	43	4	351
March 2017	12	754	281	53	10	58	4	397
April 2017	12	602	198	37	15	60	7	300
May 2017	12	744	218	52	16	79	13	390
June 2017	12	700	182	59	17	80	5	352
<b>TOTAL</b>	<b>12</b>	<b>8992</b>	<b>2907</b>	<b>586</b>	<b>163</b>	<b>808</b>	<b>67</b>	<b>4842</b>
July 2017	12	574	158	23	5	69	5	315
August 2017								
September 2017								
October 2017								
November 2017								
December 2017								
<b>Total</b>		<b>574</b>	<b>158</b>	<b>23</b>	<b>5</b>	<b>69</b>	<b>5</b>	<b>315</b>

\* = NEGI/DWG Natl Emerg Grant transit  
(x) = closed office

\*American Indian/Alaska Native=AIAN

\*\*Hawaiian Native/Pacific Islander



Location	Reg #	Total New Members	Referrals to/CoEnrollments			PJ	MSFW Migrant Worker	MSFW Seasonal Farm Worker	Initial ServPlan # New Members with Initial Services Plan	ACTIVE Total # of Members Receiving Services (Active)
			WIA Adult Intsive	% Ratio Referrals to WIA Adult Intsive to Total New Members	WIA DW Intsive					
July 2016	12	653	308	47.2%	63	9.6%	3		2734	
August 2016	12	758	336	44.3%	68	9.0%	7		2129	
September 2016	12	691	317	45.9%	94	13.6%	6		2784	
October 2016	12	807	345	42.8%	152	18.8%	5		2735	
November 2016	12	1048	389	37.1%	153	14.6%	7		3221	
December 2016	12	848	307	36.2%	130	15.3%	3		2442	
January 2017	12	782	380	48.6%	120	15.3%	8		3224	
February 2017	12	605	269	44.5%	73	12.1%	4		2586	
March 2017	12	754	386	51.2%	77	10.2%	5		1916	
April 2017	12	602	297	49.3%	55	9.1%	9		2518	
May 2017	12	744	380	51.1%	121	16.3%	4		1913	
June 2017	12	700	393	56.1%	101	14.4%	6		2613	
<b>TOTAL</b>	<b>12</b>	<b>8992</b>	<b>4107</b>	<b>45.7%</b>	<b>1207</b>	<b>13.4%</b>	<b>67</b>	<b>0</b>	<b>30815</b>	
July 2017	12	574	317	55.2%	59	10.3%	8		2238	
August 2017										
September 2017										
October 2017										
November 2017										
December 2017										
<b>Total</b>		<b>574</b>	<b>317</b>	<b>55.2%</b>	<b>59</b>	<b>10.3%</b>	<b>8</b>	<b>0</b>	<b>2238</b>	

\* = NEG/NDWG Nat'l Emerg Grant transit  
(x) = closed office

Kim Reynolds, Governor

Adam Gregg, Lt. Governor

Beth Townsend, Director

July 21, 2017

Bridget Hoefling, Chair  
Region 12 Regional Workforce Development Board  
3100 South Lakeport  
Sioux City, IA 51106

Jeff Simonsen, Chair  
Region 12 Chief Elected Officials  
PO Box 247  
Quimby, IA 51049

A Quality Assurance review has been completed for the WIOA Title I Adult, Dislocated Worker and Youth programs in Region 12 for Program Year 2016. State staff reviewed the data management information system and worked with the office electronically to provide any requested proof necessary to substantiate program compliance. I want to thank all of the staff involved for their assistance in providing needed documentation as we conducted our reviews electronically for the PY16 year.

The Quality Assurance Review is intended to identify the strengths in workforce programs in Region 12 and also areas where Technical Assistance may be of the most value. The review was conducted by Title I Quality Assurance team members: Kyle Clabby-Kane, Kristi Judkins, and Wendy Greenman.

Reviews were conducted monthly throughout January, February, March, April and May 2017. One file per program area was reviewed each month, totaling 5 files reviewed in each program area. Monthly reviews included an Initial Monitoring Report which included: an overall monitoring score, findings and required actions, observations, and strengths.

The monthly Initial Monitoring Reports are the basis for the information contained in this Comprehensive Monitoring Report. Within, you will find: findings, observations and strengths, as applicable.

Findings and observations were collectively reviewed between all three program areas. How many times an issue occurred determined whether it would be passed, or classified as an observation or finding.

- **Pass:** if an issue occurred just once between all programs, it was excused.
- **Observation:** if an issue occurred twice between all programs, it generated an observation, or if it was serious enough to merit a citation.
- **Finding:** if an issue occurred three or more times between all programs, it generated a finding.

Region 12 adequately responded to all Initial Monitoring Reports and any corrective actions given. Due to this, you will find within this Comprehensive Monitoring Report that all findings are resolved.

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Equal Opportunity Employer/Program

Auxiliary aids and services available upon request to individuals with disabilities.

For deaf and hard of hearing, use Relay 711.

**The following Findings were determined:**

1. Youth goals were not reported timely.

Policy:

- Workforce Innovation and Opportunity Act (WIOA) Title I Programs-Youth
  - Page 12: *All participants shall have at least one short-term employment or education/academic goal set during each year. Each goal and the attainment of the goal must be fully documented, including the date the goal was set and the date the goal was attained. Employment and Education/Academic goals established must be attainable within one year of the date established. The attainment or non-attainment of each goal must be reported by the anniversary date of the goal.*

Corrective Action and IWD Conclusion:

Based on the response received from the initial monitoring report this finding is resolved.

