

SDWP Operations Manual
 Chapter 4, Part 2
 WIOA Youth Programs

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I. Section 1 - Introduction

The San Diego Workforce Partnership (SDWP) Operations Manual provides detailed requirements, instructions and guidelines for contracted subrecipients managing SDWP workforce development programs. This section is intended for Youth Service Providers (YSPs) and staff members to meet contract standards and comply with the requirements set forth by SDWP, the State Employment Development Department (EDD), the U.S. Department of Labor (DOL) and all applicable laws and requirements.

The terms and conditions of the SDWP Operations Manual is subject to change, and may change, based upon (i) legislation, (ii) additions, modifications, or revisions to federal and/or state laws, regulations, requirements, procedures, or interpretive materials which may affect the workforce development system, (iii) DOL regulations and procedures, (iv) EDD regulations and procedures, and (v) the adoption by SDWP's governing board of local direction and procedures. Subrecipient agrees to remain informed of the WIOA and its regulations and requirements.

A. Sources for WIOA Eligibility Requirements

Guidelines and requirements of the SDWP's WIOA Title I eligibility certification process are based on the DOL and EDD official source documents listed below:

a) *DOL Final Rules Resources*

https://www.doleta.gov/wioa/Final_Rules_Resources.cfm

b) *DOL Notices of Proposed Rule-Making (NPRMS)*

<https://www.doleta.gov/wioa/NPRM.cfm>

c) *DOL Training and Employment Guidance Letters (TEGLS)*

https://wdr.doleta.gov/directives/All_WIOA_Related_Advisories.cfm

d) *EDD Directives*

http://www.edd.ca.gov/jobs_and_training/Active_Directives.htm

http://www.edd.ca.gov/jobs_and_training/View_Draft_Directives_Closed_for_Comment.htm

http://www.edd.ca.gov/jobs_and_training/View_and_Comment_Open_Directives.htm

B. WIOA Youth Eligibility

The following youth are eligible for WIOA Youth funded services. Specific eligibility requirements within these categories are defined in ***SDWP Operations Manual, Chapter 7, Part 2: WIOA Youth Eligibility*** and within YSP contracts.

- In-School Youth - Youth ages 14-21, attending school, low income and meets one or more barriers.
- Out-of-School Youth - Youth ages 16-24, not attending any school, and meets one or more barriers.
- Independent Living Skills/WIOA – Foster Care Youth - Youth ages 14-24 enrolled in the County of San Diego’s Independent Living Skills Program.
- San Pasqual Academy – Foster Care Youth - Youth ages 14-21 enrolled at San Pasqual Academy, a residential high-school for youth in the San Diego foster-care system.

C. CalJOBS

CalJOBS is the required system administered in partnership with EDD to document all youth program activities. For processes and requirements, refer to ***SDWP Operations Manual, Chapter 5: CalJOBS Forms and Procedures Handbook***.

1. CalJOBS Registration

CalJOBS registration begins an information collection process and is used to help manage the individual, create resumes, enroll the individual in programs, and provide services.

2. CalJOBS Activity Codes

CA EDD CalJOBS system frequently updates activity codes. For program services use the most appropriate code available.

3. CalJOBS Case Notes

All case notes related to program activities should be concise, clear, spelled properly, and grammatically correct. Case notes should be professional, ethical, and objective. Case notes are part of the participant’s legal file and may be used to determine the legitimacy of expenditures, complaints, grievances and/or disputes.

4. WIOA Application & Participation Form

Once CalJOBS registration has been completed, a WIOA application and participation form must be created to indicate program eligibility and participation. The participation form will trigger the

Objective Assessment Summary and Individual Service Strategy (ISS) requirements, therefore creating an enrolled, active participant.

5. Tracking Requirements

Timely data collection is required. Entry of applications, objective assessments, literacy/numeracy, ISS/IEP, activities, cases notes, and closure forms must be entered within five (5) business days after the date of occurrence.

D. Program Expenditure Prior to Participation

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

E. Monitoring, Accessibility and Condition of Records

SDWP and/or a third party monitor contracted through SDWP, EDD, and in some cases DOL will conduct monitoring of program activities within the participant's records during oversight visits. Refer to ***SDWP Operations Manual, Chapter 8: Oversight and Monitoring*** and **ATTACHMENT - YOUTH PARTICIPANT FILE MONITORING CHECKLIST**

WIOA requires that YSPs receiving WIOA funds provide access to all documentation/records used in providing program activities to registered participants. Participant files must be available and easily accessible to federal, state and local monitors and other authorized persons, including documentation of required corrective actions.

All required forms must be filled in completely and properly signed. White out, correction tape, or correction fluid is not permitted on any of the forms and will not be accepted as valid by the SDWP or EDD monitors if found on a document.

F. Record Retention

WIOA record-retention requirements dictate that participant hard copy files, must be maintained and made available, if requested, by the SDWP or state /federal funding sources for a period of five (5) years from the YSPs contract closeout. If any open findings, grievances or other claims related to the records exist at the end of the five-year (5) period, the records must be maintained indefinitely, until all findings or other issues are fully resolved.

In the event a YSP ceases operations and has no place for storage of the records, the YSP shall notify the SDWP and deliver the records to a location designated by the SDWP. All participant records must be accounted for. Missing records may result in disallowed costs.

II. Program Components

A. Access & Locations

YSPs are required to address transportation and other barriers by increasing access points for participants. YSPs will maintain a main office, a satellite office, or co-locate with other organizations in the proposed service area.

