

 <p>Innovative Workforce Solutions</p> <p><small>A proud partner of the americanjobcenter network</small></p>	Subject	
	Quest- Disaster Recovery National Dislocated Worker Grant Policy & Procedures ARIZONA@WORK-Yuma County	
	Original Issue Date January 18, 2023	Revision Date July 28, 2023
Authorized by: Yuma County Workforce Development Board		

Background/Purpose: This policy for the Yuma County Local Workforce Development Area (LWDA) provides guidance under the “*Quality Jobs, Equity, Strategy, and Training*” (Quest) Disaster Recovery National Dislocated Worker Grant (DWG) to serve unemployed and underemployed individuals whose employment has been negatively impacted by the COVID-19 pandemic; including individuals from historically marginalized and underserved populations who have been disproportionately impacted. The Disaster Recovery National DWG is authorized under Title I, Section 170 of the Workforce Innovation Opportunity Act (WIOA).

The Quest DWG connects job seekers and those individuals who have suffered the most as a result of the pandemic to hold equitable access to employment that shares a safe workplace environment, well-paying employment, with high quality jobs that provide sustainable wages and benefits. Career, training, and supportive services will enable individuals impacted by the COVID-19 pandemic gain the skills and experience necessary to qualify for, obtain, and advance in safe and sustainable jobs; particularly high-quality jobs in growth industry sectors such as manufacturing, healthcare, professional, scientific, and technical services.

References: WIOA of 2014 (P.L. 113-128), Training and Employment Guidance Letter (TEGL) 2-22, TEGL 16-21

Policy:

I. Eligibility Criteria

The following five categories below define an individual to be eligible for services through the Quest DWG. In addition to being eligible through one of the five categories below, the individual must;

- **Be 18 years or older.** Acceptable Documentation (*obtain one from the following listed*):
 - Baptismal Record (if birthdate is shown)
 - Birth Certificate
 - DD-214

- Report of Transfer or Discharge Paper
 - Federal, State, or Local Identification Card (i.e. Driver License, Identification, Tribal Records that shows birthdate)
 - Passport (showing birthdate)
 - Hospital Record of birth
 - Public Assistance/Social Service Records (if name and birthdate is shown)
 - School records or school ID Cards (if name and birthdate is shown)
 - Family Bible that shows birthdate
- **Requirement of a Social Security Card.** Acceptable Documentation (*obtain one from the following listed*):
 - DD-214(if name and SSN is shown)
 - Social Security benefits letter/notice (if name and SSN is shown)
 - Social Security card issued by SSA
 - Unemployment Insurance records (GUIDE 01 screen, wage statement)
 - Pay-stub (if name and SSN is shown)
 - W-2 (if name and SSN is shown)
 - **Provide verification of Citizenship or Employment eligibility.** Verification of documents as listed on the USCIS Form I-9. <https://www.uscis.gov/i-9-central/form-i-9-acceptable-documents>
 - One verification source from list **A** on I-9.
 - One verification source from list **B** **and** one verification source from list **C** of I-9.

Staff must review the source documentation from the USCIS Form I-9 as listed on the second line to the left, and may use of the following documents as listed on the I-9:

- Birth Certificate
- Tribal Records
- Passport
- Permanent Resident Card (must not be expired)

- **Provide verification of Selective Service Status** (*males born on or after 1/1/1960*). Acceptable Documentation (*obtain one from the following listed*):

- Telephone verification (1-847-688-6888)
- DD-214, Certificate of Release or Discharge from Active Duty
- Selective Service registration record (Form 3A)
- Stamped post office receipt of registration
- Internet print out verification from www.sss.gov
- Selective Service registration card
- Selective Service Status Information/advisory opinion letter
- Locally Approved Selective Service Waiver(for males who did not register-“Status Information Letter” and written self-attestation as listed on TEGl 11-11 change 2 for details)

Note: For non-U.S. citizens male who came into the country for the first time after his 26th birthday. Acceptable Documentation (*obtain one of the following listed*):

- Date of entry stamp in his passport
- I-94 with date of entry stamp on it
- Letter from the U.S. Citizenship and Immigration Services (USCIS) indicating the date the man entered the United States presented in conjunction with documentation establishing the individual’s age
- Non-U.S. male who entered the U.S. illegally after his 26th birthday. He must provide proof that he was not living in the U.S. from age 18 through 25
- Non-U.S. male on a valid non-immigrant visa

a. Category #1- Individual who was temporarily or permanently laid off as a consequence of the COVID-19 pandemic disaster. This includes individuals who were employed prior to COVID but who became unemployed because of COVID. This also includes individuals who lost employment for failing to report to work due to caring for a sick family member including the care for children staying home from school or daycare as a result of the COVID-19 pandemic disaster.

