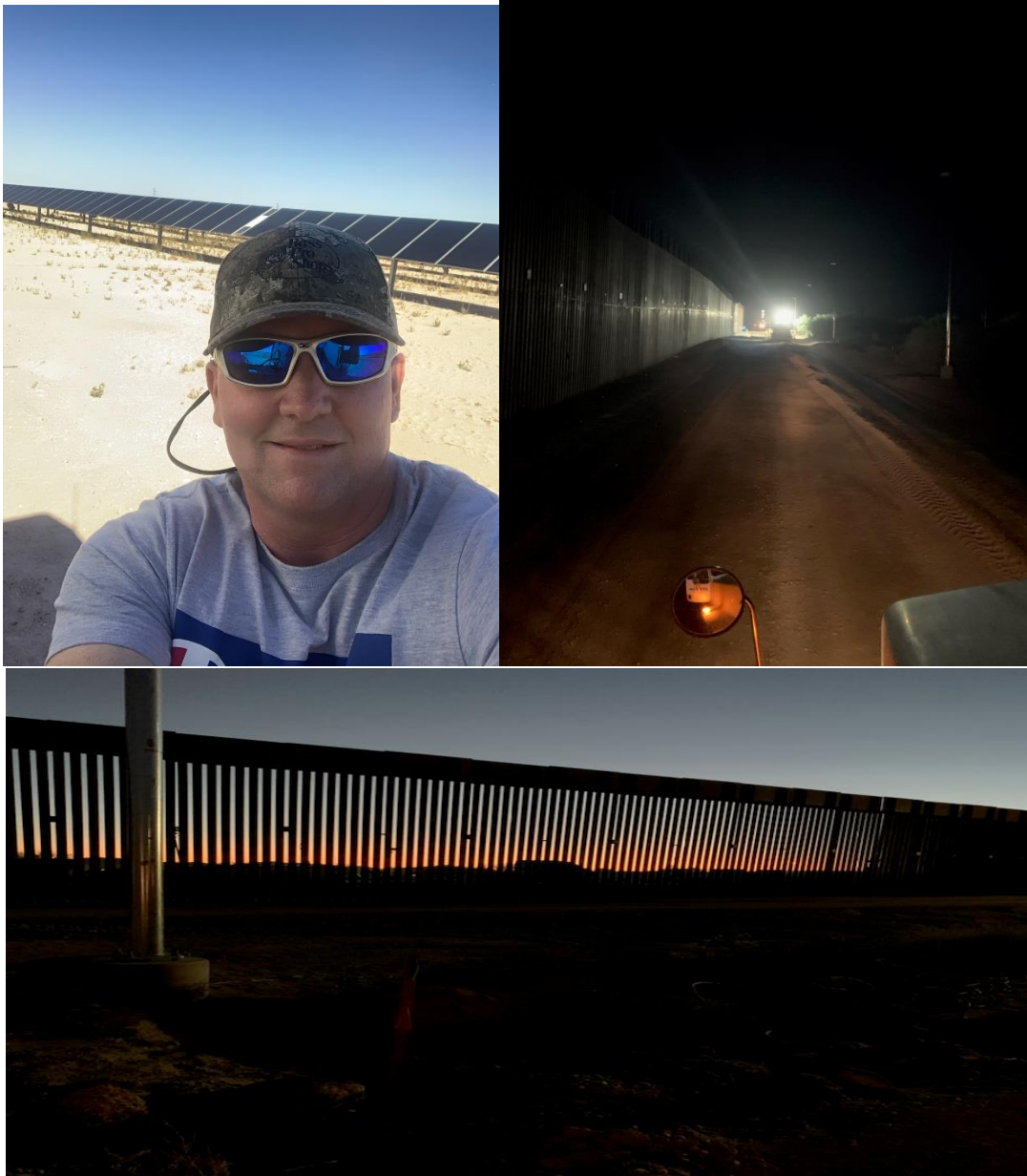


David, a veteran, who was recently released from incarceration after 18 years, came to ARIZONA@WORK – Maricopa County seeking a better future and a career path to support himself. He knew he wanted to pursue training for a Class A CDL so David and I, as his Smart Justice Career Advisor, discussed his training and employment goals to ensure that CDL Training would be a good fit for him. David also had some background barriers he knew he would have to overcome but assured me that he would work hard and stay motivated to do so. David was approved for the WIOA Training Grant and successfully completed his training in September 2020. He was able to obtain employment shortly after he completed his training program and is now employed full-time at Otto Trucking Inc. as a Belly Dump Driver, making \$16 an hour. David is very excited about his employment and has shared that he has been able to travel to some different places in Arizona. He is extremely grateful and thankful to our program, Arizona@Work- Maricopa County (Smart Justice) for the opportunity to create a stable and secure future for himself.

Below I have included a message and pictures that David shared with me.

From David: “I just wanted to tell you how thankful I am for all your help and the effort you put forth in getting me enrolled in the Smart Justice Program with AZ@Work. And not just that, but checking-in with me while I was in school for my CDL and after I finished my schooling, making sure I found and gained employment. Words cannot even express how thankful I am.”



MINUTES OF PUBLIC MEETING OF THE MARICOPA COUNTY WORKFORCE DEVELOPMENT BOARD

Thursday, November 19, 2020 – 9:30 a.m.

GoToMeeting: <https://www.gotomeet.me/MaricopaCountyWDB>
Phone: +1 (872) 240-3212; Access Code/Meeting ID: 167-097-701

Members Present: Bonnie Schirato (Ph.), Brent Downs (Ph.), Christine Colon (Ph.), Christopher Tafoya (Ph.), Collin Stewart (Ph.), Elizabeth E. Cole (Ph.), Erik Cole (Ph.), Loren Granger (Ph.), Marcia Veidmark (Ph.), Mark Wagner (Ph.), Matthew McGuire (Ph.), Neal Dauphin (Ph.), Shawn Hutchinson (Ph), Stan Chavira (Ph.)

Members Absent: Gregg Ghelfi, Tina Drews, Vanessa Andersen

Call to Order.

Interim Chairman, Matt McGuire, called the meeting to order at 9:31 a.m., welcomed members of the board and the public to the MCWDB meeting and requested roll call.

Roll Call.

Board Liaison, Nancy Avina took roll. Quorum was present.

Welcome and Opening Remarks.

Interim Chairman McGuire provided brief welcoming and pandemic comments, open meeting reminders and pandemic comments. He also reviewed the board's vision, values and goals.

Consent Agenda.

Interim Chairman, McGuire, asked for a motion to approve items on the consent agenda. Bonnie Schirato made the motion; Erik Cole seconded the motion. No discussion held. Roll call vote held:

In favor: Bonnie Schirato, Brent Downs, Christine Colon, Christopher Tafoya, Collin Stewart, Elizabeth E. Cole, Erik Cole, Loren Granger, Marcia Veidmark, Mark Wagner, Matt McGuire, Neal Dauphin, Shawn Hutchinson, Stan Chavira

Opposed: None

Abstained: None

Motion carried.

FY22 MCWDB Budget.*

Interim Chairman McGuire provided brief introductory comments and informed the Executive Committee reviewed and approved the budget for submission to the Full Board. Interim Executive Director, Bill Wiley provided additional detail regarding the development of the FY22 administrative budget, including increasing the budget based on needs of the board, benchmarking with other local areas, and major changes.

Interim Chairman McGuire opened the floor for questions/concerns. A question was addressed regarding when the board would see the service provider budget.

Interim Chairman McGuire asked for a motion to approve the proposed FY22 budget. Bonnie Schirato made the motion; Brent Downs seconded the motion. Roll call vote held:

In favor: Bonnie Schirato, Brent Downs, Christine Colon, Christopher Tafoya, Collin Stewart, Elizabeth E. Cole, Erik Cole, Loren Granger, Marcia Veidmark, Mark Wagner, Matt McGuire, Neal Dauphin, Shawn Hutchinson, Stan Chavira

Opposed: None

Abstained: None

Motion carried.

Chairman Report.

Interim Chairman McGuire thanked everyone for their work over the last months and expressed his appreciation to the board. He further provided a brief update on the status of re-certification and next steps. He thanked a few individuals by name/organization.

Executive Director Report.

Interim Chairman McGuire turned the floor to Interim Executive Director, Bill Wiley for his report. Mr. Wiley touched on 4 specific items: (1) the status of 2018 re-certification and anticipated DES feedback on the local plan, (2) Notice received on 2020 re-certification and staff initiating working on it, (3) One Stop Operator Contract and upcoming RFP and City of Phoenix interest in a joint RFP, and (4) status of the budget including the service provider budget.

Board members made a few comments regarding the RFP process for the One Stop Operator and support for regionalism.

Committee Reports.

Executive Committee

Interim Chairman McGuire provided a brief summary of the Executive Committee meeting held earlier in the week as well as, the Executive Session held regarding the 2nd interview of a potential new Executive Director.

Youth Committee

Chair of the Youth Committee, Elizabeth E. Cole provided a brief status update on the youth committee not meeting in November due to the Veteran's Day holiday. Ms. Cole thanked WDB staff for attending a meeting with the Center for the Future of Arizona regarding a youth survey conducted across the State and the development of a youth progress meter. She also touched on the work being conducted by members of the youth committee regarding youth.

Call to the Public.

Chairman McGuire made a call for public comment.

Adjourn.

Chairman McGuire adjourned the MCWDB meeting at 10:06 a.m.

**For additional information, contact MCWDB staff at: MCWDB@maricopa.gov*



MARICOPA COUNTY WORKFORCE DEVELOPMENT BOARD

Consent Agenda Committee and Workgroup Report

Chairs and Leads, Email your report to: mcwdb@maricopa.gov at least 2 weeks prior to the next committee/board meeting.

Report Type: Other

Reporting Period: 10-01-2020 – 10-31-2020

Provide a brief summary, including highlights:

Since the last One-Stop Operator's report out to the MCWDB Executive Committee for **October 2020**, the following actions were achieved (see "Describe Actions Taken" section for more detail).

Describe actions taken:

**OSO PERFORMANCE AREA "FACILITATE INTEGRATED SERVICE DELIVERY (ISD)" UPDATE
*10-30-2020 Collaboration Group Session:***

The OSO team informed the Program Partners attending the Bi-monthly Collaboration Group Session that Summer Houston has resigned from her role on the One-Stop Operator team and will be moving to a new position under Title II.