B. Partnerships

YSPs are expected to demonstrate local partnerships with youth serving systems such as local secondary schools, higher education institutions, law enforcement, juvenile and adult justice systems, local housing programs, community-based agencies, the County of San Diego’s Health and Human Service Agency, vocational rehabilitation programs, employers, and other organizations that serve the eligible population. YSPs shall demonstrate how they will partner and collaborate with current AJCC’s in their proposed service area to provide appropriate youth employment services within the AJCC. This may include providing workshops and classes on-site, technical assistance to AJCC staff on providing youth friendly services, orientations to the array of adult services offered and in-kind resources to/from AJCC sites.

o Braiding of Funds

Braiding of funds is the process of using different funding streams to support different needs for the same participant while maintaining documentation to support the charging and allocations of cost to the separate funds. Braiding of funds will provide more comprehensive services to participants and maximize partner resources available to assist youth. Braiding of funds must meet the following criteria:

- The cost of each funding stream is tracked, documented, and allocated based on the proportional benefit.
- The cost benefits two or more programs in proportions that can be determined without undue effort or cost.
- The youth meet the eligibility requirements for each program from which they are receiving funds.

Example

A youth is enrolled in a WIOA Title I youth program and a WIOA Title II adult education program. The WIOA Title I resources can provide career guidance, work experiences, and leadership development, while the WIOA Title II resources can provide adult education and literacy activities.

C. Business Service Representative

YSPs are required to budget for a minimum of one full-time or part-time (no less than 20 hours per week) Business Service Representative (BSR) whose activities shall be dedicated exclusively to engaging industry and coordinating work-related activities for program participants. The primary role of the BSR is to engage employers and secure internships, job shadow opportunities, occupational skills training, apprenticeships, work experience, and unsubsidized job placements for program participants, as well as track performance outcomes. BSR’s must attend SDWP trainings and meetings pertaining to business services.

D. Mental Health Services

YSP staff are required to participate in trainings offered by SDWP regarding understanding, recognizing and responding to the effects of trauma and mental health needs. Additional trainings will be offered on how to identify and access additional mental health resources for staff and participants.

E. Meetings, Trainings & Reports

YSPs shall send designated staff to attend and participate in all scheduled meetings and trainings for WIOA Youth Programs.

Subrecipient shall be required to submit a quarterly program narrative report documenting progress and/or obstacles and provide additional requests for technical assistance. SDWP Staff will include assistance provided and any internal or external monitoring's noting trends in observations and/or findings.

III. Program Services

A. Outreach, Recruitment & Orientation

Outreach and recruitment includes, but is not limited to, identifying potentially eligible youth, working with parents and guardians to secure necessary documentation, and working closely with other governmental and community organizations and school systems to identify and recruit youth. As part of orientation, all youth must receive information on all services available through the YSP. Dropout youth are expected to have the ability to earn a high school diploma or its equivalent within a reasonable amount of time (generally within one year of participation date).

B. Referrals

Eligible youth who do not enroll in WIOA programs should be provided information regarding other applicable and appropriate services available through other local programs that have capacity to serve them. In addition, eligible youth should be given referrals for further assessment if determined appropriate.

C. Intake, Eligibility Determination & Registration

YSPs are responsible for determining WIOA eligibility of all youth applicants recruited into the program, determining the youth's suitability for program services, and collecting and verifying all necessary eligibility source documents. WIOA requires all youth to meet certain eligibility criteria and be determined eligible prior to enrollment and receipt of WIOA funded services. **Refer to SDWP Operations Manual, Chapter 7: Part 2: WIOA Youth Eligibility**

D. Objective Assessment Summary

YSP are required to provide an Objective Assessment Summary of the academic levels, skills levels, and service needs of each participant, which shall include a review of:

- program expectations,
- educational history and expectations,
- basic skills,
- occupational skills,
- prior work experience,
- employability & work readiness,
- interests,
- aptitudes (including interests and aptitudes for nontraditional jobs),
- supportive service needs and barriers to employment,
- mental health services, and
- developmental needs.

The Objective Assessment Summary must be conducted after enrollment and prior to providing program services. YSPs can use previous basic skills assessment, career interest, and aptitude tests if such previous assessments have been conducted within the past six months. The Objective Assessment Summary should not be updated once completed and should correspond to the active WIOA application. If a participant is co-enrolled in CalJOBS, both service providers are responsible for creating an Objective Assessment Summary within 30 days. If the participant is re-enrolled, a new Objective Assessment Summary must be created that corresponds with the new WIOA application. The old Objective Assessment Summary should not be updated.

Objective Assessment Process

- On the participation form select the appropriate Objective Assessment code as the first activity.
 - Select the begin date as “Today”
 - Enter a projected end date that is 30 days from the begin date to keep the activity open
- Create and complete an Objective Assessment Summary in CalJOBS within 30 days of enrollment and prior to providing program services - including issuing supportive services, incentives, stipends or work experience.
 - *Staff Profiles - Case Management Profile - Plan*
- All sections are required, unless otherwise noted, if applicable to the participant. Some sections will pre-fill from the WIOA Application and/or the Participation Form.
 - *Instructions and clarifications for each section and field can be found in **SDWP Operations Manual, Chapter 5: CalJOBS Forms and Procedures Handbook.***
- *Provide original assessment results for each assessment given (no copies).*
- Close the open activity on the date the Objective Assessment was completed and update the case note.
 - *The case note should include that the Objective Assessment Summary has been completed, and Literacy/Numeracy, if applicable*

E. [Basic Skills Assessment \(Literacy/Numeracy\)](#)

Literacy/Numeracy can be used to fulfill the following program elements:

- Eligibility,
- Objective Assessment, and/or
- Measurable Skills Gain

For basic skills assessment, YSPs are required to use assessments approved by the Department of Education’s National Reporting System (NRS) if the test is being used for Eligibility and/or Measurable Skills Gain. YSPs are not required to use approved assessments for Objective Assessment. YSPs can use previous basic skills assessment results if such previous assessments have been conducted within the past six months.

- Test for Adult Basic Education (TABE)
 - Locator test should be given to determine level (A-Advanced, D-Difficult, M-Medium, E-Easy)
 - Pre-test with Survey or Complete Battery
 - Recommended at 60-95 hours of instructional time or 6 months
 - Use different version for post-test (If TABE 9 was used for pre-test then use TABE 10 for post-test)
- Comprehensive Adult Student Assessment Systems (CASAS)
 - Appraisal test must be given to determine level
 - 70-100 hours of instruction recommended (no less than 40 hours would be accepted)
 - Use different version for post-test

The YSP needs to be trained from company before administering test and must also check yearly on the Federal Register to determine that the test they are currently using is suitable for use in the NRS.