2. Participant contacts were not occurring according to policy.

Policy:

- Workforce Innovation and Opportunity Act (WIOA) Title I Programs-Youth
  - Page 16: *For enrolled youth, the evaluation of participant progress must be conducted for each participant within the first 30 days of participation, at least monthly thereafter.*
- Workforce Innovation and Opportunity Act (WIOA) One-Stop Delivery System Title I Programs-Adult & Dislocated Worker Services
  - Page 14: *The staff evaluation must include direct contact with the individual. Direct contact is defined as an exchange of information. Direct contact may be either in person, by telephone, by e-mail or regular mail or electronic means provided there is a meaningful conversation or interaction between staff and the participant documented in the case file. On-going documentation should occur every 30 days, but must occur every 90 days.*

Corrective Action and IWD Conclusion:

Based on the response received from the initial monitoring report this finding is resolved.

3. Guidance and Counseling (G&C) was not adequately documented.

Policy:

- Workforce Innovation and Opportunity Act (WIOA) One-Stop Delivery System Title I Programs-Adult & Dislocated Worker Services
  - Page 16: *Case notes must identify the specific purpose of Guidance and Counseling. They must also document progress in achieving the specific planned outcome.*

Corrective Action and IWD Conclusion:

Based on the response received from the initial monitoring report this finding is resolved.

4. Pre-Employment Training (PET) activities did not include a schedule, regular contact by a staff person and maximum length of time allowed in the activity.

Policy:

- Workforce Innovation and Opportunity Act (WIOA) One-Stop Delivery System Title I Programs-Adult & Dislocated Worker Services
  - Page 17: *Pre-Employment Training activities must include a schedule for the participant to follow, regular contact by a staff person, a maximum length of time allowed in the activity and documentation that the participant and staff are making the required contacts and following the established schedule.*

Corrective Action and IWD Conclusion:

Based on the response received from the initial monitoring report this finding is resolved.

**The following *Observations* were determined:**

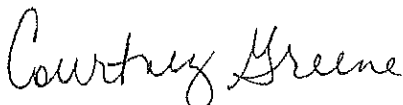
1. Guidance and Counseling (G&C) was used as an on-going activity in both Youth and Adult programs.
2. Participant progress reviews were not occurring according to policy. For the youth program, this is to occur every 30 days.
3. Appropriate services were not entered onto the Individual Service Strategy (ISS). It was observed that two of the participants reviewed engaged in job shadow activities; however Job Shadowing (SHW) was not entered onto their plan.
4. It was observed that not all youth who were identified as basic skills deficient, had a basic skills goal open to address the deficiency.
5. Not all participants who were participating in activities that would be categorized as Occupational/Institutional Skills Training (IST) activities had an open IST on their plan.
6. One individual who turned 18 post youth enrollment, did not have selective service verification in their file following their 18<sup>th</sup> birthday.

**The following *Strengths* were identified:**

1. Use of tasks on a participants ISS. The tasks outlined details of services very well.

If you have any questions, please contact Wendy Greenman at 641-782-2119x20 or via email at: [wendy.greenman@iwd.iowa.gov](mailto:wendy.greenman@iwd.iowa.gov).

Sincerely,



Courtney Greene, Operations Division Administrator  
Iowa Workforce Development



Wendy Greenman, Program Coordinator  
Iowa Workforce Development


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Equal Opportunity Employer/Program

Auxiliary aids and services available upon request to individuals with disabilities.

For deaf and hard of hearing, use Relay 711.

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CC: Shawn Fick  
Brett Conner  
Michaela Malloy-Rotert  
file


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**Date:** September 25, 2017

**To:** LWDB Board

**Re:** Summary of State & Federal Guidance Documents

**Field Memo #17-05 – WIOA Title I Monitoring Instructions**

This policy provides temporary standards and procedures for monitoring WIOA Title I Adult, Dislocated Worker, and Youth programs for PY17 to accommodate the new GEO Solutions Case Management System implementation timeline. Title I programs will be monitored on a monthly basis via a process where five random files are pulled each month from each local service area. Review and monitoring may be provided on-site or remotely with results communicated to appropriate parties including Title I Directors and LWDB CEO's and Chairs.

**TEGL #1-17 – Dislocated Worker Grant Opportunities**

Announcement of availability of up to \$35 million in grant awards to serve regions where there are still pockets of high unemployment. Grants will target job training in high growth sectors of the economy that align with sector strategies in targeted industries identified by local economic development plans. Grant application, selection, allocation processes, and reporting processes were included in this notification.

**Field Memo #16-03, Change 1 – Ticket to Work - Procedures to Access Funds**

Ticket to Work is a Social Security program designed to target individuals with disabilities and provided service and supports to assist into the entry, re-entry or maintenance of employment. Regional partners will work together with the local IWD Operations Manager to document need and proposed expenditures in support of these employment plans. Approved funding requests will then be forwarded to the designated regional fiscal agent.

July 26, 2017

**WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO 17-05:**

**TOPIC: WIOA Title I Monitoring**

- 1. Purpose:** This policy provides temporary standards and procedures for monitoring of the WIOA Title I Adult, Dislocated Worker and Youth programs for PY 17 in order to accommodate the new GEO Solutions Case Management System implementation timeline. This policy supersedes FM 16-11 issued December of 2016 as well as continuing to replace Section 28-Monitoring of the previous 2014 WIA Handbook until the updated guidance in the Iowa Workforce Innovation and Opportunity Act - Title I Policy is released. At that time, this Field Memo will be rescinded and local areas will follow the policy outlined in the policy.
- 2. Background:** The Workforce Innovation and Opportunity Act (WIOA) requires Title I programs to be monitored annually.
- 3. Substance:** To continue to provide oversight to the field regarding Title I programs, participant files will be monitored on a monthly basis. Program Coordinators will monitor five files per local service area for each of the Title I programs, specifically Adult, Dislocated Worker, and Youth.