OSO shared with the Programs Partners the new updates and changes made to the virtual site PartnerLink per the Partners feedback:

- Homepage accessibility and layout
- New way to access programs in Maricopa County and their information pages
- New Referral Form layout for submitting customer and partner information

OSO shared changes made to the Customer Referral System's Data Sheets:

- New easy maneuverability between data entered in each Title Program sheet
- Added notes for the Partners to understand each section's data requirements either for the Partner referring a customer or for the Partner receiving the referral

- Integrated time stamps for the referral process for more data analysis needs for the OSO and the Program Partners

OSO shared the current focus on finding ways to create sustainability amongst the current integrated systems developed. For example, the virtual collaboration site, customer referral system, and co-enrollment approaches.

OSO PERFORMANCE AREA “WORKING COLLABORATIVELY” UPDATE

OSO met with Title II Program Partners for their Virtual Sites Overview and Customer Referral Training & Technical Assistance Sessions.

Title II:

- Adult Education, International Rescue Committee – Melissa Maness
- Adult Education, Friendly House Inc. – Cathy Turley, Jose Vaquera, Minja Maksimovic
- Adult Education, ACYR – David Howden, Mary Peterson

OSO was invited by Maricopa County Human Services to a virtual meeting to learn about their work in developing a new data management system for HSD called HSD Dynamics: Integration with Partner Referral System for potential collaboration.

- OSO demonstrated and shared their virtual site PartnerLink and Customer Referral System with the Dynamics team.

OSO PERFORMANCE AREA “DELIVERY OF ONGOING TRAINING & TECHNICAL ASSISTANCES” UPDATE

The OSO team successfully met with Program Partners from **TITLE II** to conduct the official overview and training for the new virtual collaboration site and customer referral system.

The demo of the virtual collaboration site and customer referral system included:

- Virtual collaboration site PartnerLink
- Additional features available on the virtual collaboration site PartnerLink
- Programs and Partners Service Dash and Page
- Customer Referral Dash and Customer Referral Page
- Demo how to submit, receive and process a customer referral

Assigned each program and partner that completed a training and technical session an action to complete their program's virtual site data worksheet:

- Summary of Program
- Contact Info & Locations
- Summary of Services/ Fees if applicable
- Prepare Customer for Referrals
- Eligibility Documentation and Requirements

- Additional Contact/Information for Customer

Scheduled a training session on the Program Partner's Virtual Information Data Worksheet with Title II's Queen Creek Adult Education Partner, Miguel Garcia.

- Sent a request to all WIOA Title IV Vocational Rehabilitation Program Leaders, still pending a response.

OSO PERFORMANCE AREA "INNOVATIVE TECHNOLOGIES" UPDATE

Completed the transfer to the new Google platform that will host the virtual site and referral system moving forward. This new platform enhances data security, improves virtual collaboration, provides unlimited storage space, expands our access to interactive virtual tools, and much more.

- The new Google platform will require new links that OSO will provide to all workforce system participants for the following:
 - PartnerLink (virtual collaboration site)
 - Program & Partners Customer Referral, Programs, and Services Virtual Sites & Pages Detail (submit a customer referral, how to prepare a customer for a program's services, Program Partner facing details about the local area WIOA programs, services, and partners)
 - Customer Referral Form Response Database Sheet (track progress or process customer referrals submitted & received)
 - Updated customer referral forms per program partner feedback
 - Reformatted customer referral form response database per program partner feedback
 - Setting up the referral form to send a completed copy to the customer via email
 - Setting up the system to create an automated user-friendly pdf version of the completed referral form

Requested program partners to complete their program's virtual site data worksheet

- Efforts to create a seamless user experience inspired the programs virtual data workbook PY 2020-2021. The virtual data workbook contains all the data available on the virtual collaboration site and referral system for participating programs and provides:
 - A single approach, for Program Partners to review their program's data available virtually.
 - Allows Program Partners to perform revisions to their program's virtual data worksheet whenever needed because any activity that occurs on the Programs Virtual Data Workbooks will be received daily by OSO through an auto-generated email notifications.

DESCRIBE UPCOMING ACTIONS AND/OR ACTIVITIES:

Upcoming goals and deliverables focus on managing and facilitating the Collaboration Site, the Customer Referral System, and its Referral Data Sheets. New links will be sent out to all workforce system partners for the new platform that was launched on October 29th. Any additional training and technical sessions on the Collaboration Site, Customer Referral System, the Referral Data Sheets, and the Program Partner Information Sheets, will be scheduled and discussed if needed. OSO will send out approved communication inviting WIOA Program Leaders and MCWDB members to

convene and discuss the WIOA programs performance accountability requirements and primary indicators of performance upon approval of the drafted content from MCWDB staff. Continue our efforts towards facilitating integrating service delivery (ISD) with a strong focus on Program Partner engagement and integrated approach to co-enrollment and continuous quality improvements to the customer referral system.

*Remember to attach this document to your email. Submit questions to staff via email at: mcwdb@maricopa.gov

JOIN THE MARICOPA COUNTY WORKFORCE DEVELOPMENT BOARD

CONTRIBUTE YOUR VOICE, LEADERSHIP & EXPERIENCE



The Maricopa County Workforce Development Board (MCWDB) is currently seeking applicants to fill several **Business Vacancies - A great opportunity to represent and give back to your community!**

The MCWDB provides strategic direction and oversight for Workforce Innovation and Opportunity Act activities (Public Law 113-118). In collaboration with the Maricopa County Board of Supervisors and local workforce partners and stakeholders, the Board and its committees develop a comprehensive and quality workforce development system in Maricopa County as directed by WIOA, specific responsibilities include:

- Developing a Local Area Plan
- Workforce Research and Regional Labor Market Analysis
- Convening, Brokering and Leveraging
- Employer Engagement
- Career Pathways Development
- Proven and Promising Practices
- Technology
- Program Oversight
- Negotiation of Local Performance Accountability
- Selection of Operators and Providers
- Coordination with Education Providers
- Budget and Administration
- Accessibility for Individuals with Disabilities



WHO IS ELIGIBLE

To be eligible for consideration, applicants must meet the following criteria:

- ✓ Represent an In-demand Industry - IT, Manufacturing, Healthcare/Social Assistance, Finance/Insurance, Construction, Transportation.
- ✓ Be owners of businesses, chief executives or operating officers of businesses, or other business executives or employers with optimum policymaking or hiring authority;
- ✓ Provide employment opportunities that include high-quality, work-relevant training and development in in-demand industry sectors or occupations in the local area.

HOW TO APPLY

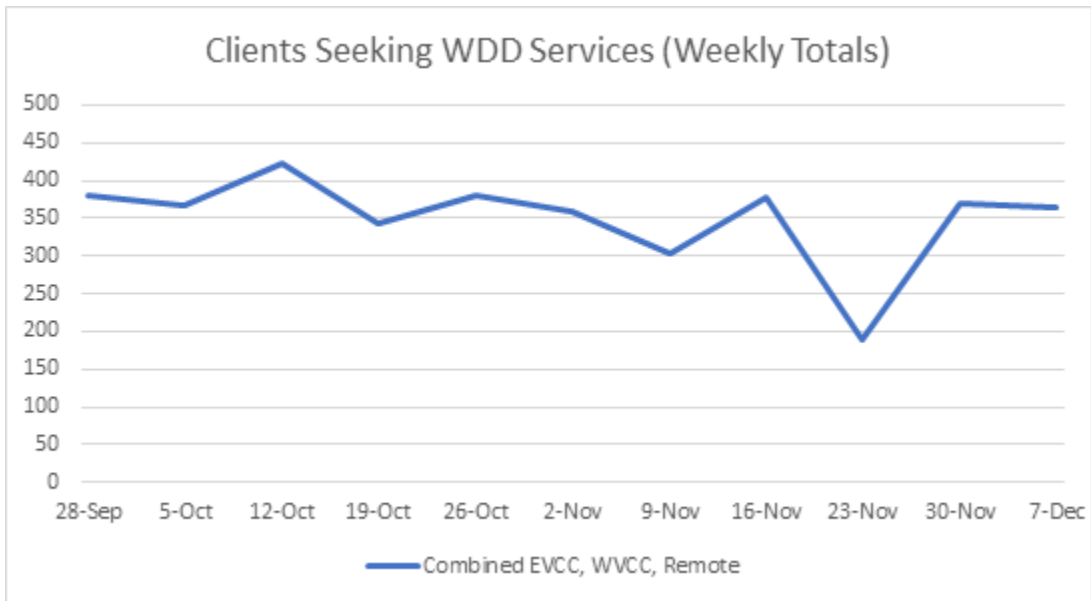
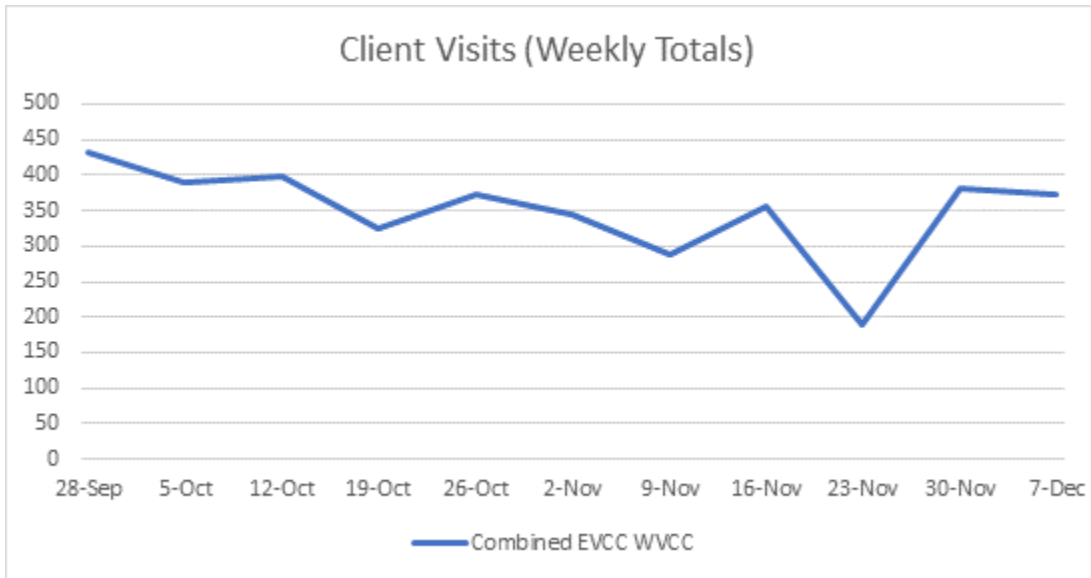


The MCWDB anticipates to fill vacancies on an ongoing basis. Please submit your interest at your first convenience by:

1. Visiting : <https://www.maricopa.gov/378/Maricopa-Workforce-Development-Board>, to obtain a membership application.
2. Submitting your completed application along with a copy of your resume to: BoardsAndCommissions@Maricopa.Gov

*Individuals will be notified individually of their selection upon approval.