- [WIOA and NRS Resources](#)
- [EFL Test Benchmarks](#)
 - [CASAS Scale Scores, NRS Educational Functioning Levels \(EFLs\), and Grade Levels](#)

Literacy/Numeracy Process

Pre-Test

- Complete a pre-test within 30 days of enrollment if using for objective assessment or MSG, prior to providing program services
 - *On-line test (put print out of test results in the file)*
 - *Paper test (put original answer sheets in the file)*
- Include pre-test information on the Objective Assessment Summary
- Include the pre-test information in the Objective Assessment activity code in CalJOBS
 - *At minimum, the case note must include: type of test, type of assessment, test version, and test results*
- Create Literacy & Numeracy Records in CalJOBS if the participant is basic skills deficient

Post-Test

- Complete post-test within one year of enrollment or prior to closure, whichever comes first.
 - *On-line test (put print out of test results in the file)*
 - *Paper test (put original answer sheets in the file)*
- Create an Objective Assessment activity code in CalJOBS
 - *At minimum, the case note must include: type of test, type of assessment, test version, and test results*
- Enter results in the Literacy & Numeracy Records in CalJOBS

F. Individual Service Strategy (ISS)

The ISS (also known as the Individual Employment Plan (IEP) is an age appropriate, individualized, written plan of short and long-term goals that include career pathways, education and employment goals, involvement in WIOA youth program elements, support services, incentives, and stipends. For all youth, the ISS will identify the timeframe in which each youth will be expected to complete all activities related to each of the goal(s) specified in the ISS. The ISS will clearly connect the services to be provided to each youth identifying the outcomes to be achieved between WIOA enrollment and exit.

YSPs must develop an Individual Service Strategy (ISS) for each participant that:

- Considers career planning and the results of the Objective Assessment Summary;
- Is directly linked to one or more of the indicators of performance; and
- Identifies career pathways that include education and employment goals (including, in appropriate circumstances, nontraditional employment)

The ISS is the basis for the overall case management strategy. The case manager should utilize the ISS to update strategies and activities as they occur. When reviewing the ISS, case managers should document a youth’s progress, activities completed, benchmarks reached and any other accomplishments.

IEP/ISS Process

- The ISS should be the second activity opened, either concurrently or sequentially with the Objective Assessment Summary.
 - Open an ISS activity code
 - Select the begin date as “Today”
 - Enter a projected end date that is 30 days from the begin date to keep the activity open
- Create and complete an Individual Employment Plan/Service Strategy in CalJOBS within 30 days of enrollment and prior to providing program services - including issuing supportive services, incentives, stipends or work experience.
 - *Staff Profiles - Case Management Profile - Plan*
- Close the open activity on the date the ISS was completed and update the case note.
 - *The case note should include that the participant’s goals and objectives were completed in the Individual Employment Plan/Service Strategy section of CalJOBS.*
- Update the ISS every 3-6 months, or sooner if necessary
 - Open a new ISS Activity Code
 - Close the open activity on the date the ISS was revised and update the case note
 - The case note should include the goals/objectives that were added and/or updated

IV. Program Elements

YSPs have the discretion to determine what specific program services a youth participant receives, based on each participant's objective assessment and individual service strategy. YSPs are not required to provide every program service to each participant. YSP must make each of the following 14 services available to participants:

1. [Tutoring, study skills training, instruction and dropout prevention services](#) that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential. This includes secondary school dropout prevention strategies that keep a youth in school and engaged in formal learning or training;
2. [Alternative secondary school services, or dropout recovery services](#) - Alternative secondary school services assist youth who have struggled in traditional secondary school education. Dropout recovery services are aimed at getting youth who have dropped out of secondary education back into a secondary school or alternative secondary school/high school equivalency program;

3. **Paid and unpaid work experiences** that have academic and occupational education as a component of the work experience, which may include the following types of work experiences:
 - a. Summer employment opportunities and other employment opportunities available throughout the school year;
 - b. Pre-apprenticeship programs;
 - c. Internships and job shadowing; and
 - d. On-the-job training opportunities.

For more information on work experience activities - refer to the Work Experience section.

4. **Occupational skills training**, which includes priority consideration for training programs that lead to recognized postsecondary credentials that align with in-demand industry sectors or occupations in the local area, is an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupation fields at entry, intermediate, or advanced levels. Occupational skills training must meet the following criteria:
 - a. Be outcome-oriented and focused on an occupational goal specified in the individual service strategy.
 - b. Be of sufficient duration to impart the skills needed to meet the occupational goal.
 - c. Lead to the attainment of a recognized postsecondary credential.
 - d. Meet the quality standards in WIOA Section 123.

For more information on credentials and/or certificates received through occupational skills training - refer to the Credential Attainment section under Performance.

5. **Education offered concurrently with workforce preparation and training for a specific occupation** or occupational cluster. This element refers to the concurrent delivery of workforce preparation activities, basic academic skills, and hands-on occupational skills training in a specific occupation, occupational cluster, or career pathway;
6. **Leadership development opportunities**, including community service and peer-centered activities, encouraging responsibility, confidence, employability, self-determination, and other positive social behaviors;
7. **Supportive services** that enable an individual to participate in WIOA activities;
For more information on Supportive Services - refer to the Supportive Services section under Case Management.
8. **Adult mentoring** for a duration of at least 12 months, that may occur both during and after program participation;
9. **Follow-up services** for not less than 12 months after the completion of participation;
For more information on follow-up services - refer to the Follow Up Services section under Case Management.
10. **Comprehensive guidance and counseling** provides individualized counseling to participants and may include drug and alcohol abuse counseling, mental health counseling, and referral to partner programs;
11. **Financial literacy education** includes information and activities such as creating budgets, setting up checking and saving accounts, managing spending, understanding credit reports, and protecting against identity theft;

12. [Entrepreneurial skills training](#) assists youth develop the skills associated with starting and operating a small business;
13. [Services that provide labor market information](#) about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
14. [Postsecondary preparation and transition activities](#), which prepares youth for postsecondary education after attaining a high school diploma or its recognized equivalent.

