

**WDC Meeting  
 Agenda  
 September 17, 2015  
 3:00-5:00 p.m.  
 WorkForce Central  
 3650 S. Cedar St., Classroom 1**

Eric Hahn, Chair

1<sup>st</sup> Vice-chair

Joyce Conner, 2<sup>nd</sup> Vice-chair

Robin Baker

Michelle Burreson

April Gibson

Darci Gibson

Paul Hogoboom

Mike Johnson

Bruce Kendall

Dale King

Dave Lawson

Mark Martinez

Mary Matusiak

Wayne Nakamura

Sharon Ness

Tim Owens

Dona Ponepinto

Patty Rose

Sheila Ruhland

Ron Thalheimer

James Walker

Blaine Wolfe

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Deborah, Howell, CAO  
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Jan Adams, Executive Assistant  
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1. Welcome/Call to order
2. Introduce new WDC member
  - Paul Hogoboom, President, P & J Machining, Inc. – Advanced Manufacturing
3. Public Comment
4. WorkForce Central Executive Board update – Eric Hahn
5. Action items
  - Approve July 16, 2015 minutes
  - Approve Proclamation in support of National Manufacturing Day October 2<sup>nd</sup>
  - Approve WIOA Incumbent Worker Training Policy
  - Approve WIOA Individual Training Account Policy
  - Approve WIOA Code of Conduct and Conflict of Interest Policy
6. Workforce Development System Beneficiaries Testimonials – Maddie Merton
  - Safeboats – Danielle Tudor, Recruiter/HR
  - Vincent Seholm – Manufacturing Academy Graduate – hired by United Medical as an Apprentice through AJAC
7. Boeing Presentation – Michelle Burreson, Workforce Development & Integration Senior Manager
8. CEO Report
  - Summer 253 – Brent Capatch
  - Boots2work – Shellie Willis
  - WDC Brainstorm on biggest challenges your business and industry face as it relates to workforce development
  - WDC membership update for Advanced Manufacturing and IT/Cyber Security
  - Federal Budget Deliberation, possible threats and mitigation plans
  - WIOA Service Delivery System Enhancement Core Leadership Team
  - Annual Audit Progress
  - Obligation Rate
9. WDC Committee Report Out
10. WDC Member News
11. Other business
12. Adjourn

Future meetings:

WDC Meeting – Eric Hahn, Chair	Oct 15, 2015	3:00-5:00
Business Services Committee – Dave Lawson, Chair	Sept 28, 2015	8:00-9:30
Youth & Young Adult Services Committee – April Gibson, Chair	Sept 22, 2015	9:30-11:30
Adult Services Committee – Robin Baker, Chair	Oct 7, 2015	2:30-4:30
One-Stop System Operator & Partner Committee – Ron Thalheimer, Chair	Oct 6, 2015	8:00-10:30
WDC Coordinating Committee – Eric Hahn, Chair	Oct 13, 2015	3:00-4:30

Eric Hahn, Chair  
1<sup>st</sup> Vice-chair  
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Mark Martinez  
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Wayne Nakamura  
Sharon Ness  
Tim Owens  
Dona Ponepinto  
Patty Rose  
Sheila Ruhland  
Ron Thalheimer  
James Walker  
Blaine Wolfe

**Attendees:** Mark Martinez, Sharon Ness, Deborah Howell, MaryEllen Laird, James Walker, Cheri Loiland, Darci Gibson, Al Doeve, Mike Johnson, Ron Thalheimer, Eric Hahn, Linda Nguyen, Jan Adams, April Gibson, Michelle Burreson, Sheila Ruhland, Dona Ponepinto

**1. Welcome/Call to order**

Eric called the meeting to order at 3:07 p.m.

**2. Public Comment**

None

**3. WorkForce Central Executive Board update – Eric Hahn**

Eric gave an update on the actions and discussion from this morning's board meeting. He brought everyone's attention to the draft org chart and modified budget.