b. Category #2- Long-term unemployed individual. This is defined as any individual who is:

- Unemployed at time of eligibility determination for 10 or more consecutive weeks over the last 26 weeks, **and** has made specific efforts to find a job (*efforts must be case noted*); **or**

- Individuals who have no work history, have been incarcerated, or have not worked for an extended period (i.e. more than 3 months).
- c. **Category #3-** Dislocated Workers as defined by WIOA Section 3(15), including displaced homemakers as defined in WIOA Section 3 (16). Refer to WIOA Title IB Dislocated Worker Program Eligibility List.
- d. **Category #4-** Self-employed individuals/ (small business owners) who became unemployed or significantly underemployed due to the COVID-19 pandemic disaster. Significantly underemployed is defined as an individual who:
- At time of eligibility determination the individual has obtained part time work of no more than 20 hours per week that does not provide self-sustaining wages; **or**
 - Has or had been unemployed for 15 or more nonconsecutive weeks over the last 26 weeks; **and**
 - Has made specific efforts to find a job with self-sustaining wages (*efforts must be case noted*).
- e. **Category #5-** Individuals who are unemployed, long-term unemployed, underemployed, laid off, or furloughed from job **and**:
- Lack the access to technology and or digital literacy;
 - Skills have become obsolete due to changes in technology or labor market trends caused by the pandemic (i.e. telework/remote work);
 - Enrolled in diploma or degree programs (*attempting to obtain GED or post-secondary degree, etc.*) but got interrupted due to the pandemic;
 - Experiencing homelessness, or living in temporary accommodations such as shelters that may be unprepared to re-enter the workforce;
 - Have been unable to access unemployment benefits or other forms of financial assistance during the pandemic;
 - Family household income was reduced due to lost wages or reduction in work hours;
 - Qualified for unemployment or pandemic insurance benefits; or
 - Loss of child or spousal economic support
- f. **Category #6-** Individuals who are underemployed or in an under-fill occupation due to the COVID-19 pandemic.
- Underemployed: Individual who is unwilling working in a low-skill and low paying job or only part-time because they cannot get full-time jobs that use their skills.
 - Under-fill: An occupation where an individual is not fully qualified to perform the duties of the position due to annual occupational shortage of 25%, weak

job market, or a mismatch between skills of the worker and available jobs due to the pandemic can be based on the following;

- When recruitment difficulties exist
- In low scale jobs and needing to up-skill, or job that pay less than what they need or desire
- When individual requires training and work experience

Veterans and Eligible Spouse Priority of Service

Covered persons (veterans and eligible spouses) determined eligible for services under the Quest DWG must receive priority over non-covered persons in accordance with DES WIOA Title IB Veterans Priority of Service Policy.

II. Eligibility Documentation

a. Category #1- Individual who was temporarily or permanently laid off as a consequence of the COVID-19 pandemic disaster.

One of the following documents below along with program notes is required for verification of eligibility under this category. Adequate documentation must clearly show that the individual (1) was employed and (2) is now temporarily or permanently laid off as a consequence of the COVID-19 pandemic.

Allowable documentation may be one of the following:

- Documents from Department of Economic Security (DES) Unemployment Insurance Assistance division;
- A letter of separation from the most recent employer;
- Paystubs or other payroll records showing the last day of employment;
- A bank statement indicating direct deposit from the most recent employer;
- Wage record from the State Unemployment Insurance records (GUIDE 01 screen, wage statement);
- A program note documenting phone verification from the employer;
- Self-attestation form; or
- AZ Quest/Arizona Job Connection (AJC) applicant's application

b. Category #2- Long-term unemployed individual.

- Complete work history form to indicate individual is long-term unemployed;
- Wage record from the State Unemployment Insurance records (GUIDE 01 screen, wage statement); or

- Self-Attestation form indicating individual meets the definition of long-term unemployed.
- c. **Category #3- Dislocated Workers as defined by WIOA Section 3(15), including displaced homemakers as defined in WIOA Section 3 (16).**

The WIOA Title IB Dislocated Worker Program Eligibility Checklist will be used to determine and collect required eligibility documentation. The respective eligibility required documents can be found in the checklist.