Refer to **TEGL 21-16** and **EDD Directive WSD17-07** or clarifications on definitions and examples of qualifying activities under each category.

V. Case Management

Case Management is the infrastructure for delivering effective services that will facilitate the positive growth and development of youth and the achievement of performance goals. The process extends from recruitment through follow-up. The case manager motivates participants and coordinates services and information to prepare youth for post-secondary education opportunities, academic and occupational training or employment and training opportunities as appropriate. YSPs are encouraged to incorporate trauma informed approaches into their case management models.

A. Duration in Program

YSP must provide service to a participant for the amount of time necessary to ensure successful preparation to enter postsecondary education and/or unsubsidized employment. While there is no minimum or maximum time a youth can participate in the WIOA youth program, programs must link participation to the individual service strategy and not the timing of youth service provider contracts or program years. [Source](#)

B. Active & Consistent Engagement with Participant

YSP should engage participant on a regular basis, building a relationship and helping them progress towards their goals. If a value-added service is not provided and entered into CalJOBS during a 90-day period, the participant will be exited from the program and the YSP can no longer provide many of the WIOA services the participant still may need to complete ISS plan, leading to negative WIOA performance outcomes.

C. Planned Break in Service

A participant has a planned break in service of greater than 90 days due to either of the following:

- A delay before the beginning of or during training.
- Is receiving medical treatment or providing care for a family member with a health/medical condition that precludes entry into unsubsidized employment or continued participation in the program (does not include temporary conditions or situations expected to last for less than 90 days).

The gap in service may last no more than 180 consecutive calendar days from the date of the most recent service to allow time to address the barriers to continued participation. However, YSP may initiate a consecutive gap in service of up to an additional 180 days for the participant that follows the initial 180-day period to resolve the issues that prevent the participant from completing program services that lead to employment.

This activity code does not extend the exit clock as noted in Active & Consistent Engagement with Participant, and must be used in conjunction with an existing open activity, or with an activity scheduled to start in the future. If it is not used with an open activity, the participant will be automatically soft-exited by the system.

Planned Break in Service Process

- Enter the appropriate activity code for Planned Break in Service in conjunction with an existing or new open activity.
 - *The case note must include the reason for the planned break in service, the open activity being used in conjunction with this planned break, and the timeframe and description of the plan for continued services.*

D. Supportive Services

Supportive services are services that enable an individual to participate in WIOA activities. These services include, but are not limited to, the following:

- Linkages to community services;
- Assistance with transportation;
- Assistance with child care and dependent care;
- Assistance with housing;
- Needs-related payments;
- Assistance with educational testing;
- Reasonable accommodations for youth with disabilities;
- Legal aid services;
- Referrals to health care;
- Assistance with uniforms or other appropriate work attire and work-related tools, including eyeglasses and protective eye gear;
- Assistance with books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes; and
- Payments and fees for employment and training-related applications, tests, and certifications;
- Other needs related to training or employment retention, as determined by the case manager, to ensure the youth can continue to participate in and complete WIOA activities.

1. Supportive Service Guidelines

- Participants may receive a maximum of \$800 per program year;
- Supportive services must be tied to the goals and objectives identified on the ISS; and
- Supportive service payments must be in accordance with Cost Principles in 2 CFR part 200.

Supportive Service Process

- Enter the appropriate activity code for the Supportive Service provided
 - *At minimum, the activity case note must include the following information:*
 - *Type of supportive service*
 - *Amount of supportive service and how it was calculated*
 - *Type of WIOA Title I Youth Activity for which supportive services will be used*
 - *Exhausted all free and low-cost resources to provide supportive services*
 - *Funding source (WIOA, non-WIOA, Youth Build, In-Kind, etc.)*
- Provide the following documentation for the participant’s file:
 - **ATTACHMENT - SUPPORTIVE SERVICES LOG & RECEIPT FORM**
 - Copy of check, gift card or other type of card with serial number visible, if applicable
 - Itemized receipt with date, purchase detail, and total
 - For mileage/travel
 - A copy of the determination of distance, such as MapQuest, is kept in the file; and
 - If gas card is provided, the client mileage/travel log is completed by the participant and returned to the Supportive Services provider at the end of the month.
 - If payment is made to the youth in advance of the purchase either through check, gift card or other type of card, the youth must provide an itemized receipt to the YSP once the purchase is completed, and the itemized receipt must then be included in the participant’s file. This includes purchase receipts from the use of gift cards and/or gas cards. If not returned, no additional supportive services may be provided. The YSP must perform and record in CalJOBS if a participant fails to return the receipts for the supportive services provided in full:
 - Contact the participant requesting the missing receipts and explain that no further supportive services will be provided until the missing receipts are received in full;
 - Notify your assigned Program Specialist through SDWP, via e-mail, of the outstanding receipts and that no further supportive services will be processed for the participant until the receipts are collected; and
 - If the receipts are not provided, send a follow-up letter within five (5) business days to the participant requesting the receipts and notifying the customer that no further supportive services will be provided until all receipts are received. A copy of this letter must be kept in the participant’s file.

2. Separation of Duties

Duties of staff dispersing supportive service payments must be separated so that no one individual has complete authority or control over an entire financial transaction. For example, the person conducting the assessment, the person processing the payment and if a payment is mailed, the person mailing out the check shall not be the same person.