Service Trends



MC Apprenticeships Communication Screenshot

On Wed, Dec 2, 2020 at 11:02 AM Brady, Maria R - ETA <Brady.Maria.R@dol.gov> wrote:

Willie,

Can you reconnect me with the powers that be at Maricopa County who deal with registered apprenticeship programs? Recall a few years back that Maricopa County was ranked #1 in the country in terms of their integration with WIOA based on national PIRL data. Well, they're still #1.

I'm working on some updates to our website (www.apprenticeship.gov) and wanted to include a case study around Maricopa County. I'm also writing a case study of the Gulf Coast WDB in Houston, TX. They rank #1 in the state and work closely with one sponsor in particular to serve hard-to-serve individuals in RA programs (like homeless veterans).

Let's talk soon (when you get back from vacation and come up for air).

Hope all is well with you and yours.

Maria Remboulis Brady
Multi-State Navigator
Dallas Office of Apprenticeship
U.S. Department of Labor
525 S. Griffin Street, Room 317
Dallas, TX 75202
972-850-4639
Brady.maria.r@dol.gov
www.apprenticeship.gov

NOTICE: This e-mail (and any attachments) may contain PRIVILEGED OR CONFIDENTIAL information and is intended only for the use of the specific individual(s) to whom it is addressed. It may contain information that is privileged and confidential under state and federal law. This information may be used or disclosed only in accordance with law, and you may be subject to penalties under law for improper use or further disclosure of the information in this e-mail and its attachments. If you have received this e-mail in error, please immediately notify the person named above by reply e-mail, and then delete the original e-mail. Thank you.

From: Tom Colombo (HSD) <Tom.Colombo@Maricopa.gov>

Sent: Monday, December 14, 2020 5:32 PM

To: Bruce Liggett (HSD) <Bruce.Liggett@Maricopa.gov>; Jacqueline Edwards (HSD) <Jacqueline.Edwards@Maricopa.gov>; Lee Ann Bohn (COA) <LeeAnn.Bohn@maricopa.gov>; McGuire, Matt - SJHMC <Matt.McGuire@DignityHealth.org>; Bill Wiley (HSD) <Bill.Wiley@maricopa.gov>

Cc: Nancy Avina (HSD) <Nancy.Avina@Maricopa.gov>; Deb Furlong (HSD) <Deb.Furlong@maricopa.gov>; Kennedy Arnold (HSD) <Kennedy.Arnold@maricopa.gov>; Matthew Smith (HSD) <Matthew.Smith@Maricopa.gov>

Subject: FW: Revisiting Maricopa County!

All,

Just wanted to take a moment to brag about our connection and partnerships with Registered Apprenticeship (RA) Programs. A couple of years ago, we were identified as the Local Area that was number one in the nation in referring individuals to RA Programs through WIOA. As you can see in Maria Brady's email below (Maria is with the USDOL Apprenticeship Program), we are still # 1!! This is the result of the focused partnerships that we have built over the years with the electric, pipe fitters, sheet metal and construction. Deb Furlong, our Adult/DW Manager, oversees the staff that are assigned to this effort and my thanks go out to her and her staff for keeping the focus on the partnerships effective and efficient. They are always looking to make sure that we are working together to benefit the individual apprentices that need our assistance to be in the RA Programs. Deb is also looking at how we can expand these partnerships and connect with some of our priority groups. I will keep you posted on the future communications with Maria and this study.

Tom

Nancy Avina (HSD)

From: Bill Wiley (HSD)
Sent: Tuesday, December 15, 2020 7:59 AM
To: Nancy Avina (HSD)
Subject: Fw: Revisiting Maricopa County!

From: Tom Colombo (HSD) <Tom.Colombo@Maricopa.gov>
Sent: Monday, December 14, 2020 5:32 PM
To: Bruce Liggett (HSD) <Bruce.Liggett@Maricopa.gov>; Jacqueline Edwards (HSD) <Jacqueline.Edwards@Maricopa.gov>; Lee Ann Bohn (COA) <LeeAnn.Bohn@maricopa.gov>; McGuire, Matt - SJHMC <Matt.McGuire@DignityHealth.org>; Bill Wiley (HSD) <Bill.Wiley@maricopa.gov>
Cc: Nancy Avina (HSD) <Nancy.Avina@Maricopa.gov>; Deb Furlong (HSD) <Deb.Furlong@maricopa.gov>; Kennedy Arnold (HSD) <Kennedy.Arnold@maricopa.gov>; Matthew Smith (HSD) <Matthew.Smith@Maricopa.gov>
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Tom

From: Tom Colombo (HSD)
Sent: Monday, December 14, 2020 5:12 PM
To: Brady, Maria R - ETA <Brady.Maria.R@dol.gov>; William Higgins <whiggins@azdes.gov>
Cc: Howell, Douglas - ETA <Howell.Douglas@dol.gov>; Kelly Hart <kellyhart@azdes.gov>; Deb Furlong (HSD) <Deb.Furlong@maricopa.gov> <Deb.Furlong@maricopa.gov>; Matthew Smith (HSD) <Matthew.Smith@Maricopa.gov>
Subject: RE: Revisiting Maricopa County!

Maria and Willie,

Good to hear from you and I hope all is well with both of you! I am glad to hear that we are still number one in our connection with the Registered Apprenticeship programs as a Local Area. I would love for us to be part of the DOL case study on integration between RA and WIOA. We link these two together and have built some strong partnerships with the RA programs throughout the County. Last year, PY 19, we served 756 apprentices through WIOA. So far in the 1st Quarter of PY 20, we have served 472. Looking like we might even beat last year's numbers.

Through this email, I am introducing you to our new Adult/DW Program Manager, Deb Furlong. Deb oversees our staff specifically assigned to the Apprenticeship Programs. We have seen how that connectivity of assigned staff helps to increase the communications and effectiveness of the partnership. Let me know how I can help to facilitate this effort on the study. Looking forward to hearing from you. Also, hope you have a great Holiday Season!

Tom

Thomas Colombo
Assistant Director
Workforce Development Division



Maricopa County Human Services Department
234 N. Central Avenue, 3rd Floor, Phoenix, AZ 85004
Desk: 602-372-2733 | Cell: 602-369-8055 | Fax: 602-506-5212
Email Address: Tom.Colombo@Maricopa.gov | <http://myhds.maricopa.gov>

HUMAN SERVICES
DEPARTMENT



“What is a master, but a master student? And if that’s true, then there’s a responsibility on you to keep getting better and explore the avenues of your profession.” - Neil Peart

Equal Opportunity Employer / Program Auxiliary aids and services are available upon request to individuals with disabilities.
ARIZONA@WORK-Maricopa County products and services are made available through federal funding provided by the Workforce Innovation and Opportunity Act (WIOA) serving Employers by aiding job seekers, adults, dislocated workers and youth.

From: Brady, Maria R - ETA <Brady.Maria.R@dol.gov>
Sent: Monday, December 7, 2020 1:41 PM
To: William Higgins <whiggins@azdes.gov>; Tom Colombo (HSD) <Tom.Colombo@Maricopa.gov>
Cc: Howell, Douglas - ETA <Howell.Douglas@dol.gov>; Kelly Hart <kellyhart@azdes.gov>
Subject: RE: Revisiting Maricopa County!

Thanks Willie! Tom may remember that we connected a while back and were going to do a national webinar. We even put together some slides if I recall correctly. But it never happened. I'd like to revisit the connections from that time and discuss the efficacy of a case study on integration between registered apprenticeship and WIOA.

Maria Remboulis Brady
Multi-State Navigator

Dallas Office of Apprenticeship
U.S. Department of Labor
525 S. Griffin Street, Room 317
Dallas, TX 75202
972-850-4639
Brady.maria.r@dol.gov

www.apprenticeship.gov

From: William Higgins <whiggins@azdes.gov>
Sent: Monday, December 7, 2020 2:14 PM
To: Brady, Maria R - ETA <Brady.Maria.R@dol.gov>; Tom Colombo (HSD) <Tom.Colombo@maricopa.gov>
Cc: Howell, Douglas - ETA <Howell.Douglas@dol.gov>; Kelly Hart <kellyhart@azdes.gov>
Subject: Re: Revisiting Maricopa County!

CAUTION - The sender of this message is external to the DOL network. Please use care when clicking on links and responding with sensitive information. Send suspicious email to spam@dol.gov.

Maria, thank you for the email. I hope you are doing well and getting ready to kick this year out. I have added Mr. Tom Columbo to this email, Tom can direct you to find the right person to get you the information.

Hi Tom please see Maria's request and woop woop for Maricopa County

William (Willie) Higgins
1789 West Jefferson St
Phoenix, Arizona 85007
ARIZONA@WORK
www.azapprenticeship.com
State Apprenticeship Program Lead
Cell---480-708-6375
*"There are wood ships and good ships that sail every sea,
but the best ships are APPRENTICESHIPS and may they always be"*

On Wed, Dec 2, 2020 at 11:02 AM Brady, Maria R - ETA <Brady.Maria.R@dol.gov> wrote:

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Let's talk soon (when you get back from vacation and come up for air).

Hope all is well with you and yours.

Maria Remboulis Brady

Multi-State Navigator

Dallas Office of Apprenticeship

U.S. Department of Labor

525 S. Griffin Street, Room 317

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2020 Recertification Requirements

1. Exhibit 1200a
2. MCWDB Membership Roster
3. MCWDB Standing Committee Members
4. Bylaws
5. Shared Governance Agreement (SGA)
6. One Stop and Service Provider Agreement (SPA)
7. Maricopa County Local Area Plan (MCLAP)
8. Infrastructure Funding Agreement/ Memorandum of Understanding (IFA/MOU)
9. Four new policies
 - a. Conflict of Interest
 - b. Work-based Training Services
 - c. Training Service Limits, and
 - d. Monitoring and Oversight
10. MCWDB Recertification and Self-Assessment checklists and spreadsheets

Local Workforce Development Board Recertification Submissions Requirements 2020

Program Years 2020 and 2021

Local Workforce Development Board

This form serves as the request for [NAME OF LOCAL WORKFORCE DEVELOPMENT BOARD] (LWDB) recertification for Program Years (PYs) 2020-21 under the Workforce Innovation and Opportunity Act (WIOA).

If the Workforce Arizona Council (the Council) determines the request is incomplete, it will either be returned or held until the necessary documentation is submitted. Please send an email to TitleB@azdes.gov for technical assistance or questions related to completing and submitting this request.