**4. Action items**

• **Approve May 21, 2015 minutes**

Motion made by April and seconded by Sheila. There was a question as whether or not we had a quorum, Eric noted that we did have a quorum. Approved

• **Approve WIOA Dislocated Worker Eligibility Revised Policy**

Motion to approve made by Sharon; seconded by April. Linda discussed the differences in the document and what had been omitted on the previous version. Approved.

• **Approve PY15/FY16 modified WIOA Budget to account for the new program year allocation changes to WIOA youth and adult funding as a result of WA Employment Security Department's recalculation of local WIOA allocations for the new program year.**

Motion to approve made by James; seconded by April. Linda discussed the differences noting there was an error in calculations by the state. She also noted this budget reflects the new lower amounts, which were about \$2,000. Ron asked which category the lower amount comes out of. Linda clarified where the amounts changed and what the impact might be. Mark asked why under the new budget the percentages for Adult/DW are higher than for Youth. Linda discussed the differences and why they are different. Mark said he thought more money should go to Dislocated Worker. Vote was taken with one opposed. Approved

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- **Approve WDC Committee Members as recommended by the WDC Coordinating Committee**
  - **Adult Services Committee**
    - Luke Upton, Supervisor, ESD
    - Karen DiPol, Placement Services Manager, Vadis
  - **Business Services Committee**
    - Ione Turner, Career Pathway Navigator, ESD
  - **Youth & Young Adult Services Committee**
    - Erin Blades, Supervisor, ESD
    - **Kathy E. Hall, Vice President of Program Services, Vadis**

Motion to approve all candidates made by Mark; seconded by Mike. Approved

Eric called for nominations for 1<sup>st</sup> Vice Chair. Eric nominated Ron Thalheimer. Discussion about Ron's qualifications and what is required of the 1<sup>st</sup> Vice Chair. Linda explained the qualifications and requirements. Mike nominated Dave Lawson from Columbia Bank. Darci suggested we send out the requirements and qualifications to qualified members so they might think about it. Sheila asked if potential nominees are currently a chair or vice chair of a committee would they have to resign that seat to be 1<sup>st</sup> Vice Chair. Linda noted that it would be left up to the nominee to decide. Ron asked if we could get a list of eligible members and how long they have served. Linda said we will get the contact list updated with that information.

## 5. **Tacoma-Pierce County Economic Development Board 2016-2020 Program of Work Presentation –or Al Doeve**

Al Doeve presented a PowerPoint on the Economic Development Board Program of Work. There were several questions and general discussion around Al's presentation. Eric thanked Al for coming and presenting, noting it gives us something to think about when we make decisions.

## 6. **CEO Report:**

- **PY14/FY15 obligation rate update**  
Linda discussed the obligation issue and noted we met our obligation as projected. Ron asked how we are compared to last year.
- **WDC Advanced Manufacturing Candidate Paul Hogoboom, Owner P & J Machining**  
There are two empty seats on the WDC in the business area. Linda noted we are trying to meeting with Paul Hogoboom as a WDC member representing the advanced manufacturing sector.
- **Top 10 Happenings in 2014**  
Linda listed her top ten for 2014 which covered ResCare, Re-designation of WFC as the administrative body for WIOA, partnering with two college consortiums for TAACCCT and WIOA passed into law.

## 7. **Other business**

- Michelle summarized what Boeing is doing regarding hiring 20k, of which about 15k is manufacturing, by the end of the decade.
- Linda discussed the outcomes of the brainstorming sessions from the last meeting.
- Mark said we have a transportation budget with \$2 Billion of construction for Pierce County in the next five to seven years.
- Darci said Multicare is awaiting certificate of need approval to build an in-patient psychiatric hospital on the Allenmore campus. Linda noted that the State put in \$5MM in support.
- Ron noted they were doing about 120 containers a week in the port internationally.