Participant records (ISS, case notes, and worksheets) and contractor financial records, pertaining to supportive service payments, must be made available for review by local, State and Federal monitors, as well as must meet the financial management standards specified in the SDWP Operations Manual Chapter VI, Financial Management, including enough information to provide:

- A comparison of actual expenditures with the budgeted amounts of each contract;
- Support for accounting records and to ensure proper charging of costs and cost allocation; and
- The ability to track funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of the funds.

Strict adherence by YSP to the required supportive service tracking and documentation procedures will help to ensure that supportive services are appropriately provided to participants, as well as prevent the probability of disallowed and/or questioned costs.

E. Incentives

Incentive payments to youth participants are permitted for recognition and achievement directly tied to training activities and work experiences. Refer to **YSP Contract - Attachment I** for the approved Incentive Policy.

1. Incentive Guidelines

- Incentives may only be in the form of check or gift card;
- Incentives must be tied to the goals and objectives identified on the ISS;
- Incentives must be aligned with approved Incentive Policy; and
- Incentive payments must be in accordance with Cost Principles in 2 CFR part 200.

2. Incentive Limitations

- **Entertainment Costs:** Federal funds must not be spent on entertainment costs. Therefore, incentives must not include entertainment, such as movie or sporting event tickets or gift cards to movie theaters or other venues whose sole purpose is entertainment.

Incentives Process

- Enter the appropriate activity code for the Incentive provided
 - *At minimum, the activity case note must include the following information:*
 - *Type of incentive: check or gift card;*
 - *Amount of incentive; and*
 - *Reason for incentive*
- Provide the following Documentation for the participant's file:
 - **ATTACHMENT - INCENTIVE LOG & RECEIPT FORM**; and
 - Copy of check, gift card with serial number visible, if applicable

F. Stipends

Stipends are defined as fixed regular small payments made to a participant during their enrollment to encourage program participation. The stipend can be used for classroom-based learning activities. Stipends may be paid based on actual hours of attendance and participation. Attendance and participation in the activity must be documented as a basis of stipend payment. The activity should be of limited duration and should be tied to specific learning goals. The employer of record must adhere to all child labor laws regarding hours of employment, working conditions, etc. For more information see the following website: <http://www.dir.ca.gov/dlse/ChildLaborPamphlet2000.html>

Each YSP may develop Classroom-Based Stipends Policy for their program(s). Classroom-based stipends may only be paid for activities which begin and are completed after participation (enrollment). All Classroom-Based Stipends Policy must be submitted to and approved by your assigned Program Specialist through SDWP before program implementation, and before given or promised to any participant. Refer to **YSP Contract - Attachment I** for the approved Stipend Policy.

Classroom-based stipends and wages may be paid for satisfactory attendance, participation and completion of education and certificate attainment in any combination of the following activities:

- High school diploma, GED, or equivalent;
- Occupational/technical skills training;
- Pre-apprenticeship skills/trades training; or
- Career pathway/occupational skills training combined with work-based learning.

Payment must be based on actual time of participation in the activity as documented on the attendance sheet. The participant and the instructor must sign the attendance sheet before reimbursement can be made, and the signed sheet must be maintained in the participant's file.

Stipends may not be awarded for online or virtual classroom participation. Stipends shall not be disbursed until the participant meets all stipulated requirements and contractor staff verifies the attainment of the program outcome(s).

All YSPs who provide stipends and wages as payments to participants, paid for with WIOA funds, must ensure that their methods of payment comply with the following required tracking and documentation procedures.

1. Stipend Guidelines

- Stipends must be tied to the goals and objectives identified on the ISS;
- Stipends must be aligned with approved Stipend Policy;
- Stipend payments must be in accordance with the requirements contained in [2 CFR part 200](#).

Stipend Process

- Enter the appropriate activity code for the Stipend provided
 - *At minimum, the activity case note must include the following information:*
 - *Method of payment*
 - *Amount*
- Provide the following documentation for the participant's file:
 - *Justification for payment of stipends and a description of the type of payment method and amount, if applicable, must be maintained in the file;*
 - *Time sheets or attendance sheets for payments of stipends;*
 - *Copy of high school diploma, GED or official transcripts verifying completion of a diploma or GED that includes required information for data validation; and*
 - *Copy of certificate of attainment verifying completion of occupational/ technical skills, or pre-apprenticeship skills/trades training.*
- Records of stipend payments, paid for with WIOA funds, that are provided to participants must be maintained in accordance with record retention requirements so that the SDWP is able to verify accuracy, timeliness and record keeping as follows:
 - *YSP must document the determining factors in paying a stipend as opposed to a wage;*
 - *A worksheet showing how the payment amount was calculated must be maintained in the participant's file;*
 - *Duties of staff dispersing stipend payments must be separated so that no one individual has complete authority or control over an entire financial transaction. For example, the person conducting the assessment, the person processing the payment, and if a payment is mailed, the person mailing out the check shall not be the same person;*
- Participant records (ISS, case notes and worksheets) and contractor financial records pertaining to stipend payments must be made available for review by local, state, and Federal monitors, and must meet the financial management policies/standards specified in the Partnership's [Operations Manual Chapter VI, Financial Management](#) including enough information to provide:
 - *A comparison of actual expenditures with the budgeted amounts of each contract;*
 - *Support for accounting records and to ensure proper charging of costs and cost allocation; and*
 - *The ability to track funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of the funds.*

G. Work Experience

Work experiences are planned, structured learning experience that takes place in a workplace for a limited period of time. Work experience may be paid or unpaid, as appropriate. A work experience may take place in the private, for-profit sector or non-profit sectors when the participant's objective assessment and individual service strategy indicate that a work experience is appropriate. Labor standards apply in any work experience where an employee/employer relationship, as defined by the Fair Labor Standards Act or applicable State law, exists. Work experiences provide the youth participant with opportunities for career exploration and skill development.