*Monitoring Year*

The monitoring year for WIOA Title I will be shortened and run from July 1-December 31, 2017, according to the following schedule:

Regions 1 - 3/4 (monitoring will occur July 2017)

Regions 5 - 7 (August 2017)

Regions 8 - 10 (September 2017)

Regions 11 - 13 (October 2017)

Regions 14 - 16 (November 2017)

Monitoring letters - (December 2017)

Monitoring will be completed by January 2018

*Random Sample*

A random sample of files will be pulled for the region. Program Coordinators will select five participants from each program to review. In the event that there are not enough enrollments to complete the monitoring schedule, the random sample will be repeated.

*Process*

The monitoring may be conducted on-site or remotely and may include, but is not limited to, the following:

- Activities and services;

- Applicant and participant process;
- Customer engagement;
- Participant eligibility and verification;
- Participant file review;
- Management Information Systems;
- Compliance with State and Local policy; and,
- Performance accountability.

#### *Monitoring Criteria*

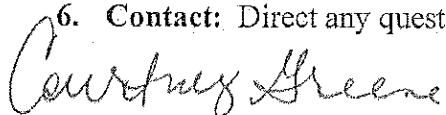
Standardized monitoring criteria and tools developed for use to monitor files in PY16 will continue to be used in monitoring of files for PY17. While these tools intend to provide a well-rounded review of a case file, they are not intended to be all-inclusive.

#### *Reports*

Two reports will be used to communicate results of the monthly monitoring reviews. For this temporary monitoring process, the Title I Director will only need to respond after their designated month (see schedule listed above) which will eliminate the monthly responses to address any identified issues or concerns:

- **Initial Monitoring Report**  
This report will be provided to the Director of the Title I programs following the completion of the program monitoring. It will include an overall monitoring score, findings and required actions, observations, and strengths.
- **Comprehensive Monitoring Letter**  
This letter will contain a summary of monitoring activities from the prior year for each local service area. It will include findings, actions taken by the local service area, and status of IWD acceptance; observations; strengths, and the overall score for the monitoring year. An initial draft will be sent to the Director of Title I programs. A final copy will be sent to the Chief Elected Officials/Regional Workforce Development Board chairs with copies sent to leadership.

4. **Action:** Title I Directors must ensure requested documentation is provided to Program Coordinators within 72 hours of the request for a remote monitoring or immediately for an on-site monitoring. If a finding is cited in the Initial Monitoring Report, responses are due to the Program Coordinators by the date listed in the Monitoring Report.
5. **Effective Date:** July 26, 2017. (Field memo # correction date 8/15/17)
6. **Contact:** Direct any questions to Courtney Greene at: [Courtney.Greene@iwd.iowa.gov](mailto:Courtney.Greene@iwd.iowa.gov).




Courtney Greene, Division Administrator  
Iowa Workforce Development

<b>EMPLOYMENT AND TRAINING ADMINISTRATION</b> <b>ADVISORY SYSTEM</b> <b>U.S. DEPARTMENT OF LABOR</b> <b>Washington, D.C. 20210</b>	CLASSIFICATION
	DWOG
	CORRESPONDENCE SYMBOL
	OWI
	DATE
	August 1, 2017

**ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 1-17**

**TO:** STATE WORKFORCE AGENCIES  
STATE WORKFORCE ADMINISTRATORS  
STATE WORKFORCE LIAISONS  
STATE AND LOCAL WORKFORCE BOARDS AND CHAIRS  
STATE LABOR COMMISSIONERS  
INDIAN AND NATIVE AMERICAN PROGRAM GRANTEEES

**FROM:** Byron Zuidema  
Deputy Assistant Secretary 

**SUBJECT:** Dislocated Worker Opportunity Grants

1. **Purpose.** To announce the availability of up to \$35 million, for Dislocated Worker Opportunity Grants (DW Opportunity Grants) for Program Year 2016, with awards based on an applicant's share of the Civilian Labor Force and unemployment. These grants will enable eligible applicants to serve dislocated workers with career services and training to help them identify and be more competitive for opportunities in growing or high-demand occupations and industries. Goals of these DW Opportunity Grants are to:
  - a. Expand opportunities for Dislocated Workers to upgrade skills that lead to employment or industry-recognized credentials in growing or high-demand industries and occupations; and
  - b. Address the skill gaps in a state or local area that have been identified by employers in growing or high-demand industries.
2. **References.**
  - Workforce Innovation and Opportunity Act (WIOA), sec. 170, Pub. L. No. 113-128, 128 STAT. 1425, 1573-1576 (July 22, 2014);
  - Consolidated Appropriations Act, 2016 P.L. 114-113;
  - 20 CFR pt. 687;
  - Training and Employment Guidance Letter (TEGL) No. 2-15, *Operational Guidance for National Dislocated Worker Grants, pursuant to the Workforce Innovation and Opportunity Act (WIOA or Opportunity Act)* (July 1, 2015);
  - ETA Form 9130 (OMB Control No. 1205-0461)
  - Information Technology Support Center (ITSC) Workforce Connect tool ([http://www.itsc.org/Pages/WF\\_Connect.aspx](http://www.itsc.org/Pages/WF_Connect.aspx)); and
  - TEGL No. 19-16 – *Guidance on Services Provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act (WIOA) and the*

<b>RESCISSIONS</b> None	<b>EXPIRATION DATE</b> Continuing
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- *Wagner-Peyser Act Employment Service (ES), as amended by title III of WIOA, and for the implementation of the WIOA Final Rules (March 1, 2017).*