Note: Staff must first document the attempts to obtain the listed documents above prior to using the WIOA Self-Attestation document. This must be case noted in the participant's record found in the Arizona Job Connection (AJC) State System.

- d. **Category #4- Self-employed individuals/small business owners who became unemployed or significantly underemployed due to the COVID-19 pandemic disaster.**

One of the following documents below along with program notes is required for verification of eligibility under this category. Adequate documentation must clearly show that the individual (1) was self-employed and (2) is now unemployed or significantly underemployed as a consequence of the COVID-19 pandemic.

Allowable documentation may be one of the following:

- Evidence of self-employment may be provided through a business tax return;
 - A business license;
 - A business ledger;
 - Evidence of business closure;
 - Wage record from the State Unemployment Insurance records (GUIDE 01 screen, wage statement);
 - Any other legal document indicating self-employed individual is now unemployed or significantly underemployed;
 - Self-attestation documenting unemployed or significantly underemployed due to COVID-19.
- e. **Category #5 and #6-** Individuals that fall under this category must provide documentation by using the following:
- Self-Attestation form describing any of the conditions listed on this category.

III. Arizona Job Connection System (AJC) Registration & Enrollment

All individuals must be registered and have an account through AJC State system and be determined eligible prior to enrollment into the Quest DWG for services. Staff must

certify eligibility determination documentation is collected and recorded accurately in a timely manner in AJC system. The Quest DWG application will be generated and completed through the AJC system. Application must be approved, signed by participant, and staff.

Individual will meet with staff for grant eligibility determination and enrollment. An orientation and initial assessment will be given to the individual to evaluate and determine barriers to employment, career, employment, and training interests to assist in formulating appropriate goals, and providing supportive services as needed.

IV. AJC Transactions/Services

Eligibility determination must be completed prior to providing career and training services to individuals through the Quest DWG. When eligibility determination is provided, the service must be added to the Service & Training Plan (S&T Plan) in AJC.

Transactions relating to services provided must be entered or updated in AJC within 7 business days from when the service is provided. Services must not be entered on the S&T plan in AJC with a future start date, instead must only add services that reflect actual services the participant received. Services must not be entered in AJC with the sole purpose of preventing an enrollment to close in the system. Refer to the AJC Data Entry Procedures/Requirements for entering services in AJC system.

V. Program Notes

All participants are required to have program notes entered in AJC system from the time registration takes place until Follow up Services end. Program notes must reflect all information pertaining to the participant's program involvement, progress, updates, this includes when exiting from the Quest DWG, receiving follow up services, and all

services provided throughout program participation including Supportive Services. Two program notes per month are required to be entered in AJC while participant is in the program. Refer to the AJC Data Entry Procedures/Requirements for entering program notes in AJC system.

VI. Career and Training Services

Career and Training services as described on local and state policies, as defined in WIOA 134(c)(2); WIOA 134(c)(3)(d), and State AJC Service Dictionary; may be offered to eligible participants to help them obtain employment that leads to self-sufficiency when they are unlikely to return to their prior employment.

These services may include occupational skills training, registered apprenticeship, retraining and skill upgrading, career and academic support, career planning, job search, referrals, and placement assistance, labor market information, GED preparation, and resume-writing assistance. Training services will be provided in areas that are linked to high-quality jobs in growth industry sectors such as manufacturing, healthcare, professional, scientific, and technical services.

Individual must meet eligibility requirements for accessing these services. An Individual Employment Plan (IEP) must detail the need for training services as well as any other services the individual is receiving. Refer to IEP/ISS Instructions handout for generating IEP in AJC system.

VII. Supportive Services

Supportive Services are allowable to enable a participant's involvement in the Quest DWG. Documentation and program notes are required when supportive services are provided to participant. A participant may receive training related assistance as a type of supportive service when an instructor or institution deems that all students participating in the training must have the items to complete the course.

Licenses, certifications, and testing fees not already a part of training program costs*, may be paid when the license, certification, or the successful completion of the test is required to legally work in the occupation; or when it is required by a specific employer for the individual to obtain employment or result in a recognized credential.

*Please note that the listed training related expenses do not include expenses already covered in an Occupational Training Authorization/Account.

Cost Guidelines:

Staff must determine which supportive services are most immediate and critical to the participant's program success. Costs are established but are not the standard for every situation. The support services listed are based on individual need and training cost.