1. Categories of Work Experience

Paid and unpaid work experiences must include academic and occupational education (provided either concurrently or sequentially) and may include the following:

a) *Summer employment opportunities and other employment opportunities* available throughout the school year.

b) *Pre-apprenticeship programs.*

Pre-apprenticeship is a program designed to prepare individuals to enter and succeed in an apprenticeship program. Pre-apprenticeship programs include the following elements:

- Training and curriculum that aligns with the skill needs of employers in the economy of the state or region involved.
- Access to educational and career counseling and other supportive services, directly or indirectly.
- Hands-on, meaningful learning activities that are connected to education and training opportunities.
- Opportunities to attain at least one industry-recognized credential.
- A partnership with one or more registered apprenticeship programs that assists in placing individuals who complete the pre-apprenticeship program in a registered apprenticeship program.

c) *Internships and job shadowing.*

Job shadowing is a temporary, unpaid exposure to the workplace in an occupational area of interest to the participant and may last anywhere from a few hours to a week or more.

d) *On-the-job training (OJT) opportunities.*

OJT means training by an employer that is provided to a paid participant while engaged in a job that meets the following criteria:

- Provides knowledge or skills essential to the full and adequate performance of the job.
- Is made available through a program that provides reimbursement to the employer of up to 50 percent of the wage rate of the participant or up to 75 percent in circumstance of extraordinary costs of providing the training and additional supervision related to the training.
- Is limited in duration to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant as appropriate.

The academic and occupational education component refers to contextual learning that accompanies a work experience. It includes the information necessary to understand and work in specific industries or occupations.

2. Compliance of Work Experience

a) *Federal Labor Laws*

The Department of Labor (DOL) administers and enforces more than 180 federal laws. These mandates and the regulations that implement them cover many workplace activities for about 10 million employers and 125 million workers.

The website contains information regarding, but not limited to:

- Wages and Hours
- Workplace Safety and Health
- Worker's Compensation
- Employee Benefits
- Employee Protection
- Posters
- Related Agencies

b) *Equal Opportunity Employment Commission*

The U.S. Equal Employment Opportunity Commission (EEOC) is responsible for enforcing federal laws that make it illegal to discriminate against a job applicant or an employee because of the person's race, color, religion, sex (including pregnancy, gender identity, and sexual orientation), national origin, age (40 or older), disability or genetic information. It is also illegal to discriminate against a person because the person complained about discrimination, filed a charge of discrimination, or participated in an employment discrimination investigation or lawsuit.

c) [Child Labor Laws](#)

Almost all minors under the age of 18 are subject to California's child labor protections. Under the California Labor Code, "minor" is defined as any person under the age of 18 years required to attend school under the provisions of the Education Code, and any person under age six. "Dropouts" are subject to California's compulsory education laws, and thus are subject to all state child labor law requirements. Emancipated minors, while subject to all California's child labor laws, may apply for a work permit without their parents' permission.

The website contains information regarding:

- Child Labor Laws
- Work Permits
- Entertainment Work Permits

d) [State Labor Laws](#)

State labor laws are administered by the State of California's Department of Industrial Relations, Labor Commissioner's office. The mission of the California Labor Commissioner's Office is to ensure a just day's pay in every workplace in the State and to promote economic justice through robust enforcement of labor laws. By combating wage theft, protecting workers from retaliation, and educating the public, we put earned wages into workers' pockets and help level the playing field for law-abiding employers. This office is also known as the Division of Labor Standards Enforcement (DLSE).

The website contains information regarding:

- Division of Occupational Safety and Health (DOSH), better known as Cal/OSHA
- Labor Laws
- Labor Commissioner's Office
- Workplace Postings

e) [City of San Diego - Minimum Wage Program](#)

The City of San Diego's Earned Sick Leave and Minimum Wage Ordinance, San Diego Municipal Code (SDMC) Chapter 3, Article 9, Division 1 became effective on July 11, 2016. It is applicable to employees who perform at least two (2) hours of work in one or more calendar weeks of the year within the geographic boundaries of San Diego.

The website contains information regarding:

- Minimum Wage
- Earned Sick Leave
- Notice and Posting
- Complaint Process
- City of San Diego geographic boundaries

f) *Right to Work - U.S. Citizenship & Immigration Services*

Form I-9 is used for verifying the identity and employment authorization of individuals hired for employment in the United States. All U.S. employers must ensure proper completion of Form I-9 for each individual they hire for employment in the United States.

The website contains information regarding:

- Form I-9, Employment Eligibility Verification
- Form I-9 Supplement, Prepare and/or Translator Certification
- Instructions for Form I-9
- Handbook for Employers, Guidance for Completing Form I-9

g) *Workplace Postings*

In California, all employers must meet workplace posting obligations. Workplace postings are usually available at no cost from the requiring agency. The Department of Industrial Relations requires employers to post information related to wages, hours and working conditions in an area frequented by employees where it may be easily read during the workday. Additional posting requirements apply to some workplaces.

3. [Work Experience Expenditure Requirement](#)

WIOA requires YSP to spend at least 20% of funds work experience. Allowable work experience expenditures include the following:

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

4. Subsidized Work Experience
 - a) *Subsidized Work Experience Guidelines*
 - Duration: Minimum 40 hours per subsidized work experience.
 - Approved incentive and stipend policy pertaining to the work experience.
 - Pay rate: At least minimum wage, which may vary by City.
 - Employee Evaluation. Each employee should be evaluated on the following aspects:
 - Punctuality and attendance;
 - Work habits;
 - Appearance;
 - Communication;
 - Task completion; and
 - Follows direction.
 - b) *Subsidized Work Experience Limitations*
 - Duration: Maximum 240 hours per subsidized work experience
 - More than 240 hours requires written approval from SDWP.
 - A work experience cannot be used to document an MSG