3. **Background.** These Dislocated Worker Opportunity Grants are offered under the National Dislocated Worker Grant (DWG) program. DWGs are discretionary grants awarded by the Secretary of Labor as authorized under section 170 of the Workforce Innovation and Opportunity Act (WIOA). These DWGs provide time-limited employment and training assistance to dislocated workers in response to major economic dislocations or other events that affect the U.S. workforce, and which cannot be accommodated with WIOA formula funds or other relevant existing resources. While the economy continues to strengthen, there are still pockets of high unemployment. According to Bureau of Labor Statistics (BLS) data, twelve states and the District of Columbia had unemployment rates that were measurably above the US average in 2016.<sup>1</sup> Further, the official unemployment rate does not reflect labor market hardship for Americans who are marginally attached to the labor force (a category that includes discouraged workers) or who are involuntarily working part time. These workers are captured in the BLS's alternative measure of labor underutilization, which includes the people who are marginally attached to the labor force and involuntary part-time workers. By this measure, the unemployment rate in 2016 was 9.6 percent.<sup>2</sup> An estimated 20 million American workers suffer a dislocation annually.<sup>3</sup>

The length of unemployment for jobseekers has also remained high in the current recovery. In 2016, 40.8 percent of the unemployed were without work for 3.5 months or longer, and more than a quarter of the unemployed remained jobless for 6 months or more, substantially higher than the historical average.<sup>4</sup>

Under WIOA sec. 170(b), DWGs generally provide resources to states and other eligible applicants to provide employment and training assistance to workers affected by major economic dislocations, such as plant closures, mass layoffs, or higher-than-average demand for employment and training activities for dislocated members of the Armed Force and their spouses. Such events qualify for Employment Recovery DWGs, as defined under 20 C.F.R. § 687.100. Under 20 C.F.R. § 687.110(a)(5), the Secretary of Labor may determine other major dislocations eligible for Employment Recovery DWGs. In addition the Consolidated and Further Appropriations Act, 2015 (PL 113-235) and the FY 2016 Continuing Resolution, in which the funds being used for DW Opportunity Grants were appropriated, have included statutory language specifying that these grants are available to address cases where there are worker dislocations across multiple sectors or across multiple local areas, and such workers remain dislocated.

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<sup>1</sup> Regional and State Unemployment, 2016 Annual Average Summary, Tuesday, February 28, 2017

<sup>2</sup> BLS Labor Force Statistics – Alternative Measures of Labor Underutilization  
<https://www.bls.gov/webapps/legacy/cpsatab15.htm>

<sup>3</sup> BLS Job Opening and Labor Turnover Survey (JOLTS) [www.bls.gov/jlt/data.htm](http://www.bls.gov/jlt/data.htm), multi-screen data search, customized database, annual total of “layoffs and discharges”

<sup>4</sup> BLS Current Population Survey data <http://www.bls.gov/webapps/legacy/cpsatab12.htm>.

The Department recognizes the impact of ongoing smaller dislocation events over time, experienced in many States despite recent economic growth and an ongoing (and even increasing) lag in reemployment for long-term unemployed workers, as a major dislocation event for purposes of DWG assistance.

As provided for under 20 C.F.R. § 687.110(a)(5), the Secretary has determined that this ongoing high unemployment is a qualifying event that can create eligibility for an Employment Recovery Dislocated Worker Grant. Given the demands on the WIOA Dislocated Worker (DW) program at the state level, caused by trends in multiple smaller layoff events, and increased numbers of long-term unemployed individuals, the DW Opportunity Grants are intended to upskill dislocated workers with the goal of enhancing their employability and earnings.

- 4. Goals of DW Opportunity Grants.** To support an American economy that provides opportunity for all, worker skills must align with the needs of growing or high-demand industries. These grants will focus on job training that enables dislocated workers who are unlikely to return to previous occupations an opportunity to retool and re-engage in high-growth sectors of the economy. With an emphasis on sector strategies and targeted industries identified by states and in alignment with local economic development plans, retraining of dislocated workers in hard-hit areas will help to address current local skill gaps between jobseekers and employers in growing or high-demand industries. These grants will enable eligible applicants to train a spectrum of dislocated workers who are unemployed or long-term unemployed, seeking reentry into the workforce, and requiring employment services and training to enhance or increase skill levels to become competitive for growing or high-demand employment opportunities.

Evidence shows that providing laid-off workers with intensive employment services can improve their re-attachment to the labor force, with positive outcomes in employment and earnings.<sup>5</sup> Evidence further suggests that training is most effective when it is closely related to an identified job or occupation.<sup>6</sup> As businesses continue to look for skilled workers, state and local Workforce Development Boards (WDBs) should be strategically positioned to provide high-quality employment and training services to as many dislocated workers as possible, delivered in the context of the sector-driven career pathways envisioned by WIOA. These DW Opportunity Grants will afford eligible applicants the opportunity to effectively address the needs of dislocated workers for re-employment as well as the skills required to pursue careers in growing or high-demand fields. Specifically, eligible applicants are strongly encouraged to use these funds on strategies with a strong evidence base, such as intensive reemployment services, apprenticeships, and training aligned with sector strategies.

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<sup>5</sup> Providing Public Workforce Services to Jobseekers: 15-month Impact Findings on the WIA Adult and Dislocated Worker Programs. Mathematica. November 8, 2016. Available at [https://wdr.doleta.gov/research/keyword.cfm?fuseaction=dsp\\_puListingDetails&pub\\_id=2586&mp=y&st\\_art=1&sort=7](https://wdr.doleta.gov/research/keyword.cfm?fuseaction=dsp_puListingDetails&pub_id=2586&mp=y&st_art=1&sort=7)

<sup>6</sup> What Works in Job Training: A Synthesis of the Evidence. July 22, 2014. Available at <https://www.dol.gov/asp/evaluation/jdt/jdt.pdf>

5. **Eligible Applicants.** As provided for by 20 CFR § 687.120(a), entities who can demonstrate their area has been affected by the qualifying event described above: Eligible applicants include: (1) States or outlying areas, or a consortium of States; or (2) an entity described in sec. 166(c) of WIOA (related to Indian and Native American programs).<sup>7</sup>
6. **Funds Availability.** The Department is making up to \$35 million available under this TEGL. The final amount of each grant is dependent on the number of applicants and the availability of Federal funds.