Name of LWDB

Mailing Address

City, State Zip

Contact Person

Contact Person's Phone Number

Date of Submission

SUBMISSION REQUIREMENTS

LWDB Recertification submission packets

Packages may be submitted on or before December 1 and must be submitted by January 4. *Extension requests will be considered on a case-by-case basis.*

- Documents must not be sent in for review until all required documents are available, and meet requirements in the self-assessments checklist, as per Local Workforce Development Board Recertification Requirements Policy, [section 1202.C](#).
- Incomplete submission packets will not be considered for review and will be rejected as per Local Workforce Development Board Recertification Requirements Policy, [section 1202.D](#).

1. LWDB Membership

Download or copy the [LWDB Roster Spreadsheet](#) and provide the requested information regarding the LWDB members, which must be submitted with the form. The membership requirements are described in the Roster, as well as in 20 CFR [679.320](#) and the Workforce Arizona Council's Workforce Innovation and Opportunity Act Local Governance Policy ("Council [Policy #1](#)"), 06-2019, Section VIII.

If your LWDB membership does not meet the required composition, please complete the following information within the Roster: (1) length of the vacancy; (2) efforts to fill the vacancy; and (3) estimated month and year when vacancy is anticipated to be filled. *If you submit an updated Roster from your initial certification request and you have a vacancy, please include the information from (1) – (3) above in the Roster within the section where there is a vacancy.*

2. List of Standing Committees and Standing Committee Members

Please include this information within the [LWDB Roster Spreadsheet](#), second tab named: "[Standing Committee Members](#)."

3. Bylaws

Please submit a copy of, or link to this stand alone document or to larger agreement(s) that include this requirement.

4. Consortia Agreement, if applicable

Please submit a copy of, or link to this stand alone document or to larger agreement(s) that include this requirement.

- 5. Shared Governance Agreement (includes Organizational Chart)**
Please submit a copy of, or link to this stand alone document or to larger agreement(s) that include this requirement.
- 6. One-Stop and Service Provider Agreements**
Please submit a copy of, or link to this stand alone document or to larger agreement(s) that include this requirement.
- 7. Local Plan**
Please submit a link to this stand alone document.
- 8. One-Stop Procurement, including contract**
Please submit a copy of, or link to this stand alone document or to larger agreement(s) that include this requirement.
- 9. Memorandum of Understanding/Infrastructure Agreement**
Please submit a copy of, or link to this stand alone document or to larger agreement(s) that include this requirement.
- 10. Policy Development**
 - A. Conflict of Interest**
Please attach or provide links to policies which meet this requirement.
 - B. Training Services, Including requirements for work-based training**
Please attach or provide links to policies which meet this requirement.
- 11. LWDB Oversight**
Please attach or provide links to policies which meet this requirement.
- 12. LWDB Management of Funds**
Please attach or provide links to policies which meet this requirement.
- 13. [LWDB Recertification Checklists](#)**
There is one spreadsheet with a tab for items 1-5. For each item, indicate if the provision is included in the document and where it may be found. There is also a tab “Options for LWDB to Link Items.” LWDBs are encouraged to use this tab to link required documents. If the LWDB chooses to not provide links to documents, please attach requested documents to the submission packet.

Signature Page

By signing below, the local CEO and LWDB chair request LWDB recertification. We certify that the LWDB appointed members as described in WIOA Section 107(a), (b), and (c), performed successfully and sustained fiscal integrity during PYs 2020-21, and developed and implemented strategies to improve and continuously strengthen the ARIZONA@WORK system in accordance with WIOA.

Instructions

The LWDB chairperson and local CEO must sign and date this form. Electronic signatures will be accepted.

LWDB Chair

Local CEO

Signature

Signature

Name

Name

Title

Title

Date

Date

ARIZONA@WORK LWDB WEBPAGE SCREENSHOT

The screenshot shows a web browser window with the URL arizonaatwork.com/locations/maricopa-county/local-board/policies-and-reports. The page header includes the Maricopa County logo and the title "MARICOPA COUNTY". The main content area is titled "POLICIES, REPORTS AND OTHER DOCUMENTS" and is organized into several sections:

- Local Offices:** A list of locations including Maricopa - East, Maricopa - West, Mesa Employment Services, Mesa Youth Hub, Peoria Youth Hub, Scottsdale Vista del Camino Community Center, Surprise, Tempe Library, Tempe Youth Hub, and Wickenburg.
- Service Updates - COVID-19:** A link for updates.
- Adult Job Seekers:** A link for job seekers.
- Youth Job Seekers:** A link for youth job seekers.
- Employer Resources:** A link for employer resources.
- Partners:** A link for partners.
- Local Board:** A link for the local board.
- Members:** A link for members.
- Meetings:** A link for meetings.
- Archives:** A link for archives.
- Policies and Reports:** A link for policies and reports.

The "MCWDB Documents" section includes links to:

- Maricopa County Shared Governance Agreement
- MCWDB Bylaws
- Maricopa County WIOA Local Plan FY 2020-2022
- WIOA Partners Memorandum of Understanding & Infrastructure Funding Agreement
- Title I-B Service Provider: Maricopa County Human Services Department Workforce Development Division Service Provider Agreement
- One Stop Operator: MAXIMUS Inc. - Contract

The "MCWDB Policies" section includes links to:

- Conflict of Interest - Draft
- Work-based Training Services - Draft
- Training Services Limits - Draft
- Monitoring and Oversight - Draft

The "MCWDB Strategic Planning" section includes links to:

- Timeline
- Needs Assessment Report
- Goals & Vision
- System Recommendations

The "MCWDB Member Training" section includes links to:

- MC WIOA Overview Training - Draft
- MC Role of LWDBs Training - Draft
- MC Conflict of Interest Training - Draft
- MC Roberts Rules of Order Training - Draft
- MC Arizona Open Meeting Law Training - Draft

The "Additional Open Meeting Law Resources" section includes links to:

- Open Meetings Ch. 7
- Conflict of Interest Ch. 8

The footer of the page features logos for the Arizona Department of Economic Security, Arizona Commerce Authority, Arizona Office of Economic Opportunity, and Local Workforce Areas, along with social media icons for Facebook, Twitter, LinkedIn, and YouTube.

This screenshot shows the same webpage as above, but with a different layout. The "Policies, Reports and Other Documents" section is now displayed in a single column on the right side of the page. The left side of the page contains a navigation menu with the following items:

- Service Updates - COVID-19
- Adult Job Seekers
- Youth Job Seekers
- Employer Resources
- Partners
- Local Board
- Members
- Meetings
- Archives
- Policies and Reports

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Conflict of Interest (Draft)

Policy Summary

Conflict of Interest Policy

- Identifies what is a conflict of Interest in context of the WIOA and addresses MCWDB Board, Board staff, and service providers.
- Discusses types of conflict of interests.
- Identifies what to do if you see a conflict of interests.
- Describes potential consequences of a conflict of interest.
- Clarifies that the Shared Governance Agreement covers conflict between the BOS and the MCWDB.
- Draft training is available on the MCWDB members page and gives examples of real and apparent conflict of Interest.

<https://arizonaatwork.com/locations/maricopa-county/local-board/policies-and-reports>

Monitoring and Oversight (Draft)

Policy Summary

Monitoring and Oversight Policy

- Describes how WDB will provide oversight of programs, service providers and use of funds.
- Applies to MCWDB and staff, grantees and staff, subgrantees or other agencies funded through the MCWDB.
- Work to be done by WDB or staff or contractors.
- Identifies WIOA Title I-B programs covered.
- Fiscal oversight addresses WIOA, state and county financial requirements, GAAP adherence and internal controls.
- Provides for annual, program year and more frequent monitoring of Programs.
- Includes onsite visits, desk reviews, random sampling and surveys.
- Identifies what must be included in review per WIOA requirements.
- Provides for advance notification, exit process and final reporting.
- Requires formal report and Corrective Action Plan, follow-up monitoring and record-keeping.

Training Services Policy and Training Services Limits (Draft) Policy Summary

Training Services Policy

- Based on approved Pinal County policy
- Meets WIOA and DES policy requirements for WIOA Title I-B
- Provides specific requirements for Work based training, Business Work based Training, On the Job Training, Apprenticeship training and Youth training
- Ensures:
 - No replacement
 - Full time employment at the end
 - Promotional training
 - Layoff aversion
 - Low income training
- Requires employer match - varies on employer size and type
- Specifies tracking and reporting

Training Services Limits Policy

- Provides \$ limits for Individual Training Plan Accounts - to purchase training from approved providers
- Limits \$ amounts from \$3000 to \$6000 (Out of school Youth) depending on category - most are \$4000.

<https://arizonaatwork.com/locations/maricopa-county/local-board/policies-and-reports>



Maricopa County FY2021 WIOA Budget to Actuals

DECEMBER 17, 2020

WIOA FISCAL AGENT-NICOLE FORBES

FY21 WIOA Budget to Actual

Title 1 B Approved Budget \$18,661,610

- In FY21 at minimum \$14,714,015 must be spent

Service Provider(WDD) = \$18,028,442

- Expended YTD as of November 30,2020
\$5,934,982

WDB Approved Budget= \$633,169

- Expended YTD as of November 30,2020
\$209,616

WIOA Funding by Program Year

County FY2021					
	FY21 Allocation	FY21 Budget	YTD FY21 AS OF 11/30/2020	Balance Remaining	% Spent YTD
ADULT	11,314,756	10,734,480	3,591,521	7,142,959	33%
DISLOCATED WORKER	5,527,150	1,238,480	378,907	859,573	31%
RR	775,326	775,326	420,027	355,299	54%
YOUTH	6,786,853	5,913,324	1,754,143	4,159,182	30%
Total	24,404,085	18,661,610	6,144,598	12,517,013	33%

Fiscal Agent Updates

DES BFY21 Annual Fiscal Monitoring



- December 9-10, 2020
- All requested documentation was submitted without DES questions/concerns
- All expenditures were coded in the appropriate Program Categories
- MONITORING RESULT: No Findings or Areas of Concern
- Considered low risk Sub-Recipient, and as such we may not have to be monitored next year



QUESTIONS?

Contact Information:
Nicole.Forbes@Maricopa.gov

THANK YOU FOR YOUR TIME.

  <p>MARICOPA COUNTY WORKFORCE DEVELOPMENT BOARD</p>	SECTION/REFERENCE:	POLICY NUMBER:
	ORIGINAL ISSUE DATE: December 2020	REVISION DATE:
	AUTHORIZED BY: Maricopa County Workforce Development Board	
SUBJECT: Conflict of Interest Policy		ADDENDA:

Purpose: To provide the Maricopa County Workforce Development system with a Code of Conduct to maintain fairness and equity in its decision-making, awarding and allocation of Workforce Innovation and Opportunity Act (WIOA) Title I-B monies as well as any other monies received by the system. All staff, partners, subrecipients and any other organization funded with Federal dollars and other monies are expected to read, understand and apply this policy to ensure system integrity.