Work Experience Process

- Enter the appropriate activity code for the Work Experience provided
 - Only one work experience activity code should be open for the duration of the entire work experience, per the training plan and agreement.
 - *At minimum, the activity case note must include the following information:*
 - *Name of employer*
 - *Participant’s job title*
 - *Pay rate*
 - *Number of hours per week*
 - *Start date*
 - *Funding source: WIOA, non-WIOA, Youth Build, County of San Diego, employer paid, etc.*
- Provide the following documentation for the participant’s file:
 - Complete the **ATTACHMENT - WORK EXPERIENCE CHECKLIST**, which includes:
 - Work Permit for Minors (if applicable);
 - Completed I-9;
 - Completed W-4 Employee’s Withholding Allowance Certificate;
 - Worksite Agreement and Training Plan;
 - Timesheets; and
 - Proof of payment.

c) Timesheets & Progress Reports

Timesheets must follow DOL Fair Labor Standards Act (FLSA) and California Department of Industrial Relations. Timesheets may be paper or electronic. At minimum, timesheets must include:

- Start and end time of each work period;
- Meal period taken;
- Split shift interval;
- Total hours worked daily and for total pay period;
- Signature or authorization of hours worked (may be electronic approval)

A progress report for each work period must be kept with the corresponding timesheet. YSP's may use the [ATTACHMENT - PROGRESS REPORT FORM](#) or develop their own progress report.

d) Employer of Record

YSPs can provide direct monetary payments to participant or work with a third-party agency to provide hourly wages and/or serve as the employer of record. The employer of record must adhere to all child labor laws regarding work permits, hours of employment, timecards, working conditions, etc.

e) Employer Orientation

YSP must conduct an Employer Orientation and provided information prior to participant's first day of work.

At a minimum, the Employer Orientation must include the following:

- Health and safety standards;
- Poster requirements;
- Reasonable accommodations for individual with disabilities as required by Americans with Disabilities Act (ADA).

f) Worksite Agreement & Training Plan

YSP must complete a Worksite Agreement & Training Plan with each employer. At a minimum, it must include the following:

- Work site organization name and supervisor contact information;
- Job title;
- Description of main job responsibilities; and
- Hourly rate

H. Individual Training Accounts (ITAs)

Eligible youth can access ITA's only through co-enrollment through the AJCCs. The co-enrollment must be approved by SDWP. When using funds for ITAs only training providers on the Eligible Training Provider List (ETPL) can be used. Therefore, YSPs may not use CalJOBS activity codes that reference training unless the youth is co-enrolled.

I. Participant File Content

YSPs must maintain a participant file on each registered youth. At a minimum, the file must contain eligibility, program and closure documentation.

Note: Any documentation with medical info, including disclosure and documentation of a disability, should be properly noted in CalJOBS and kept in a separate, secure file. Any medical or disability information cannot be kept in the participants file.

1. Intake Documentation

The following is required:

Refer to ***SDWP Operations Manual, Chapter 7, Part 2: WIOA Youth Eligibility***

- Eligibility Certification Review Form (ECRF);
- Eligibility documentation and forms as applicable;
- Universal Participant Authorization Form (UPAF); and
- Multimedia Release and Communications Release Form.

2. Program Documentation

The following is required:

- Objective Assessment Tests/Original Answer Sheets

The following is required, if applicable:

- Literacy/Numeracy Assessment Pre-Test and Post-Test;
- **ATTACHMENT - SUPPORTIVE SERVICES LOG & RECEIPT** Form and documentation;
- **ATTACHMENT - INCENTIVE LOG & RECEIPT FORM** and documentation;
- **ATTACHMENT - STIPENDS LOG & RECEIPT FORM** and documentation; and
- **ATTACHMENT - WORK EXPERIENCE CHECKLIST** and documentation.

3. Closure Documentation

The following is required, if applicable

- **ATTACHMENT - PROGRESS REPORT FORM** (MSG #4); and
- Performance related documentation

J. Follow Up Services

Follow up services are critical services provided following a youth's exit from the program to help ensure the youth is successful in employment and/or post-secondary education and training. Follow up services may include regular contact with youth participant's employer, including assistance in addressing work-related problems that arise.

Follow up services may begin immediately following the last expected date of service in the youth program. Follow up services do not cause the exit date to change and does not trigger re-enrollment in the program.

Follow up services may include the following program elements:

- Supportive services;
- Incentives;
- Adult mentoring;
- Financial literacy;
- Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
- Activities that help youth prepare for and transition to postsecondary education and training.

All youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies. Furthermore, follow-up services must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow-up services or the participant cannot be located or contacted. YSP is still accountable for the performance measures. To record follow up services, CalJOBS require YSP's to enter outcomes on a quarterly basis.

The types of services provided and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. For follow-up service activities, the same documentation applicable for activities is required for both the participant file and on CalJOBS, including applicable case notes. Case notes are not required in follow-up forms unless more information is needed.

Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. Youth who have had an exclusionary exit, do not require follow up services. Refer to the most current CalJOBS Activity Code Dictionary to select the most appropriate F-Code.

VI. Performance

The Workforce Innovation and Opportunity Act (WIOA) requires a comprehensive accountability system to determine the effectiveness of services provided through the YSP network. Performance requirements are specifically called out in the YPS's [Contract Attachments: Attachment D - Youth Program Performance Measures](#).

A. Credential Attainment

All WIOA YSPs will use the DOL definition of Certificate under the WIOA Common Measures for all Credential Attainments as defined in the Training and Employment Guidance Letter (TEGL) 17-05 Common Measures Policy for the ETA Performance Accountability System and Related Performance Issues, issued on February 17, 2006 and subsequent updates, included in **TEGL 21-16 and EDD Directive WSD17-07**.

1. Credential Attainment Definition

A credential is awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. Certificates awarded by workforce investment boards are not included in this definition. Local work readiness certificates are also not included in this definition of credential attainment.

For a postsecondary credential received through occupational skills training to count toward performance, the credential must meet each of the following conditions:

- Awarded by a recognized public or private entity.
- Based on standards developed or endorsed by employers or industry associations.
- Awarded for a specific skill rather than a general skill, such as hygiene or safety training, even if such general skills certificates are broadly required to qualify for entry-level employment or advancement in employment.
- Necessary to obtain employment or career advancement.