## 8. **Adjourn**

Motion made to adjourn made by Mark; seconded by April. Adjourned at 4:40

PIERCE COUNTY  
**WORKFORCE**  
DEVELOPMENT COUNCIL

**A Proclamation Supporting National Manufacturing Day Held On October 2, 2015**

**WHEREAS**, manufacturing provides a significant contribution to the national, state and local economy; and

**WHEREAS**, manufacturing businesses produce and sell valuable products, bringing in new wealth to communities; and

**WHEREAS**, manufacturing provides excellent career opportunities for our residents; and

**WHEREAS**, Tacoma-Pierce County has approximately 570 globally competitive manufacturers that employ 17,200 skilled people; and

**WHEREAS**, for every \$1 of goods produced, manufacturing generates an additional \$1.43 for the economy; and

**WHEREAS**, each manufacturing job creates at least 2.91 more jobs in other sectors in our community; and

**WHEREAS**, the need to be at the forefront of 21<sup>st</sup> century manufacturing requires research, investment, and a workforce with high technical skills; and

**WHEREAS**, the Workforce Development Council have identified advanced manufacturing as one of our local economy's key sector; and

**WHEREAS**, the Workforce Development Council provides leadership and support of sector strategies in collaboration with its many public, private and philanthropic stakeholders that result in increasing the talent pipeline to meet workforce needs of our local manufacturing businesses; and

**WHEREAS**, the Workforce Development Council recognizes the importance of and supports career and technical education offered at the secondary and post secondary education levels; and

**WHEREAS**, the Workforce Development Council appreciates and encourages increased collaboration between all Pierce County K-12 school districts, technical and community colleges, public and private universities, and the Pierce County Skills Center to grant more dual credits, grant more prior learning credits and leverage available resources; and

**WHEREAS**, recognizing October 2, 2015 as Tacoma-Pierce County Manufacturing Day is an effective way to highlight the importance of the manufacturing sector in our local economy, draw attention to the need to continue to invest in innovation and workforce development, and showcase many rewarding, high skilled careers; and

**NOW, THEREFORE IT IS PROCLAIMED BY the Pierce County Workforce Development Council** that the date of October 2, 2015 as "Tacoma-Pierce County Manufacturing Day" and urge all citizens to join in recognizing the value of our manufacturers and the importance they serve within communities.



## **Workforce Innovation and Opportunity Act Policies and Procedures**

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### **WFC WIOA TITLE I-B INCUMBENT WORKER TRAINING POLICY**

**POLICY NUMBER: 1001**

**EFFECTIVE DATE: 07-01-2015**

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#### **PURPOSE**

This policy provides criteria to determine which workers, or groups of workers, are eligible for incumbent worker training services and the cost sharing required for incumbent worker training projects. (WIOA Section 134(d)(4)).

#### **BACKGROUND**

Incumbent Worker training 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 conducted with a commitment by the employer to retain or avert the layoff of the incumbent worker. An ideal incumbent worker training would be one where a participant acquires new skills allowing him or her to move into a higher skilled and higher paid job within the company, thus allowing the company to hire a job seeker to backfill the incumbent worker's position. Incumbent Worker training must increase both a participant's and a company's competitiveness.

Under Section 134(d)(4) of WIOA, local boards can use up to 20 percent of their adult and dislocated worker funds to provide for the federal share of the cost of providing Incumbent Worker training.

#### **POLICY**

##### **Incumbent Worker Eligibility Criteria:**

An incumbent worker must be:

1. A U.S. citizen or otherwise legally entitled to work in the U.S.;
2. Age 18 or older;
3. Registered for the Selective Service (males who are 18 or older and born on or after January 1, 1960) unless an exception is justified;
4. Employed;
5. Meet the Fair Standards Act requirements for an employer-employee relationship <http://www.dol.gov/whd>; and

6. Have an established employment history with the employer for six (6) months or more.

*Note: Per proposed 20 CFR 680.780, an incumbent worker does not necessarily have to meet the eligibility requirements for career and training services for adults and dislocated workers under this Act.*

*Note: WIA Title I participants who were enrolled in the WIA prior to July 1, 2015 must be transitioned into WIOA, even if the participant would not otherwise be eligible for WIOA. Additional reassessments are not required to be completed for participants already determined eligible and enrolled under WIA. Furthermore, these participants must be allowed to complete the WIA services specified in their individual employment plan, even if the services are no longer allowable under WIOA. (TEGL 30-14)*