To help ensure funding amounts reflect both state size and relative need, the Department will base awards on each responsive applicant's share of Civilian Labor Force (CLF) and unemployment data, assigning each factor a weight of 50 percent. For states, the Department will use calendar year 2016 monthly averages of the Civilian Labor Force (CLF) and unemployment. CLF and unemployment data for outlying areas are based on the most recent data available, which is from the 2010 Census for American Samoa, Guam, Northern Mariana Islands, and Virgin Islands. For Palau the CLF and unemployment data come from their 2015 Statistical Yearbook. As an example of the funding that could be available, using \$35,000,000 as the hypothetical base amount, ETA calculated each state's relative share of funding in the table (Attachment C).

To receive funding, a state or outlying area must apply and have a responsive application. Attachment C provides guidance on the proposed amount of funding that each state or outlying area may request in its application. The proposed funding amounts outlined for each state or outlying area is based on the projected funds available as well as a state or outlying area's share of Civilian Labor Force and unemployment. If the total funding requested by all applicants exceeds the amount of funds available at time of award, all grant awards will be reduced proportionately. Conversely, if the total requests are less than the available funding, or if additional funds become available, grant awards may be increased proportionately. The Department may negotiate funding levels. Grant recipients may be required to revise budget documents prior to award execution to account for discrepancies between funding requests and actual award amounts.

The period of performance for DW Opportunity Grants is two years, and grant funds will be available for expenditure from June 30, 2017 through September 30, 2019. However, the Department reserves the right to provide period of performance extensions beyond this date, as it deems appropriate and necessary, to achieve the purposes of these awards.

7. **DW Opportunity Grant Project Requirements.** The proposed project/activities for which grant funding is requested must align with the requirements outlined below:

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<sup>7</sup>Given the scope and coordination required to fulfill the goals of this grant, ETA has concluded that states and WIOA sec. 166 entities are the entities best equipped to effectively carry out these DWGs. Accordingly, ETA limits applicant eligibility for these DWGs to only states and WIOA sec. 166 entities.

- a. Activities proposed must align with requirements described under 20 C.F.R. Part. 687, TEGL No. 19-16, and TEGL No. 2-15. Participants must qualify as Dislocated Worker as defined under WIOA Section 3(15).
- b. Activities may include outreach to recruit dislocated workers to maximize enrollments.
- c. Activities must include direct services to eligible dislocated workers, with an emphasis on:
  - i. Basic and Individualized Career services such as comprehensive skills assessments, career planning, job coaching, job matching services and transitional jobs.
  - ii. Training services that enable dislocated workers to retool for jobs in growing or high-demand industries as well as other available jobs providing self-sustaining wages.
  - iii. Re-Employment Services to maintain and improve UI claimant engagement in the system by providing case management and service delivery tools and resources that enable interactive, automated and/or customized customer engagement throughout the dislocation and service delivery cycle, such as presenting career and labor market information based on customer interest; pushing jobs that fit the claimant's skills; and/or support referrals to networking opportunities.
  - iv. Work-based learning such as apprenticeship and on-the-job training.
- d. Activities should be linked to an applicant's sector strategies program to the extent feasible.

**8. Use of Funds.**

- a. Applicants must use DW Opportunity Grant funds for activities which address the criteria outlined in Section 7, *DW Opportunity Grants Project Requirements*, and the applicant's required budget forms described in Section 12 must appropriately reflect these activities.
- b. Up to 10 percent may be used for administrative costs associated with operating the grant at the state and project operator levels. The applicant must describe how the 10 percent available for administrative activities will be distributed between the state and local project operators.
- c. For on-the-job training, applicants may use DWG funds to reimburse up to 50 percent of the wage rate for on-the-job training participants, and up to 75 percent if certain criteria are met as outlined in 20 CFR 680.730. The use of DWG funds for training are subject to the eligible training provider provisions of WIOA 20 CFR 680.400-.530 and the limitations or requirements as applicable to the Dislocated Worker formula program delineated in WIOA regulations at 20 CFR 680 and TEGL No. 19-16. Applicants may enter into On-the-job training (OJT) contracts with apprenticeship program sponsors or participating employers in apprenticeship programs for the OJT portion of the apprenticeship program consistent with 20 CFR 680.700. Depending on the length of the apprenticeship and State and Local WDB OJT policies, these funds may cover some or all of the duration of the apprenticeship.
- d. DWGs are subject to the Uniform Guidance: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR Part 200 and OMB's approved exceptions for the Department at 2 CFR Part 2900.



- e. DWG's are subject to TEGL No. 2-15 and subsequent program guidance issued by ETA.
- f. Up to 10% of the award may be used for transitional jobs. For additional questions, applicants should consult current operating guidance for DWGs issued by ETA.

9. **Application Procedures, Requirements, and Timeline.** In an effort to achieve greater efficiency and as part of ETA's on-going effort to streamline the grant award process, grantees are required to submit the following items through Grants.gov at <https://www.grants.gov/>:

- An electronically signed copy of a SF-424 - Application for Federal Assistance (OMB Control No. 4040-0004);
- An SF-424A - Budget Information – Non-Construction Programs (OMB Control No. 4040-0006);
- A Budget Narrative to explain the projected costs reflected in each line item of the SF-424A, demonstrating how grant funds will be used. See Attachment B for instructions on completing the budget narrative;
- Qualifying Statement / Applicant Attestation. See Attachment A for details.