Background: A conflict of interest policy ensures that individuals or representatives of organizations entrusted with public funds will not personally or professionally benefit from the award, administration, or expenditure of such funds. The possibility of a conflict of interest is inherent when an organization or entity is designated or is seeking to be designated to perform more than one of the following functions in the Local Workforce Development Area (LWDA): local fiscal agent, staff to the MCWDB, member of the MCWDB, one-stop operator (OSO), and providers of services for adults, dislocated workers, and youth services. As recipients of public funds, the MCWDB must assure that its staff, members, and grantees use these resources for the benefit of the public rather than for personal benefit. This policy is intended to supplement but not replace any applicable county, state and federal laws governing conflict of interest.

Who should read this policy: The staff, grantees and their staff, sub-grantees, or other agencies providing program services funded through the MCWDB.

Definitions:

- A. Conflict of Interest:** Refers to circumstances in which an individual or an organization the individual represents has competing interests that may affect the individual’s ability to act objectively and without bias. There may be circumstances or actions that have the potential to undermine the impartiality of an individual because of a possible clash between the individual's own interests and their organizational role, or between competing organizational roles, when an individual serves in more than one organizational role. A conflict of interest would arise when an individual or organization has a financial or other interest in or participates in the selection or award of funding for an organization. Financial or other interest can be established either through ownership or employment.
- B. Real/Actual conflict of interest:** A real conflict of interest exists when an individual in his or her official capacity participates in a decision-making process that has a direct effect on the financial interest of his or her personal or business interest or a member of his or her family.

- C. Apparent conflict of interest:** The appearance of a conflict of interest arises where an employee is assigned to participate in an official duty matter where an organization with which the employee has a covered relationship is or represents a party to that matter, or where the matter is likely to affect the interests of a household member, and there are circumstances that would cause a reasonable person with knowledge of the relevant facts to question the employee's impartiality in the official matter.
- D. Organizational conflict of interest:** An organizational conflict of interest can arise when actions are taken or may appear to be taken by any entity involved in more than one role, such that the performance of that entity in one role affects its interest in its other role(s). Organizational conflicts must be mitigated with complete separation of duties, supervision, and restrictions on information access.
- E. Individual:** An individual; i.e., employee, officer, board member or agent, or any member of the individual's immediate family (spouse, partner, child, or sibling), or the individual's business partner.
- F. Organization:** A public agency, for-profit, or not-for-profit entity that employs, or has offered a job to, an individual defined above. An entity can be a partnership, association, trust, estate, joint stock company, insurance company, or corporation, whether domestic or foreign, or a sole proprietor.

Policy

For Individuals

- A. No individual shall participate in the selection, award, or administration of a contract or grant funded by WIOA Title I-B or other federal, state, or county funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the individual, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award.
- B. No individual shall cast a vote or participate in any decision-making capacity on the provision of services by such individual (or any organization which that individual directly represents), or any matter which would provide any direct financial benefit to the individual, to the individual's immediate family, or to the individual's organization.
- C. No individual shall solicit or accept gratuities, favors, or anything of monetary value from contractors or parties to sub agreements. Individuals may receive unsolicited, gifts of value no greater than \$10 from parties unconnected to any person or organization that intends to respond to a proposal, has responded to a proposal, or has received an award.
- D. Individuals shall not use, for their own private gain, for the gain of others, or for other than officially designated purposes, any information obtained as a result of their committee or working relationships with the MCWDB and not available to the public at large, or divulge such information in advance of the time prescribed for its authorized release.
- E. Disciplinary actions, up to, and, including termination of employment, will be applied for violations of this policy by any individual.
- F. Conflict of Interest and Ethics provisions for MCWDB members are outlined in Article X of the MCWDB Bylaws and in Section VI D.6 of the Shared Governance Agreement.

For Contractors and Subcontractors

- A. Each contractor and subcontractor shall maintain a written code of standards or conduct governing the performance of persons engaged in the award and administration of MCWDB contracts and subcontracts.

- B. Each contractor and subcontractor shall ensure that no person in a decision-making capacity shall engage in any activity, including participation in the selection, award, or administration of a contract or subcontract supported by MCWDB funds if a conflict of interest, real, implied or apparent, would be involved.
- C. The standards of conduct shall provide for disciplinary actions, up to, and, including termination of employment for violations of the code of conduct.
- D. Failure to comply with this policy may result in the termination of contracts with the MCWDB and disqualification for future contracting opportunities.



Between the CEO and the MCWDB: Conflicts between the MCWDB and the Chief Elected Official (CEO) are addressed in the SharedGovernance Agreement.

PROCEDURE

- A. Violations of this policy must be reported and will be investigated. Any individual, contractor, or subcontractor who believes a violation of this policy has occurred must report it in writing within 90 days to the MCWDB’s Executive Director. If the possible violation pertains to the Executive Director, the violation must be reported to the Board Chair. An investigation will be conducted to determine if a violation has occurred and whether the violation should result in sanctions.

REFERENCES

State Workforce Policy # 1: Workforce Innovation and Opportunity Act (WIOA) Local Governance Policy
State Workforce Policy #8: Conflict of Interest Policy
Arizona Law on Conflict of Interest ASRS Section 38-501 et. Seq.

  <p>MARICOPA COUNTY WORKFORCE DEVELOPMENT BOARD</p>	SECTION/REFERENCE:	POLICY NUMBER:
	ORIGINAL ISSUE DATE: November 2020	REVISION DATE:
	AUTHORIZED BY: Maricopa County Workforce Development Board	
SUBJECT: Monitoring & Oversight Policy		ADDENDA:

Purpose: To provide oversight of program and financial activities through monitoring and technical assistance in compliance with federal and state and county requirements.

Background: The Maricopa County Workforce Development Board (MCWDB) has a responsibility to provide oversight and monitoring of programs and activities supported with funds that flow through the local area’s fiscal agent. This policy is intended to ensure compliance with the Workforce Innovation and Opportunity Act (WIOA) and all state and local requirements while at the same time, providing guidance for continuous improvement and technical assistance.

The MCWDB is committed to ensuring compliance with Sections 183, 184 and 185 of the Workforce Innovation and Opportunity Act; 20 CFR Part 683; 29 CFR Parts 95 and 97, Uniform Administrative Requirements; 2 CFR Part 200; appropriate OMB Circulars and requirements. Oversight includes review of administrative and fiscal requirements, as well as program performance to ensure that the programs achieve intended results, and that grant funds and other assets are adequately safeguarded.

Who should read this Policy: Maricopa County Workforce Development Board (MCWDB), its staff, grantees and their staff, sub-grantees, or other entities providing program services funded through the MCWDB.

Policy

Responsibilities: The MCWDB’s oversight responsibilities of the ARIZONA@WORK-Maricopa County System include, but are not limited to, the following:

Administrative Oversight

1. Compliance with the Shared Governance Agreement as assessed by OEO and DERS
2. One-Stop Center certification
3. Organizational structure
4. Administrative policies and procedures
5. Grievance procedures
6. EEO procedures
7. Subrecipient capacity to provide oversight
8. Americans with Disabilities Act (ADA) compliance
9. Non-discrimination and civil rights provisions
10. Equal opportunity requirements

Program Oversight

Program and special population oversight will be conducted pursuant to the Methods of Oversight as detailed in

this document.

1. WIOA Title I-B Adult, Dislocated Worker, and Youth programs management and standards
2. WIOA Title I-B Adult, Dislocated Worker, and Youth programs policies and procedures
3. WIOA Title I-B Adult, Dislocated Worker and Youth Programs goals and objectives
4. Service delivery under the WIOA Title I-B Adult, Dislocated Worker and Youth programs and WIOA Title I-B Adult and Dislocated Worker Program programmatic such as basic career, individualized career services, and training services, including occupational skills training, Individual Training Accounts, and work-based training activities, such On-the-Job Training, Customize Training, and Incumbent Worker Training, Eligible Training Provider List, and Business Services
5. WIOA Title I-B Youth Programmatic areas such as design framework services, and the 14 program elements;
6. Access to WIOA Title I-B Adult, Dislocated Worker and Youth services
7. Participant eligibility for the WIOA Title I-B Adult, Dislocated Worker, and Youth Programs;
8. An examination of actual expenditures against the cost categories and cost limitations
9. WIOA Title I-B Performance measures and program outcomes (actual versus planned)
10. Services to priority and special populations
11. Record retention and case file maintenance
12. Subrecipient monitoring activities
13. Supportive services and needs-related payments
14. Data analysis
15. Data element validation
16. Self-monitoring activities

Fiscal Oversight – All WIOA transactions

All Fiscal activities and oversight related to WIOA transactions shall with comply with the Uniform Administrative Requirement (2 CFR Part 200) along with all rules, requirements, and regulations of WIOA. In addition, fiscal activities and oversight shall adhere to Maricopa County established policies, procedures, and requirements, including but not limited to the Maricopa County Grant Manual, Maricopa County Internal Policy on Administering Grants, and the Maricopa County Procurement Guide. These documents outline how each of the following are to be carried out, if not already detailed below. The fiscal agent and MCWDB staff are expected to follow these as well as an internal procedures and policies as they set forth to ensure compliance in WIOA transactions.

1. Accounting and reporting systems- The system of recorded shall be the Maricopa County financial system, CGI.
2. Fiscal agent responsibilities and activities- These shall be adhered to as outlined in the Shared Governance Agreement.
3. Fiscal policies and procedures
4. Fiscal plans and agreements
5. Subrecipient monitoring activities
6. Cost allocation and allowability
7. Resource sharing
8. Budget Methodologies
9. Cash management practices
10. Cash disbursement compliance and documentation
11. Internal controls
12. Reporting requirements- All DES reporting requirements shall be adhered to.
13. Closeout procedures

14. Audits
15. Subcontract compliance
16. Program income and reporting
17. Property management – Maricopa County policy A1901 Leasing or Licensing of Real Property from Public or Private Entities shall be adhered to.
18. Record retention – Records retention policy of WIOA and Maricopa County shall be followed.
19. Generally Accepted Accounting Principles (GAAP) adherence
20. Payroll administration – This is managed by the Fiscal Agent, and other entities Maricopa County, including Human Resources. County policy HR2418 shall be followed.
21. Insurance coverage and risk exposure – Maricopa County is self-insured, and as acceptance of the funds is by the Board of Supervisors, Maricopa County local Workforce Area is covered by the BOS through:
 - a. Declaration of Trust for Self-Insured Risk Trust Fund (PDF)
 - b. Funding and Payment of Workers' Compensation Claims - A2223
 - c. Self-Insured Property Coverage and Deductible Policy - A2230
 - d. Policy A2234a - Injury and Illness Prevention Plan
22. Purchasing and procurement processes and procedures (as applicable)

Other

1. At the discretion of the MCWDB, specialized oversight activities may be authorized to investigate allegations of mismanagement, to clarify unusual findings, or to document current conditions. This includes the Maricopa County Internal Audit Office and/or the fiscal agent depending on the nature of the activities. The additional oversight will be in conjunction with the MCWDB staff.