### **Employer Eligibility Criteria:**

The following factors must be considered when determining the eligibility of employers to receive the WIOA share of funds to provide training to incumbent workers using either Adult and/or Dislocated Worker formula funds:

1. The characteristics of the incumbent workers to be trained and how they would benefit from retention or advancement. Consideration should be given to employers who propose to train individuals with barriers to employment as defined in WIOA Section 3(24). (See Attachment A);
2. The quality of training. Whenever possible, the training should allow the participant to gain industry-recognized training experience and/or lead to industry-recognized credentials and/ or an increase in wages;
3. The number of participants the employer plans to train or retrain;
4. The wage and benefit levels of participants (before and after training);
5. The occupation(s) for which incumbent worker training is being provided must be in demand;
6. The employer is:
  - a. In an in-demand industry as determined by ESD labor market information; or
  - b. In an in-balance industry as determined by ESD labor market information; or
  - c. In a declining industry, but there are compelling reasons (e.g., evidence of long-term viability of the employer) justifying investment in incumbent worker training.
7. The employer must not have laid off workers within 120 days to relocate to Washington from another state;
8. The employer is current in unemployment insurance and workers' compensation taxes, penalties, and/or interest or related payment plan.

Each of the above factors leading to the approval of an incumbent worker training project with an employer must be documented and placed in the contract file.

### **Employer Share of Training Costs:**

Employers participating in incumbent worker training are required to pay the non-WIOA (non-federal) share of the cost of providing training to their incumbent workers. (WIOA Sections 134(d)(4)(C) and 134(d)(4)(D) and proposed 20 CFR 680.820).

The employer share is based on the size of the workforce (wages paid to the participant while in training can be included as part of that share and the share can be provided as cash or in-kind that is fairly evaluated) as follows:

- At least 10 percent of the cost for employers with 50 or fewer employees
- At least 25 percent of the cost for employers with 51 to 100 employees
- At least 50 percent of the cost for employers with more than 100 employees

Employer cost share contributions must be tracked and documented in the contract file. In addition, the methodologies for determining the value of in-kind contributions must be documented in the contract file and conform to cost sharing requirements at 2 CFR 200. 306.

**References:**

WIOA Section 3(23)  
 WIOA Section 134(d)(4)  
 Proposed 20 CFR 680.780, 680.790 and 680.820  
 2 CFR 200.306

**INQUIRIES**

Direct Inquiries To:  
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 Tacoma, WA 98409-5714  
 (253) 472-8094 or 1-800-999-8168

**APPROVED**

**APPROVED BY WDC**

\_\_\_\_\_  
 Linda Nguyen, WFC CEO  
 Date: \_\_\_\_\_

Date \_\_\_\_\_

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WorkForce Central is an equal opportunity employer and provider of employment and training services. Free auxiliary aids and services are available upon request for individuals with disabilities. Washington Relay Service – 711.

## Individuals with Barriers to Employment

WIOA Sec. 3(24) and Proposed CFR 680.320(b):

- Displaced Homemaker
- Low-income individuals
- Indians, Alaska Natives and Native Hawaiians
- Individual with disabilities
- Older individuals
- Ex-offenders
- Homeless individuals
- Youth who are in or have aged out of the foster care system
- Individuals who are English language learners, low levels of literacy or facing substantial cultural barriers
- Eligible migrant and seasonal farm workers
- Individuals within 2 years of exhausting lifetime eligibility under Part A of Title IV of the Social Security Act
- Single parents (including pregnant women)
- Long-term unemployed



## Workforce Innovation and Opportunity Act Policies and Procedures

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### WIOA ADULT, DISLOCATED WORKER & YOUTH PROGRAM – INDIVIDUAL TRAINING ACCOUNT (ITA) POLICY & PROCEDURES

**POLICY NUMBER: 1002**

**EFFECTIVE DATE: 07-01-2015**

**SUPERSEDES:** Individual Training Account (ITA) Policy #WFC-WIA-ITA-05-16-2013, Revision 2

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#### **PURPOSE**

This policy outlines WorkForce Central (WFC) directives for providing Individual Training Accounts (ITAs) for WIOA eligible adult, dislocated worker and youth participants.