An electronically submitted SF-424 through Grants.gov constitutes the official signed document and must reflect the total amount requested of no more than \$35 million in item #18, *Estimated Funding*. Item #11 must include the *Catalog of Federal Domestic Assistance Number*, 17.277. **Applications must be received by 11:59 PM EDT on August 31, 2017 to be considered for funding.** ETA plans to award these grants by September 30, 2017.

To submit the required documents, applicants must follow the "Apply for Grants" link on [Grants.gov](https://www.grants.gov/), and download the links for the grant application package. For this grant opportunity, applicants should **not** follow the "Find Grants" link, as this is not a competitive funding opportunity.

If applicants encounter a problem with [Grants.gov](https://www.grants.gov/) and do not find an answer in any of the other resources, call 1-800-518-4726 or 1-606-545-5035 to speak to a Customer Support Representative or email [support@grants.gov](mailto:support@grants.gov).

10. **Application Review and Award.** ETA intends to fund awards for any applicants (i) who adequately demonstrate eligibility by documenting that they are affected by continued high and lagging unemployment and (ii) whose applications demonstrate a clear need for upskilling of dislocated workers in order to retool, upskill and re-engage in high-growth sectors of the economy, with an emphasis on sector strategies and targeted industries identified by the state economic and workforce analysis and in alignment with state strategies. ETA may elect to award a grant with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature, which constitutes a binding offer by the applicant.

*NOTE: The Department will determine if the applicant had any restriction on spending for any ETA grant due to adverse monitoring findings within the past three years. Depending on*

*the severity of the findings, the Grant Officer may elect to not provide the applicant a grant award or to impose conditions on the award.*

All applications deemed to be complete and responsive by the Grant Officer will go through a risk review process. Before making an award, ETA will review information available through any OMB-designated repository of government-wide eligibility qualification or federal integrity information, such as the Federal Awardee Performance and Integrity System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." Additionally, ETA will comply with the requirements of 2 CFR Part 180 (Government-wide Debarment and Suspension (Non-Procurement)). This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening), or the quality of its application (technical review). If ETA determines that an entity is responsible and an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Risk-related criteria evaluated include:

- (1) Financial stability;
- (2) Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;
- (3) History of performance. The Applicant's record in managing awards, cooperative agreements, or procurement awards, if it is a prior recipient of such Federal awards, including timeliness of compliance with applicable reporting requirements, and if available, the extent to which any previously awarded amounts will be expended prior to future awards;
- (4) Reports and findings from audits performed under Sub-part F – Audit Requirements of the Uniform Grant Guidance (2 CFR Sections 200.500 – 200.520) or the reports and findings of any other available audits and monitoring reports containing finds, issues of non-compliance, or questioned costs;
- (5) The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

Selection of an organization as a recipient does not constitute approval of the grant application as submitted. Before the actual grant is awarded, the Department may enter into negotiations about such items as program components, staffing and funding levels, and administrative systems in place to support grant implementation. If the negotiations do not result in a mutually acceptable submission, the Grant Officer reserves the right to terminate the negotiations and decline to fund the application. The Department reserves the right to not fund any application related to this TEG.

## **11. Reporting.**

- a. DW Opportunity Grant recipients must submit the following reports no later than 45 days after the end of each calendar year quarter:
  - i. Participant Individual Record Layout (PIRL) – Recipients must report the characteristics, services received, and outcomes of participants served with WIOA funds, including the DW Opportunity Grants. Performance

accountability for DWG generally aligns with WIOA title I programs and WIOA sec. 116(b)(2)(A). The quarterly PIRL submission is the means for calculating individual participant performance outcomes as well as performance for the DWG program. The DOL-only PIRL (ETA 9172) was approved on June 30, 2016 (OMB Control No. 1205-0521). DWG grantees must submit an individual record file quarterly on all participants and exiters. The individual record layout may be found at the following web site:  
[https://doleta.gov/performance/pfdocs/ETA-9172\\_DOL%20PIRL\\_FINAL\\_V25\\_062816.pdf](https://doleta.gov/performance/pfdocs/ETA-9172_DOL%20PIRL_FINAL_V25_062816.pdf)

DWG grantees report using the Workforce Integrated Performance System (WIPS). Information on how to report are available on the WIPS Resource Page: <https://doleta.gov/performance/wips/>. All relevant data elements on the individual record layout must be completed. Note that in order to ensure that each DWG participant is appropriately recorded and tracked to a DWG project, the project's grant number must be captured in PIRL element 2003 "DWG Grant Number".

- ii. Quarterly Fiscal Reports – Recipients must submit the quarterly ETA-9130 (G) financial report for National Dislocated Worker Grants. Guidance and instructions can be found in TEG 2-16, "Revised ETA-9130 Financial Report, Instructions, and Additional Guidance," at the following link: [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5156](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5156).

**12. Paperwork Reduction Act (PRA) Statement.** OMB Information Collection No 1225-0086, Expires May 31, 2019.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, DC 20210. Comments may also be emailed to [DOL\\_PRA\\_PUBLIC@dol.gov](mailto:DOL_PRA_PUBLIC@dol.gov).

PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS. ONLY SEND COMMENTS ABOUT THE BURDEN CAUSED BY THE COLLECTION OF INFORMATION TO THIS ADDRESS. SEND YOUR GRANT APPLICATION TO THE SPONSORING AGENCY AS SPECIFIED EARLIER IN THIS ANNOUNCEMENT.

This information is being collected for the purpose of awarding a grant. DOL will use the information collected through this Funding Opportunity Announcement to ensure that grants are awarded to the applicants best suited to perform the functions of the grant. This information is required to be considered for this grant.

13. **Inquiries.** Questions regarding this guidance should be directed to the appropriate ETA Regional Office.