A variety of different public and private entities issue recognized postsecondary credentials. Below is a list of the types of organizations that award recognized postsecondary credentials, however, not all credentials offered by these entities meet the definition of a recognized postsecondary credential:

- A State educational agency or a State agency responsible for administering vocational and technical education within a State;
- An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by Title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in federal student financial aid programs. Some examples of this include:
 - Community Colleges;
 - Proprietary Schools; and
 - All other institutions of higher education that are eligible to participate in Federal student financial aid programs.
- A professional, industry, or employer organization such as:
 - National Institute for Automotive Service Excellence certification;
 - National Institute for Metalworking Skills, Inc.; or
 - Machining Level I credential;
- A product manufacturer or developer using a valid and reliable assessment of an individual's knowledge, skills and abilities, such as:
 - Microsoft Certified Database Administrator;
 - Certified Novell Engineer; or
 - Sun Certified Java Programmer.
- A registered apprenticeship program;

- A public regulatory agency, upon an individual's fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title, or to practice an occupation or profession, such as:
 - FAA aviation mechanic certification; or
 - State certified asbestos inspector.
- A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons;
- Job Corps centers that issue certificates; or
- Institutions of higher education, which are formally controlled, or have been formally sanctioned or chartered, by the governing body of an Indian tribe or tribes.

For a credential received through occupational skills training to meet quality criteria, the training provider must be listed on the Eligible Training Provider List or through competitive procurement by SDWP. Because not all courses offered by an eligible training provider may count toward the credential attainment indicator, YSPs must collaborate with industries to understand what credentials an industry requires for employment or career advancement.

2. Credential Attainment Documentation

A copy of the degree, certificate, or credential must be kept in the participant's file.

Examples that **DO** meet the postsecondary credential definition include the following:

- An automotive service excellence (ASE) certification.
- A crane operator certification.
- A certified nursing assistant (CNA) license.

3. Credential Attainment Limitations

Neither certificates awarded by Local Boards nor work readiness certificates are included in this definition because neither type of certificate documents the measurable technical or industry/occupational skills necessary to gain employment or advance within an occupation.

Examples that **DO NOT** meet the postsecondary credential definition include the following:

- Occupational Safety and Health Administration 10 hour course that provides awareness of job-related common safety and health hazards.
- Cardiopulmonary resuscitation (CPR) training.
- Basic food preparation and hygiene certificate.
- An assistive technology training program such as screen reading software.
- Orientation and mobility training.
- Work or Career Readiness Certificate

B. Placement in Post-Secondary Education

A program at an accredited degree-granting university that leads to an academic degree (e.g., AA, AS, BA, BS). Does not include programs offered by degree granting institutions that do not lead to an academic degree.

1. Placement in Post-Secondary Education Documentation
Completed follow up form in CalJOBS

C. Placement in Advanced Training

An occupational skills employment/training program, not funded under Title I of the WIOA, which does not duplicate training received under Title I and includes only training outside of the AJCC, WIOA and partner system (i.e., training after exit).

1. Placement in Advanced Training Documentation
Completed follow up form in CalJOBS

D. Placement in Employment

Full or part time unsubsidized employment, for a minimum of one day of the calendar quarter.

1. Placement in Employment Documentation
Completed follow up form in CalJOBS

E. Measurable Skills Gain (MSG)

The percentage of program participants who, during a program year, are in education or training programs that lead to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. MSG should be based on the participants Individual Service Plan.

1. MSG Categories
 - 1) Documented achievement of at least 1 Educational Functional Level (EFL) of a participant who is receiving instructions below postsecondary education level; or
 - 2) Documented attainment of a secondary school diploma or its recognized equivalent (must be attained before program exit); or
 - 3) Secondary or postsecondary transcript/report card for sufficient # of credit hours that shows a participant is meeting the State unit's academic standards; or
 - 4) Satisfactory or better progress report, towards established milestones, such as completion of OJT or 1 year of an apprenticeship program or similar milestones, from an employer or training provider who is providing training; or
 - 5) Successful passage of an exam that is required for an occupation or progress in attaining technical or occupational skills as evidenced by trade-related benchmarks, such as knowledge based exams.

2. [MSG Documentation](#)

- 1) Completed Literacy Numeracy Records in CalJOBS for both Pre and Post Test and original answer sheets kept in the participant's file as indicated in Basic Skills Assessment (Literacy/Numeracy) and **Error! Reference source not found.**
- 2) Measurable skills gain entered into CalJOBS and a copy of the secondary school diploma or equivalent dated before program exit
- 3) Measurable skills gain entered into CalJOBS and a copy of the secondary or post-secondary transcript/report card indicating the number of credit hours, applicable dates, and passing grades/credits
- 4) Measurable skills gain entered into CalJOBS and [ATTACHMENT - PROGRESS REPORT FORM](#)
- 5) Measurable skills gain entered into CalJOBS and a copy of the passed exam

3. [MSG Limitations](#)

- Certificates/credentials used for Credential attainment may not be used to document an MSG, except for MSG #2.
- A WIOA subsidized work experience cannot be used to document an MSG

F. [Median Earning Gain](#)

The median earning of participants who have a Placement unsubsidized employment during 2nd quarter follow-up.

1. [Median Earning Gain Documentation](#)

Completed follow up form in CalJOBS, including applicable wage information.

G. [Global Exclusions](#)

Participants can be excluded from the Performance Measures, at the time of closure, for any of the following Global Exclusions that precludes the participant from entering into employment or participating in services:

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

VII. Attachments

CORRECTIVE ACTION POLICY

CORRECTIVE ACTION PLAN

INCENTIVE LOG AND RECEIPT FORM

PROGRESS REPORT FORM

STIPENDS LOG AND RECEIPT FORM

SUPPORTIVE SERVICES LOG AND RECEIPT FORM

WORK EXPERIENCE CHECKLIST

YOUTH PARTICIPANT FILE MONITORING CHECKLIST