#### **BACKGROUND**

WIOA Title I-B training services for WIOA eligible adults, dislocated workers and youth are provided through ITAs. Using ITA funds, WIOA eligible adults, dislocated workers and youth purchase training services from eligible training providers they select in consultation with a WFC career planner. Participants are expected to utilize information such as skills assessments, labor market conditions/trends, and training providers' performance, and to take an active role in managing their employment future through the use of ITAs.

#### **POLICY**

ITAs are one training option available to eligible and appropriate participants when it is determined by a career planner that they will be unlikely or unable to obtain or retain employment that leads to self-sufficiency or higher wages from previous employment through career services alone. An ITA is limited in cost and duration and must result in employment leading to economic self-sufficiency or wages comparable to or higher than wages from previous employment.

ITAs are allowed for out-of-school youth ages 18-24 (out-of-school youth ages 16-17 are not eligible for ITAs) per WIOA Section 129(c)(2)(D) and Proposed 20 CFR 681.550.

ITAs are not entitlements and shall be provided to eligible participants on the basis of an individualized assessment of the person's job readiness, employment and training needs, financial, social and supportive needs, labor market demand and potential for successful completion, as documented on the participant's Individual Employment Plan (IEP). Participants choose career training with [Eligible Training Providers](#) in consultation with career planners.

ITA funding for training is limited to participants who:

- Complete an assessment and an IEP that identifies the selected training course;
- Are unable to obtain grant assistance from other sources to pay the costs of training or require assistance beyond available grant resources from other sources, such as Pell Grants in order to complete their training goals;
- Select training programs that are directly linked to an in-demand industry sector or occupation or sectors that have a high potential of sustained demand or growth in the local area or in the

planning region or in another area in which the participant is willing to travel or relocate [WIOA Section 134(c)(3)(G)(iii)]; and

- Maintain satisfactory progress/grades throughout the training program.

**A. Coordination of WIOA Training Funds and Other Federal Assistance** (Proposed 20 CFR 680.230)

WIOA funds are intended to provide training services in instances when there is no grant assistance, or insufficient assistance from other sources such as, but not limited to: Temporary Assistance for Needy Families (TANF); Basic Food Employment & Training (BFET); Title IV Programs such as Federal Pell Grants, Academic Competitiveness Grants, National SMART Grants, Federal Supplemental Educational Opportunity Grants, or Federal Work-Study; GI Bill or other Federal financial aid available to military veterans; and state-funded grants such as the Washington State Need Grant to pay for those costs.

An individual may select training that costs more than the \$5,000 WIOA maximum amount, when other sources of funds are available to supplement the ITA.

Career planners must consider and document in the participant file the availability of other sources of grants, *excluding loans*, to pay for training costs so that WIOA funds are used to supplement but not supplant other sources. The use of WIOA funds to make payments towards a personal loan of an otherwise eligible participant is prohibited. However, the mere existence of a federal loan, *regardless of the status*, must not impact ITA eligibility determinations.

**B. ITA Authorization**

ITAs must be approved by a WIOA program manager prior to issuance.

ITAs are authorized only for training programs listed on the [Eligible Training Provider \(ETP\) list](#), as required in WIOA Section 134(c)(F)(iii). ITA funds are paid directly to the training provider using WFC's fiscal system.

ITAs may be used for pre-apprenticeship programs however, only pre-apprenticeship programs listed on the ETP list may be approved. (Proposed 20 CFR 680.330(a))

ITAs may be authorized for training programs in other states or online training if the training program is listed on the ETP list or there exists reciprocity agreements with other states.

ITAs are not authorized for individualized career services such as short-term prevocational training. Short-term prevocational services may include the development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, professional conduct, or other non-occupation-specific topics that are intended to prepare individuals for unsubsidized employment or training and should not exceed 40 hours of instruction except in documented special circumstances.

**C. ITA Funding Limit**

The limit for ITA contracts is \$5,000. WIOA program managers, or their designees, have the authority to increase the limit of an ITA by \$1,000 depending on the participant's need. Documentation of the manager's approval authorizing the ITA increase must be included in case notes located in SKIES.