14. **Resources.** More information is also available at [www.doleta.gov/dwgs](http://www.doleta.gov/dwgs).

15. **Attachments.**

- A. Qualifying Statements / Applicant Attestation
- B. Instruction Sheet for Budget Narrative
- C. PY 2016 End of Year Dislocated Worker Grants Chart

**ATTACHMENT A**

**2016 Dislocated Worker Opportunity Grant  
Qualifying Statements / Applicant Attestation**

<b>GRANTEE INFORMATION</b>
Applicant Organization:

<b>A. QUALIFYING EVENT</b>	
To demonstrate that the state has been affected by the dislocation of workers who are unskilled or whose skills are no longer in demand, please provide the most recent labor market information for your state:	
1. Number of employees laid off or discharged during the most recent 12 month period.	<b>Response</b>
2. Number of individuals marginally attached to the workforce including unemployed, discouraged workers and involuntary part-timers during the most recent 12 month period.	<b>Response</b>
3. While grantees have flexibility to address needs statewide with these funds, for context, please provide any anticipated local areas of focus.	

**4. Grantees have flexibility to address whatever emerging industries or occupations providing self-sustaining wages. For context, please list specific growing and high-demand industries and/or occupations on which DW Opportunity Grant is anticipated to focus. Applicants should draw these from its State Plan, or should provide a *brief* description of why these industries and/or occupations should be an area of focus.**


<b>B. PROJECT ATTESTATION</b>	
<p><b>1. The State attests that these grant funds will be utilized to serve dislocated workers in alignment with the activities described in TEGL No. 19-16 – “Guidance on Services Provided through the Adult and Dislocated Worker Programs under WIOA and Wagner-Peyser Act Employment Service (ES), as amended by title III of WIOA, and for Implementation of the WIOA Final Rules” including:</b></p> <ul style="list-style-type: none"> <li><b>i. Basic and Individualized Career services such as comprehensive skills assessments, career planning, job coaching and job matching services.</b></li> <li><b>ii. Training services that enable dislocated workers to retool for jobs in growing or high-demand industries as well as other available jobs providing self-sustaining wages.</b></li> <li><b>iii. Re-Employment Services to maintain and improve UI claimant engagement in the system by providing case management and service delivery tools and resources that enable interactive, automated and/or customized customer engagement throughout the dislocation and service delivery cycle, such as presenting career and labor market information based on customer interest; pushing jobs that fit the claimant’s skills; and/or support referrals to networking opportunities.</b></li> </ul>	<p><b>Yes / No</b></p>

iv. Work-based learning such as on-the-job training and registered apprenticeship.	
2. The State attests that these grant funds will be utilized for projects/activities in alignment with the State's approved Unified or Combined State Plan.	Yes / No
3. Acknowledge that the State understands that ETA may conduct an independent evaluation of the processes, outcomes and benefits of these DW Opportunity Grants, and by accepting a DW Opportunity Grant award, agree to participate in such an evaluation.	Yes / No

<b>Attester Signature:</b> <b>Printed Name:</b> <b>E-Mail Address:</b> <b>Telephone Number:</b>
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## ATTACHMENT B

### General Instructions for the Completion of a Budget Information Narrative National Dislocated Worker Grants

The Budget Information Narrative must include the following information:

- Each line item on the SF-424A must be explained, and the cost provided for each. Each line item on the SF-424A pertains to projected costs at the recipient level, with the exception of the Contractual line item. Contractual should include costs at the project operator level.
  - The total for each line item on the Budget Information Narrative must match the total for each line item on the SF-424A.
  - If a grant modification requests to realign the budget, the narrative must address the reason for the change in each affected line item.
1. **Personnel** – List all staff positions by title. State the annual salary of each person, the percentage of each person's time devoted to the project, the amount of each person's salary funded by the grant, and the total personnel cost for the period of performance.
  2. **Fringe Benefits** – Provide the overall fringe benefit percentage which reflects the recipient's organizational fringe, and list the components included, such as health insurance, FICA, retirement, etc. Provide the fringe benefit calculation for each staff position listed under the Personnel line item.
  3. **Travel** – Specify the type and purpose of the travel, the number of travelers, approximate mileage, per diem rates, estimated number of trips, and other associated travel costs.
  4. **Equipment** – Identify each item of equipment to be purchased. Equipment has an estimated acquisition cost per unit of \$5,000 or more, and a useful life of one year or more. List the quantity and unit cost per item. Items with a unit cost of less than \$5,000 are classified as supplies.
  5. **Supplies** – Supplies include all tangible personal property other than "equipment." Identify supply categories (e.g. office supplies, cell phones, personal tools for disaster clean-up, etc.). List the cost associated with each category.
  6. **Contractual** –
    - Identify each project operator and the funding allocation made to the organization.
    - Provide total projected costs (NOT for each project operator but as a lump sum) for each of the following categories: Administrative Costs, Career Services, Supportive Services, Training (itemize work-based training and classroom training), and Other Costs (itemized).



7. **Construction** – Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration) may be allowable. DOL does not consider this as construction and the costs must be shown on other appropriate lines such as Contractual.
8. **Other** – List each item in sufficient detail for DOL to determine whether the costs are reasonable or allowable. Costs included under Other should not fit into any other line item category.
9. **Indirect Charges** – If charging indirect costs to the grant, this line item must be populated. Include the current approved Negotiated Indirect Cost Rate Agreement, signed by the Federal cognizant agency, as an attachment to the grant application.