Methods of Oversight

To ensure compliance with the WIOA and Federal Regulations, the MCWDB shall annually review each contract during the Program Year . Desk reviews will also be conducted periodically as appropriate.. The following activities may be utilized in the local oversight process:

1. On-Site Visit: The MCWDB through its staff or hired contractors will perform fiscal and programmatic monitoring to ensure all funds allocated to the local workforce development area are adequately safeguarded, program performance levels are met, and local subcontractors are programmatically, operationally, and fiscally compliant.

There may be times when a contract is entered into where only a small number of customers (5 or less) are involved in the training. In such cases, it may not be practical or cost effective to conduct an on-site monitoring visit. Therefore, desk monitoring (see below) may be used on a limited basis for contracts of this type. The following are the criteria that must be met for desk monitoring/review to occur:

- A. Contract is for five (5) or less customers;
- B. The total cost of the contract does not exceed \$25,000.00
- C. Adequate documentation is obtained and maintained in the permanent monitoring file to document:

- 1) Eligibility- both programmatically and for training services;
- 2) Time and/or attendance reports;
- 3) Progress reports to document that customer has not dropped out;
- 4) Existence of an Individual Training Account Plan
- 5) Record of completion of training/credit hours earned/passed;

- 6) License or certificate;

- 7) Placement and wage information, where applicable;
 - 8) Financial records (e.g. invoices for payments, amount of Pell Grant where applicable); and
 - 9) Adequate documentation to insure accuracy of information.
- D. There are no known problems with the contractor operations that would warrant an on-site visit; and
- E. The MCWDB has determined and documented that desk monitoring is the most practical means of monitoring the service providers/contractor.

In all cases, desk monitoring/review is to be the exception and not the rule.

2. **Desk Review:** The MCWDB may perform desk reviews of the WIOA Title I-B programs and related financial and participant data to ensure compliance, to identify potential or recurring problems to prepare for more in-depth on-site visits, and to conduct more systematic and continuous oversight.

3. **Random Sampling:** The MCWDB may select a pre-defined volume of samples at random to be used to help identify compliance violations, questioned costs, and/or potential weaknesses in performance. Note: All WIOA Title I-B participant data and any other data that contains Personally Identifiable Information (PII) must be handled per the MCWDB Personally Identifiable Information Policy.

4. **Surveys:** The MCWDB may use surveys to help identify compliance violations, questioned costs, or potential weaknesses in performance, as well as to capture promising practices or the need for technical assistance.

Oversight Resources

The MCWDB will use the following resources to meet their responsibility for oversight and monitoring of program and activities:

1. **Monitoring Instrument/Questionnaire(s):** The MCWDB has developed written oversight tools to assist in conducting thorough review of WIOA Title I-B programs and activities, taking into consideration the varying requirements of each of the funding streams. The monitoring tool includes at a minimum:

- a) Name of the agency
- b) Name of the individual performing the monitoring
- c) Date of the monitoring
- d) Services or activities provided
- e) Total amount of the contract and sources of the funding
- f) Date(s) of the oversight activity
- g) Staff interviewed
- h) Summary of the results that include program strengths, concerns, deficiencies, and areas where technical assistance may be needed

2. **Technical Assistance:** The MCWDB through staff or contractors will provide technical assistance, as needed, as a means of improving program operations, facilitating the implementation of corrective

action, or providing information. Assistance may include but is not limited to: special training, discussion of areas of concern, evaluation of program operation, or any combination thereof.

1. OVERSIGHT PROCESS

Activities

The MCWDB oversight activities will include monitoring and will assess the subrecipient and contracted service provider's compliance with federal, state, and local laws, regulations, contract provisions/grant agreements, policies, and official directives and compliance with the appropriate uniform administrative requirements for grants and agreements. Oversight activities will encompass administrative requirements, fiscal, and programmatic monitoring. Depending on the activity, the MCWDB staff and/or the Fiscal Agent shall establish and follow fiscal monitoring and oversight procedures as aligned with the Fiscal Oversight section of this policy.

SCHEDULE

A monitoring schedule will be set and adopted by the board annually. The schedule will list, at a minimum, Service Provider/Contractor names contract number & planned date(s) of review.

REVIEW NOTIFICATION

The MCWDB will provide advance notification to each of its Service Providers /Contractors prior to any on-site review (preferably two weeks in advance of an on-site review).

MONITORING INSTRUMENT/QUESTIONNAIRE

A MCWDB monitoring instrument/questionnaire will be completed for each on-site visit. Procedures at this level will include performance reviews to ensure that performance and customer data will be collected and analyzed for all program activities included, but not limited to:

- A. Administrative,
- B. General compliance, and
- C. Programmatic and fiscal compliance

ON-SITE REVIEW PROCESS

An on-site review is conducted by WCWDB staff or contractors and consists of:

- A. An Entrance Conference to brief Service Provider/Contractor administrators/staff on the scope of the review and to make appropriate arrangements;
- B. A review of administrative, and programmatic systems and transactions;
- C. Performance of test work, based on a review and examination of WIOA Title I_B records and/or interviews, to determine if adequate internal controls and procedures are in place; and
- D. An Exit Conference to apprise Service Provider/Contractor officials of probable Findings and Areas of Concern.

DESK REVIEWS

Desk reviews of the participant files on the Arizona Job Connection System will be completed prior to the onsite visit. All activities and documents required to be uploaded will be reviewed.

Reports & Resolution of Findings

After each review, all findings will be documented in writing and will include a description of the specific non-compliance of federal or State laws, policies, regulations, and/or Grant Agreement. The detailed

written report will note Findings and specify the Act, policy, regulation or contractual provision resulting in the findings. Areas of Concern will include recommended corrective actions to be taken. Results from any monitoring conducted will assist the MCWDB with strategic planning efforts, as this may identify areas needing increased MCWDB focus. These reports can enable the MCWDB to assess program contractor compliance, plan future technical assistance activities, and adjust policies to reflect emerging economic opportunities. In addition, local monitoring reports will be made available for state and/or federal review.

WORKING FILE

During the on-site review, a working file will be maintained. The working file will document all tests performed and all Findings. Findings will be documented in the final report. It will also contain other documentation as deemed appropriate to substantiate that monitoring has occurred. Organization of the file may be by systems reviewed, actual test work performed, or any other method deemed appropriate.

FORMAL MONITORING REPORT

After each review, a monitoring report will be prepared within 30 days from the date of the Exit Conference detailing Findings and corrective actions, or to indicate that there are no Findings. Areas of concern must also be indicate recommended corrective action to be taken. The following elements will be included in the monitoring report:

- A. An identification of all members who participated in the monitoring;
- B. The dates of the review, program area(s), customers and service area(s) covered in the review;
- C. A sequential listing of Findings and Areas of Concern, if applicable. Where Findings are noted, each Finding shall consist of an objective narrative description of the non-compliance of federal or State law, state-level WIOA Title I-B policy, MCWDB policy, regulation, and /or Grant Agreement; and
- D. Each Finding and/or Area of Concern is to be followed by a corrective action which sets forth the most appropriate action to address any deficiency or non-compliance and propose a specific time line for the corrective action to be completed.

FINDINGS

After each review, all Findings will be documented in writing and will include a description of the specific non-compliance of federal or State laws, state-level WIOA Title I-B or MCWDB policies, and/or Grant Agreement. The detailed report will note Finding and specify the statute, regulation, policy, or grant agreement that has been noted as non-compliant. Each Finding will have a corresponding Required Action that identifies what action must be taken or documentation provided and a timeline in order for a Finding to be resolved.

The MCWDB monitor(s) will prepare a summary of findings following any monitoring conducted that is presented for review through MCWDB committees. The respective MCWDB committee(s) will review and provide recommendations to the full board for approval.

AREAS OF CONCERN

Areas of Concern are issues, policies, or practices observed during the review that negatively impact effective contract management or provision of services to participants. They may also be areas that, if not corrected, may lead to an area of non-compliance in the future.. Each Area of Concern must have a corresponding recommendation for improving the issue/practice. Service Providers/Contractors are

encouraged to implement the suggested action for improving/resolving the area of concern issue/practice. If during the review, outcomes observed are sufficiently effective or innovative to warrant "highlighting" in the report, they should be shared with other sub-recipients and contract service providers.

CORRECTIVE ACTION PLAN

The Monitoring Report will be forwarded to the monitored Service Provider/Contractor via a transmittal letter requiring a written response from the Service Providers/Contractors within 30 working days from the day of report. The Service Provider monitored will be required to identify specific corrective action measures to be implemented for each Finding and/or Areas of Concern identified. This Corrective Action Plan must be submitted to the MCWDB monitor(s) within thirty (30) days of the issuance of the Monitoring Report, or as requested in writing by the MCWDB.

Upon receipt of the Service Provider's Corrective Action Plan (CAP), the MCWDB monitor(s) will review the response and in writing comment on the acceptability of the proposed corrective action. If the corrective action is deemed acceptable, the monitor will recommend to the MCWDB Board or committee that the Finding be deemed resolved. If the CAP or any part thereof is unacceptable, additional corrective action is required. The Finding and/or Area of Concern will remain unresolved until it is approved.

FOLLOW-UP MONITORING AND VERIFICATION OF CORRECTIVE ACTION

Based on the CAP submitted, the MCWDB through staff or contractors will institute follow-up monitoring. Follow-up activities will be conducted within 90 days of the date of the CAP approval as appropriate. A copy of the completed monitoring tool used to conduct the oversight activity will be made available to the monitored entity upon request. During the follow-up monitoring, the review will determine if the corrective action measures and/or documentation were implemented to resolve the noted Finding(s).

Appeal Process

All final determinations may be appealed pursuant to the process according to §683.420 and the process outlined in the MCWDB's Local Monitoring Appeal Policy.

Access to Records

- A The MCWDB, or its authorized representatives, has the right to access any records in a timely manner consisting of books, documents, papers, computer records, emails, or other records or Sub-Recipients and contract service providers that are relevant to the use of any WIOA Title I-B funds administered by the MCWDB and may also make excerpts, transcripts, and photocopies of documents as appropriate.
- B. Right to access also includes timely access to personnel for interviews and discussions related to reviewed documents.
- C. Right to access is not limited to any required record retention but will last as long as records are retained. Except as otherwise provided, records must be retained for at least three years from date of exit. If any litigation, claim, negotiation, audit or other actions involving the records has begun before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.
- D. Right to access will also include any documents or staff of any service provider that no longer retains their contract. At that point in time the MCWDB will review all files for any compliance

issues. Any compliance issues found will be brought into compliance by that service provider before final payment.