The maximum ITA limit is not an entitlement. The amount and duration of each participant's ITA award is determined on an individual basis. Funding amounts will take into account the total costs of the selected training program, any other financial assistance available to the participant, and the WIOA funding available to the Adult, Dislocated Worker or Youth Programs.

The ITA funding can only include the cost of training services such as instructor salaries and benefits, classroom space, instructional materials, tuition, books, individual materials, supplies, tools, and equipment.

An ITA may fund prerequisite training to a vocational training program if it is required by the educational institution.

#### **D. ITA Continued Funding**

Continued funding of an ITA is contingent on availability of WIOA funds and on the participant's satisfactory progress in school. Career planners will review the participant's training progress and expenses quarterly or more frequently depending on the training institution's schedule. An individual's progress will be considered satisfactory upon earning:

- A grade point average that does not fall below 2.0 for two consecutive terms; or
- A grade point average sufficient to graduate from, or receive certification in, the individual's approved area of study; or
- Sufficient credit hours to finish the approved course of study within the timeframe established under the approved training plan.
- In the case of self-paced or ungraded learning programs, satisfactory progress means participating in classes and passing certification examinations within the timeframe established under the approved training plan.

Career planners must arrange to receive training progress reports (i.e. transcripts) from participants in adequate time to process the subsequent tuition payment.

Career planners must develop with participants who are not earning satisfactory progress in their coursework, a service strategy to overcome the barriers impacting progress. WIOA ITA funding may be terminated if participants do not earn satisfactory progress for two (2) or more consecutive school terms (i.e. quarters, semesters, etc.).

#### **E. ITA Modifications**

An ITA may be modified to ensure the individual attains their educational goals and subsequent employment. In some circumstances, such as when a program of training is removed from the ETPL, or when extraordinary program expenses develop, the participant and career planner must agree on whether to complete the plan of training with the existing provider, seek a similar program, or discontinue training. When a program of training is removed from the state ETPL, WIOA participants in that program can complete their training. However, an ITA should not be modified or extended for a participant beyond the original plan approval as it relates to a program of training that is no longer on the ETPL. (WIOA Title I Policy 5611)

Any modifications to the ITA should be documented in case notes located in SKIES.

#### **F. ITA Obligations**

In order to obligate ITA funds a Purchase Order (PO) may be written for individuals identified to receive an ITA award. The obligation would document a three-way commitment between the individual, the service provider, and the training institution. WFC retains the flexibility to decide when to bill actual expenditures with the training provider.

## **G. Recovery of Tuition Funds**

In the event a participant discontinues training, the career planner must do due diligence to ensure the recovery of WIOA funds provided to training institutions. Career planners must verify the following:

- The refund policy of the training provider for early termination from the training program;
- A requirement for the training provider to notify the case manager of early customer dropout;
- The percentage of the advanced payment to be returned;
- Turnaround timeframe for the refund;
- Time spent in training before a refund will no longer be honored.

## **H. Participant File Documentation**

Justification for, and continued funding of an ITA must be supported by the following documentation located in the participant file and/or in case notes entered in SKIES:

1. Assessment results supporting the selected program of study. The assessment must support the need for training including a determination by a case manager that the participant will be unlikely or unable to obtain or retain employment *that leads to* self-sufficiency or higher wages from previous employment through career services alone; and that the selected program of study will result in employment *leading to* economic self-sufficiency or wages comparable to or higher than wages from previous employment;
2. Completed IEP documenting the selected program of study, anticipated and actual start/end dates and training outcomes;
3. Eligibility for other training grant funding;
4. Verification of FAFSA application and award status, if applicable. Authorization of the ITA and any approved increase or modification;
5. Documentation of the participant's willingness and ability to travel to locations outside of Pierce County if the selected training program and/or demand occupation is outside of Pierce County;
6. Case note documenting that the training provider is on the Eligible Training List; and
7. Documentation of the participant's progress and/or grades.

## **DEFINITIONS**

**Individual Training Account (ITA)** – A payment agreement established on behalf of a participant with a training provider. (Proposed CFR 680.300) Based on individual assessment and funds available, an ITA may be awarded to eligible adults, dislocated workers and out of school youth ages 18-24.