## ATTACHMENT C

U. S. Department of Labor  
Employment and Training Administration  
**Hypothetical PY 2016 End of Program Year Dislocated Worker Grants**

State	Total
<b>Total</b>	<b>\$35,000,000</b>
Alabama	523,021
Alaska	92,601
Arizona	740,612
Arkansas	266,928
California	4,387,829
Colorado	527,442
Connecticut	429,375
Delaware	97,860
District of Columbia	96,585
Florida	2,115,641
Georgia	1,104,966
Hawaii	123,518
Idaho	156,151
Illinois	1,587,623
Indiana	703,099
Iowa	333,647
Kansas	298,146
Kentucky	441,380
Louisiana	526,453
Maine	131,866
Maryland	653,980
Massachusetts	692,925
Michigan	1,039,157
Minnesota	586,348
Mississippi	309,053
Missouri	658,845
Montana	105,499
Nebraska	182,109
Nevada	341,300
New Hampshire	127,640
New Jersey	991,098
New Mexico	233,117
New York	2,094,001
North Carolina	1,074,686
North Dakota	74,767
Ohio	1,254,560
Oklahoma	396,436
Oregon	447,533
Pennsylvania	1,489,420
Puerto Rico	419,732
Rhode Island	126,057
South Carolina	509,895
South Dakota	77,190
Tennessee	664,519
Texas	2,794,663
Utah	279,035
Vermont	62,370
Virginia	833,967
Washington	847,071
West Virginia	191,386
Wisconsin	635,391
Wyoming	67,700
Am Samoa	5,726
Guam	20,228
N. Marianas	9,965
Palau	1,558
Virgin Is	16,330

**Methodology**

ETA based PY 2016 end of program year NDW grants on each state's share of calendar year 2016 monthly averages of the Civilian Labor Force (CLF) and unemployment. A weighting of fifty percent was assigned to both CLF and unemployment. \$35,000,000 was used as the hypothetical base amount.

\* In the event any Outlying Areas apply for and receive funds, their share of unemployment and Civilian Labor Force data will be based on data from the 2010 Census Advance Report for Selected Characteristics for that Outlying Area, except for Palau which will come from their 2015 Statistical Yearbook.

August 8, 2017

WORKFORCE DEVELOPMENT FIELD INFORMATION MEMO NO: 16-03, Change 1

TOPIC: Ticket To Work

1. Purpose: Establish procedures for regions to access Ticket To Work Funds.
2. Background: Social Security's Ticket to Work Program is a free and voluntary program available to people ages 18 through 64 who are blind or have a disability and who receive Social Security Disability Insurance (SSDI) and/or Supplemental Security (SSI) cash benefits. The goals of the Ticket to Work Program are to:
  - Offer beneficiaries with disabilities expanded choices when seeking service and supports to enter, re-enter, and/or maintain employment;
  - Increase the financial independence and self-sufficiency of beneficiaries with disabilities; and
  - Reduce and, whenever possible, eliminate reliance on disability benefits.

Under this program, eligible beneficiaries with disabilities who are receiving monthly cash benefit payments are entitled to participate by signing up with an approved service provider of their choice. This can be an Employment Network (such as the Iowa Workforce Partners EN) or a State Vocational Rehabilitation (VR) agency. The EN/State VR agency, if they accept the Ticket assignment, will coordinate and provide appropriate services to help the beneficiary find and maintain employment. These services may be training, career counseling, vocational rehabilitation, job placement, and ongoing support services necessary to achieve a work goal.

The Iowa Workforce Partners Employment Network was established in 2007 through an application by seven Iowa state agencies to the Social Security Administration to operate as an Employment Network (EN) under the Ticket to Work program. We now have eight state agencies that participate in the EN: Iowa Workforce Development, Iowa Vocational Rehabilitation Services, Iowa Department for the Blind, Iowa Department of Human Services, Iowa Department of Human Rights, Iowa Department of Education, Iowa Developmental Disability Council, and Iowa Department on Aging. Ticket holders who assign their tickets to the Iowa State Workforce Partners EN; earn incentive dollars for those regions by obtaining and maintaining levels of employment. These incentive payments (minus 5% for administrative costs) can then be used by the individual regions for the purpose of assisting persons with a disability to enter, re-enter, and/or maintain employment. While the overall use of ticket dollars is meant to be both broad and flexible; any expenditure of ticket funds should be used with this overall intent.

3. Policy: The Iowa Employment Partners Network is committed to making the TTW incentive dollars available to regional partner groups that serve people with disabilities. In order to ensure a collaborative use of the funds, the State EN has established the following policy. To expend local ticket funds, regional partner groups will work together with the local Iowa Workforce Development Operations Manager. The IWD Operations Manager will be the primary point of

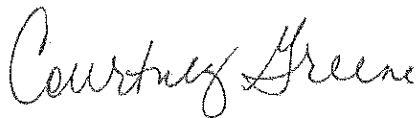
contact with regional partner groups' designated fiscal agent. The IWD Operations Manager will notify the fiscal agent of the intent to expend the funds along with documentation that the regional partner group has met, discussed, and approved of how the funds will be expended. Notification of the intent to utilize the funds may be done via email. Documentation will include minutes of the regional partner meeting that includes the attendance roster and the vote showing approval of the motion.

4. Action: Ensure all appropriate staff, including members of the RWDBs are aware of the information in this memo. Financial Management will provide a contract to each fiscal agent outlining the process to expend Ticket To Work funds.

*Regions 2, 11, and 16 operate their own independent Employment Networks and expenditures of Ticket To Work funds for those regions must be approved by the RWDBs; however, the intent of the ticket funds remains as stated above.*

5. Effective Date: This Field Memo will be effective as of July 1, 2016.

6. Contact: Questions concerning this memo should be directed to Kyle Clabby at (319) 939-4225 or [Kyle.Clabby@iwd.iowa.gov](mailto:Kyle.Clabby@iwd.iowa.gov).



Courtney Greene, Operations Division Administrator  
**Iowa Workforce Development**