Monitoring Files

Monitoring files will be maintained by the MCWDB for at least 3 years after termination of service or a provided by WIOA or county policies.. A separate file will be maintained for each on-site visit. At a minimum, the file will contain the following records:

- A. The letter announcing the monitoring visit; when an email is used to announce the monitoring visit, a copy of that email shall be retained;
- B. Completed pre-on-site planning documents;
- C. Completed monitoring instrument/questionnaire(s);
- D. Letter and transmitted Monitoring report to Service Provider/Contractor and, if applicable, requiring a corrective action from the Service Provider/Contractor;
- E. Letter to Service Provider/Contractor accepting/rejecting corrective action; and
- F. Working papers to include actual test work performed and documentation to support finding(s) and/or observations.



Service Provider Internal Monitoring

All MCWDB Service Providers, per their contract terms, are expected to perform annual self-monitoring of the customer and fiscal activities undertaken to ensure compliance with the act, CFR’s, OMB Circulars, State regulation, state-level WIOA Title I-B policies, MCWDB policies and procedures, and Grant Agreement provisions. The Service Provider must send the MCWDB a monitoring schedule within the first quarter of its contract period; undertake carry-over client file monitoring within the first quarter; undertake newly enrolled clients and fiscal expenditures no later than early in the third quarter of the contract period; prepare and have available for review by the MCWDB reports regarding the self-monitoring. Service Provider internal monitoring must be completed before the fourth quarter unless specified separately in their contract.. This is to ensure that customer files and/or expenditures associated with them have been resolved, and all contracted activities have been met.

2. REFERENCES

WIOA Section 183
20 CFR Part 683.410
OMB 2 CFR Part 200

3. HISTORY

  MARICOPA COUNTY WORKFORCE DEVELOPMENT BOARD	SECTION/REFERENCE: DES Training Services Policy 9/20 WIOA Final Rule 680.700 - 840 PL 113 - 128; DOL TEGL 19-16	POLICY NUMBER:
	ORIGINAL ISSUE DATE: November 2020	REVISION DATE:
	AUTHORIZED BY: Maricopa County Workforce Development Board	
SUBJECT: Work-Based Training Services		ADDENDA:

Purpose: This policy outlines the work-based training services available to participants enrolled in WIOA Title 1B Adult, Dislocated Worker, and Youth programs provided by ARIZONA@WORK Maricopa County service providers. The purpose of work-based training is to prepare individuals for long-term, unsubsidized employment that leads to self-sufficiency. Work-based training services includes On-the-Job Training, Incumbent Worker Training, Customized Training, Registered Apprenticeship programs and Work Experience.

Work-Based Training Requirements: Training must result in transferable skills within the industry in which the worker is currently employed, and/or other growing industries within the LWDA and in an occupation with a high potential for sustained demand or growth as determined by the LWDB. Work-Based Training must not:

- A. Displace any currently employed workers (including a partial displacement such as a reduction in non-overtime work, wage, or employment benefits);
- B. Impair an existing contract for services or a collective bargaining agreement;
- C. Procure, contract for, or incur costs to be paid from WIOA Title I-B program funds prior to the start date, as determined by the date when all parties sign the contract / agreement;
- D. Be provided to any company that has relocated within the previous 120 days of its application if the relocation has resulted in any employee losing his or her job at the original location;
- E. Include proprietary training specific to a company, unless skills are determined to be transferable to other businesses or industries; and
- F. Be used to directly or indirectly assist, promote, or deter union organizing

Business Requirements for Work-Based Training: Maricopa County's Local Workforce Development Board (LWDB) may contract with business located within or outside of the local workforce area, including across state lines, as the LWDB determines appropriate. Each business agrees to:

1. Complete an application and enter a contract with the LWDB that is funding the training program;
2. Adhere to applicable WIOA administrative requirements, as well as the nondiscrimination and equal opportunity provisions of WIOA Section 188;
3. Provide a Training Development Plan that identifies the training needs and competencies that will be achieved for each individual selected to receive the training;

4. Provide copies of a "Certificate of Completion" to the LWDB for each individual who successfully completes the prescribed training program. Such certificates must contain the individual's name and the class or course completed through training;
5. Employ, or in the case of IWT continue to employ, an individual upon successful completion of training;
6. Be available for LWDB program monitoring on a scheduled basis;
7. Provide quarterly post-training reports, including information on the retention, and/or promotions of trainees and the impact of training on the business, for one year after the completion of the training; and
8. Provide worker's compensation insurance to participants participating in work-based training.

Participant Eligibility: Individuals must be determined eligible for the appropriate WIOA program, (Adult, Dislocated Worker, Youth) and determined to need training services to achieve economic self-sufficiency. Work-based contracts may be written for an employer's existing workers under the following conditions:

- A. The employee is not earning a self-sufficient wage as determined by LWDB policy; and
- B. The training relates to an:
 1. Introduction of new technologies;
 2. Introduction to new production or service procedures;
 3. Upgrade to new jobs that require additional skills such as:

- a. Workplace literacy; or

- b. Other appropriate purposes identified by the LWDB.

Performance Requirements: Maricopa County will collect performance data to ensure employers who are participating in work-based training are fulfilling their commitment to hire participants after they complete the training programs. Maricopa County will not contract with an employer who has exhibited a pattern of failure to provide training participants with continued long-term employment that includes wages, benefits (including health benefits) and working conditions that are equal to those of regular employees who have worked a similar length of time and who are doing the same type of work.

Types of Work-Based Training Services:

On-the-Job Training is a work-based training service in which training is provided by an employer to a paid participant while engaged in productive work in a job that –

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

OJT Contracts: OJT training is provided through a contract with an employer or a Registered Apprenticeship (RA) sponsor who is reimbursed a percentage of the wage rate of the participant being trained while engaged in productive work in a job. OJT contracts may be developed with Registered Apprenticeship (RA) programs or participating employers in the RA program to cover OJT training portions. Depending on the length of the program and local OJT policy, training funds may be used to cover some or all OJT and related technical instruction costs throughout the duration of the RA program. Individual Training Accounts (ITAs) may be combined with OJT contracts when placing participants into RA programs. OJT contracts with RA programs must be consistent with other OJT requirements in this policy.

OJT Time Limits: Time limits for OJT are based on the following criteria and cannot exceed six months in duration:

1. Skill requirements of the occupation
2. Academic and skill level of the participant;
3. Prior work experience; and
4. The goals outlined on the participant's IEP.

Employer Reimbursement: Employers may be reimbursed up to 50 percent of the participant's hourly wage. Individuals with barriers to employment can be reimbursed up to 75 percent of the participant's hourly wage when considering the following factors:

1. The characteristics of the participants, taking into consideration whether they are "individuals with barriers to employment," as defined in WIOA sec. 3(24);
2. The size of the employer, with an emphasis on small businesses;
3. The quality of employer-provided training and advancement opportunities, for example if the OJT contract is for an in-demand occupation and will lead to an industry-recognized credential; and
4. Number of employees participating, wage and benefit levels of the employees (both at present and after completion), and relation of the training to the competitiveness of the participant.

Registered Apprenticeships (RA) is an industry-driven system of employment, on-the-job training, and related technical instruction. As an employee, an apprentice receives supervised, structured on-the-job work experience combined with related technical instruction (RTI). Apprenticeship training may be offered by businesses, employer associations, and jointly by management and labor organizations. RA programs include a minimum of 2000 OJT hours and 144 hours a year of RTI.

If an Individual Training Account (ITA) is used to procure apprenticeship training for a participant, the RA program must be listed on Arizona's Eligible Training Provider List (ETPL). The ITA amount will be in accordance with the current LWDB policy. ITAs may be used to support Registered Apprenticeship participants in:

- A. Pre-apprenticeship training leading to a RA program;
- B. Training tuition for a RA program to the training provider;
- C. Classroom instruction, in combination with OJT, to cover some or all of the OJT portion of the RA;
- D. Supportive services, in coordination with career, and/or training services. Supportive services may include tools, uniforms, shoes, special equipment, and transportation assistance.

Work Experience although not considered a WIOA "training" service, Work Experience (WEX) or Internship is available to WIOA adult and youth participants as a planned, structured, time-limited learning experience that takes place in a workplace. WEX may be paid or unpaid, and may be provided in the private for-profit, non-profit,

or public sectors. WEX provides participants with opportunities to gain exposure to the labor market, explore career options and develops the knowledge and skills needed to secure and retain employment.

WEX Agreements: WEX activities are provided through an agreement with the employer. Wages are provided by the WIOA service provider and paid directly to the participant developing an employer/employee relationship between the service provider and participant. Employers are not monetarily compensated. WEX agreements must contain, at a minimum, the following:

- Clear statement of purpose;
- Identification of all parties including the WEX participant;
- Requirements of the employer, participant and WIOA service provider;
- WEX start and end dates;
- Training job title and responsibilities;
- Required tools, equipment or uniforms, supportive services if applicable
- Wages to be earned;
- Concurrence between employer and union if WEX is under a collective bargaining agreement, if applicable;
- A training plan that is incorporated into the WEX agreement.

Employer Eligibility: Employers must be licensed to operate in Arizona, be registered with Arizona Department of Economic Security Department for Unemployment Insurance, carry Workman's Compensation Insurance and provide their Federal Employer Identification Number (FEIN). In addition, the employer must:

- Have safe and healthy working conditions with no previously reported health and safety violations that have been reported but not been corrected;
- Not illegally discriminate in training or hiring practices because of race, color, sex, national origin, religion, physical or mental disability, political beliefs or affiliations or age;
- Not terminate current employees or otherwise reduce its workforce either fully or partially (such as reduction in hours or benefits) with the intention of filling the vacancy with a WEX participant or as the result of having a WEX participant;
- Not allow the WEX activity to result in the infringement of promotional opportunities of current employees;
- Not allow participants to be involved in the construction, operation or maintenance of any part of any facility that is used, or to be used, for religious instruction or as a place for religious worship.

WEX Timeframe: There are no regulations governing the amount of time a participant may be placed in a WEX. When determining the duration of a WEX activity, the following should be considered:

- Objectives of the WEX;
- Length of time necessary for the participant to learn the skills identified in the learning plan;
- The employer having sufficient quantity of meaningful work activities for the participant;

Participant Compensation: Participants enrolled in a paid WEX will be compensated at an hourly wage not less than the State or local minimum wage, whichever is higher. Participants are paid only for the hours worked during the WEX as documented on the participant's WEX time sheet.