Work and Training Related Services:

- Professional, work appropriate, or interview clothing, accessories, and shoes (actual cost per training)
- Professional uniforms (actual cost per training)
- Single purchase shoes (actual cost per training)
- Blood pressure cuffs, scrub watches, and other healthcare related items (actual cost per training)
- Occupational licensing fees (actual cost per training)
- Vision care- exams and glasses (actual cost per training)
- Tools (actual cost per training)
- Certifications, occupational credential, testing fees (actual cost per training)

Equal Opportunity Employer/Program Auxiliary Aids and Services Are Available Upon Request To Individuals With Disabilities.

VIII. Follow Up

Follow-up services must be recorded within 7 business days in AJC under program notes. The participants file must contain program notes substantiating and documenting follow-up contact and follow-up attempts. A minimum of three attempts should be made to contact the participant, this may include: a letter, program notes based on telephone or face-to face conversation, an email or social media post. Participants may decline follow-up services, if they choose to do so. Requests for cessation of follow-up services will be documented in AJC (refer to local Follow-up Service Policy).

IX. Data Validation

AJC system is the LWDB's primary database system for uploading documents required for eligibility and data validation purposes for the Quest DWG. Refer to Training Employment Guidance Letter (TEGL) 23-19; change 1 Attachment II for Data Validation requirements on DWG.

If the document contains Personal Identifiable Information (PII) that is not needed for eligibility or data validation, the PII must be redacted before uploading into AJC. Documents that contain medical information must not be uploaded and must be kept separate from the provider file to ensure confidentiality (i.e. disability).

All participant confidential files must be kept in a secure and locked filing cabinet at all times. This will avoid file being misplaced, lost, and ensure participants' information is kept confidential.

Any supporting documentation to the participant's file must be uploaded into AJC accordingly to the AJC Upload Supporting Documentation List.

Adherence to the policy requirements, it is essential in maintaining data integrity and ensuring compliance with the reporting requirements.

X. File Monitoring

Participant files served under the Quest DWG will be selected for monitoring review by the Compliance Department. Monitoring review of files will be conducted throughout the term of the grant utilizing the WIOA Technical Assistance/Monitoring Log and Checklist forms. A five percent sampling of files will be selected and reviewed randomly at the time of the scheduled quality assurance review.

The WIOA Technical Assistance Form will identify the program oversights and the monitoring log will identify and track program observations; as well be utilized to review the observations with staff making them aware of any corrective action needed. The Monitoring review will assist staff from the Quest DWG identify program oversights and the need for technical assistance to overcome future findings. The WIOA Technical Assistance/Monitoring Log is recommended to be utilized as a tool to further enhance staffs' daily operations. The

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Compliance Department will schedule a time to address discrepancies and provide technical assistance with appropriate staff.

XI. Retention and Access Requirements for Records

All records must be maintained pursuant to 20 CFR 97.42, and available for review by Department of Labor (DOL) or State. Records including confidential files shall be maintained for a period of three (3) years after the Quest DWG expires.

XII. Performance Measures

Quest DWG performance goals will be equivalent to the State's current WIOA State Negotiated Levels of Performance for the Title IB Dislocated Worker Program.

XIII. Reporting Requirements & Other Usage of Databases

Quest DWG staff will be required to utilize various data management systems to submit monthly/quarterly reports. Quest DWG staff will report monthly to the LWDB staff on actual levels of service, performance goals progress, and program information. The LWDB will meet quarterly with Quest DWG staff to review program outcomes and budgets expenditures.

The usage of the Client Referral System (CRS) is the central component for referring customers between partners. The system is an internet-based to ensure that all partners are allowed to utilize the system to improve overall system effectiveness and maximize co-enrollments with partner agencies. The referral process provides timely and effective support that ensures that an appropriate plan of action for clients is initiated and properly tracks the client's referrals to service providers and community partners. Quest DWG staff will be responsible to follow-up on every referral received and or referred-out as well as making contact with the referred participants.

The Integrated Services Delivery System (ISDS) will allow the Quest DWG staff to track customer navigation through the system. The database also provides detailed reports of customer visits. It is an important internal support tool that complements the AJC system.

The Contracts and Reports Database will be required to generate documents such as worksite contractual agreements for Work based learning (i.e. Internships, OJT's), Training Registration Form Request For Supportive Services Form, and Support Service Assessment Form (SSAF).