Youth Program WEX Requirements WEX / Internships is one of the WIOA youth program elements and consists of four subcategories: Summer Employment Opportunities, Pre-apprenticeship Programs, Internships and Job Shadowing and On-the-job Training opportunities.

All Youth WEX activities must include academic and occupational education.

Not less than 20 percent of allocated Youth funds may be used for paid and unpaid WEX activities. WEX expenditures include wages as well as staffing costs for the development and management of work experiences.

Customized Job Training is training by an employer, or group of employers, or by a training provider in conjunction with employer(s). The training must be provided to five or more paid participants concurrently while engaged in productive work in a job that:

- A. Provides knowledge or skills essential to the full and adequate performance of the occupation;
- B. Provides reimbursement to the employer for the costs of providing the training and additional supervision related to the training; and
- C. Is limited in duration as appropriate to the occupation for which the participant is being trained

Customized training is competitively procured group training, in lieu of individual training accounts, that is designed to meet the specific and unique needs of an employer. Customized training should be considered when available training programs and/or curricula do not meet the specific training requirements of employer(s)

Participant Eligibility: For an individual to qualify for CJT under the WIOA guidelines, he/she will:

- A. Lived in Arizona
- B. Have enrolled with the local workforce development area WIOA Adult or Dislocated Worker programs
- C. Have completed an initial assessment or evaluation and have been determined to need training to find employment
- D. Unlikely or unable to attain employment that leads to economic self-sufficiency as defined by the current Lower Living Standard Income Level or wages comparable to or higher from previous employment through career services
- E. Earn less than \$20.00 per hour
- F. Have an Individual Employment Plan (IEP) that documents the participant's interests, abilities, and needs

- G. Is unable to obtain grant assistance from other sources to pay for the cost of training or require WIOA Title I-B assistance in addition to other sources of grant assistance

Employer Eligibility: Eligible employers able to participate in CJT contracting include: private-for-profit businesses, private non-profit organizations, and public sector employers. The employer must:

- A. Be located and conducting business in Arizona
- B. Complete a Customized Training Application and enter into a contract with Maricopa County
- C. Be current in unemployment insurance and workers' compensation taxes, penalties, and/or interest or related payment plan
- D. Be in need of assistance in training future and current employees
- E. Be able to contract for customized, short-term, training services (typically less than 6 months); and
- F. Not have laid-off workers within 120 days to relocate

An employer will NOT be eligible to receive WIOA CJT training reimbursements if:

- A. The employer has any other individual on layoff from the same or substantially equivalent position
- B. The CJT would infringe upon the promotion of or displacement of any currently employed worker or a reduction in their hours
- C. The same or a substantially equivalent position is open due to a hiring freeze
- D. The positions are for seasonal employment
- E. The position is not full time

Occupational Eligibility: CJT funds must be used on in-demand occupations, as selected by the MCWDB, which lead to employment opportunities enabling the participant to become economically self-sufficient and which will contribute to the occupational development and upward mobility of the participant.

Incumbent Worker Training is defined within WIOA Section 134(d)4(B) as training that is designed to meet the special requirements of an employer (including a group of employers) to retain a skilled workforce or avert the need to lay off employees by assisting the workers in obtaining the skills necessary to retain employment and is conducted with a commitment by the employer to retain or avert the layoffs of the incumbent worker(s) trained.

This type of Incumbent Worker Training provides workers and employers the opportunity to build and maintain a quality workforce. This policy is to establish the rationale and criteria for use and provision of service for the business customer. Incumbent Worker training can be used to:

- A. Avoid layoff of employees; and
- B. Increase the skill levels of employees so they can be promoted within the company and create backfill opportunities for the employers

Worker Criteria: To qualify as an incumbent worker, the individual must:

- A. Live in the State of Arizona;
- B. Meet the Fair Labor Standards Act for an employer-employee relationship; and
- C. Be employed by the contract employer with an established work history for at least six months
- D. When a cohort of incumbent workers is being provided WIOA 20 CFR Section 680.780 states not every employee in the cohort must have an established employment history with the employer for six months or more as long as a majority of those employees being trained do meet the employment history requirement

If the incumbent worker is enrolled in WIOA Title IB Adult and Dislocated Worker program, eligibility standards will need to be met. If the incumbent worker is not currently enrolled in WIOA Title IB Adult and Dislocated Worker program, eligibility standards will not be required. However, this incumbent worker is considered a "reportable individual" according to policy 400.403, Data Integrity and the Customer Participation Cycle, Section III., Definitions.

Business Criteria: All businesses must be located and conducting business within the State of Arizona. Incumbent Worker Training contracts will not be provided to any business that has relocated within the previous 120 days of its application if the relocation has resulted in any employee losing his or her job at the original location. Each business agrees to:

- A. Complete an application that meets the Incumbent Worker Training Assessment Rubric and enter into a contract with Maricopa County;
- B. Demonstrate why and how the training will provide skills necessary to retain or avert layoffs;
- C. Adhere to applicable WIOA Title 1B administrative requirements as well as the nondiscrimination and equal opportunity provisions of the laws;
- D. Provide a Training Development Plan that identifies the training need and competencies that will be achieved for everyone selected to receive the training (provided in application package);
- E. Provide copies of a "Certificate of Completion" for everyone who successfully completes the prescribed training program. Such certificates must contain the individual's name and the class or course completed through training;
- F. Continue to employ an individual upon successful completion of training;
- G. Be available for program monitoring on a scheduled basis; and
- H. Provide quarterly post-training reports, including information on the retention and/or promotions of trainees and the impact training made on the business, for one year after the completion of the training.

Training Criteria: Requested incumbent Worker Training Must not:

- A. Displace any currently employed workers (including a partial displacement such as a reduction in non-overtime work, wage, or employment benefits);
- B. Impair an existing contract for services or a collective bargaining agreement;
- C. Procure, contract for, or incur costs to be paid from WIOA Title IB program funds prior to the start date, as determined by the date when all parties sign the contract;
- D. Include proprietary training specific to a company, unless skills are determined to be transferable to other businesses or industries;
- E. Be used to directly or indirectly assist, promote, or deter union organizing; and
- F. Be used if the organization has internal training programs and/or employee reimbursement programs that are provided to the employees for the requested training.

Application process will identify one or more of the following training criteria that creates benefit to the individual workers participating in training:

- A. Layoff aversion;
- B. Attainment of self-sufficiency as measured by the Lower Living Standard Income Level (LLSIL);
- C. Individual job pathing via promotion pending successful completion of training;
- D. Increased wage pending successful completion of training;
- E. Number of employees participating in the training;
- F. Relationship to the competitiveness of the employer and the employees; or
- G. If essential skills training that addresses abilities, traits and behavior rather than formal technical knowledge training, is required, then the submitted application should demonstrate a programmatic approach that results in an increase in competitiveness of the employee.



Employer Match: Employers participating in Incumbent Worker Training must pay a significant portion of cost of the training for those participants in Incumbent Worker Training. This can be done through both cash and/or in-kind payments. In-kind funds are defined as hourly wages paid to participants while in training. Rules for matching funds are provided in the Uniform Guidance and Department of Labor (DOL) exceptions at 2 CFR 200.306 and 2 CFR 2900.8 respectively.

Section 134(d)(4)(D)(ii) of WIOA provides the minimum amount of employer share in the Incumbent Worker Training is dependent on the size of the employer:

- A. The non-federal share depends on the size of the employer and must not be less than:
- B. Ten percent of the cost for employers with not more than 50 employees;
- C. Twenty-five percent of the cost for employers with more than 50 employees, but not more than 100 employees; and
- D. Fifty percent of the cost for employers with more than 100 employees.

Performance Reports: Performance data will be collected at the end of the contract to ensure employers who are participating in Incumbent Worker Training are fulfilling their commitment to retain training participants after they complete the training program. Tracking will include variables defined in the application form including:

- A. Layoff aversion;
- B. Attainment of self-sufficiency;
- C. Individual job pathing via promotion pending successful completion of training;
- D. Increased wage pending successful completion of training;
- E. Number of employees participating in the training;
- F. Relationship to the competitiveness of the employer and the employees;
- G. Confirmation of successful skills completion;
- H. Within 30 days of completion of training, submit invoices for reimbursement and provide copies of certifications of training completions for each trainee/employee; and
- I. Within 60 days of completion of training, provide work related outcomes (promotions, salary increase, etc.) of employees that participated in training.

  MARICOPA COUNTY WORKFORCE DEVELOPMENT BOARD	SECTION/REFERENCE: WIOA Final Rule 680.300-310	POLICY NUMBER: 17-42 Change 1
	ORIGINAL ISSUE DATE: December 2020	REVISION DATE:
	AUTHORIZED BY: Maricopa County Workforce Development Board	
SUBJECT: Training Services Limits – Adult, Dislocated Workers and Youth		ADDENDA:

Purpose: To establish funding limits for Individual Training Accounts for Adult, Dislocated Worker and Youth Programs. This policy is in effect until revised and applies for the current and all future Program Years.

Responsibility of: Maricopa County Workforce Development Board selected Service Provider

Process Description: Individual Training Accounts (ITAs) are created for Adults, Dislocated Workers and Youth approved for occupational training services provided by an eligible training provider. The ITA is a payment agreement established on behalf of a participant with a training provider to purchase training services. The ITA identifies the training provider selected by the participant in consultation with the Career Advisor (CA), the training program, start and end dates, cost of training, grants/scholarships applied to the cost of training, and total WIOA funds obligated for the training.

ITA limits may vary for Adults, Dislocated Workers and Youth based on fund source and/or the industry sector of their chosen area of training. THE ARIZONA@WORK-Maricopa County Workforce Development Board has identified targeted industry sectors in its workforce plan which include:

- Construction
- Finance and Insurance
- Healthcare and Social Assistance
- Information
- Manufacturing
- Transportation and Warehousing

ARIZONA@WORK – Maricopa County has established the following ITA limits for PY 20:

Type of Training	Adult -Targeted	Adult –Non – Targeted	Dislocated Worker	In-School* & Out-Of-School Youth Targeted	In-School* & Out-Of-School Youth Non- Targeted
Occupational skills	Up to \$4,000	Up to \$3,000	Up to \$4,000	Up to \$6,000	Up to \$3,000
Apprenticeships	Up to \$4,000	Up to \$3,000	Up to \$4,000	Up to \$6,000	Up to \$3,000
On-the-Job Training	Up to \$4,000	Up to \$3,000	Up to \$4,000	Up to \$6,000	Up to \$3,000

***Note the DOL Waiver allowing the use of ITAs for In-School Youth expires on June 30, 2020**