**Self-sufficient Wage** – WFC defines self-sufficient wage as having family income equal to or exceeding 100% of the Lower Living Standard.

**Program of Training Services** – One or more courses or classes, or a structured regiment that leads to: a) a recognized post-secondary credential, secondary school diploma or its equivalent, b) employment, or c) measurable skill gains toward such a credential or employment. (Proposed CFR 680.420)

**REFERENCES**

- WIOA Section 134 (c)(G)
- WIOA Section 129 (c) (2) (D)
- Proposed 20 CFR 680.300, 680.320, 680.330
- Proposed 20 CFR 681.550
- [WAC Chapter 192-270](#) – Training Benefits for Dislocated Workers
- ESD WIOA Policy #5601 - Individual Training Accounts
- WIOA Title I Policy 5611, Revision 1 - Governor’s Procedures for Determining Training Provider Eligibility
- WIN #0029 – SKIES Service Data Integrity
- WIN #0061 – SKIES Changes and Data Capture Requirements
- WFC Policy #003, Revision 1 - Case Note Policy

**INQUIRIES**

**Direct Inquiries To:**

WorkForce Central  
3650 South Cedar Street  
Tacoma, WA 98409-5714  
(253) 472-8094 or 1-800-999-8168

**ATTACHMENT**

WFC Participant Training Agreement

**APPROVED**

\_\_\_\_\_  
Linda Nguyen, WFC CEO  
Date:\_\_\_\_\_

**APPROVED BY WDC**

Date\_\_\_\_\_

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## PARTICIPANT TRAINING & TOOL AGREEMENT

**Participant Name, Printed:** \_\_\_\_\_

You have been approved for Workforce Innovation and Opportunity Act (WIOA) Title 1-B funding to assist with costs associated with your employment related training. **Participants eligible for WIOA funding must understand, agree and comply with the following:**

- I understand that continued WIOA tuition assistance is contingent on availability of WIOA funding and my satisfactory progress in school.
- My anticipated training start date is: \_\_\_\_\_; anticipated completion date is: \_\_\_\_\_.
- I agree to seek employment upon completion of training and will notify my career planner immediately upon obtaining employment.
- I will be familiar and comply with the training institution's attendance, withdrawal, and code of conduct policies.
- I will apply for financial aid through FAFSA and the Financial Aid Office of the training institution, if applicable.
- To ensure there is no duplication of tuition payment, I will provide my career planner with application results, including award letters from other funding sources, including, but not limited to:
  - TANF
  - Title IV Programs such as Federal Pell Grants, Academic Competitiveness Grants, National SMART Grants, Federal Supplemental Educational Opportunity Grants, or Federal Work-Study;
  - GI Bill or other Federal financial aid available to military veterans;
  - State-funded grants such as the Washington State need Grant; or
  - Private dollars.

I authorize \_\_\_\_\_ (name of school) to release my educational records, including attendance, grades, transcripts and/or progress reports, financial awards, educational expenses, etc. to my career planner.

- I will strive to maintain, at a minimum, satisfactory progress which includes:
  - A grade point average that does not fall below 2.0 for two consecutive terms; or
  - A grade point average sufficient to graduate from, or receive certification in my approved area of study; or
  - Sufficient credit hours to finish the approved course of study within the timeframe established under the approved training plan.
  - In the case of self-paced or ungraded learning programs, satisfactory progress means participating in classes and passing certification examinations within the timeframe established under the approved training plan.
- I will submit copies of grades/progress reports to my career planner at agreed upon timeframes but prior to the start of the next training session. (Attendance forms are required if WIOA funded mileage reimbursement or child care assistance is provided.)
- I will maintain on-going contact with my career planner as documented on my Individual Employment Plan (IEP) but no less than once per training quarter/semester.
- I will resolve issues with the training instructors and training institution directly. If I am unable to resolve them satisfactorily, I will contact my career planner for assistance.
- I will notify my career planner immediately if issues or concerns arise that may impact my continued training participation or require a change to my training program/schedule.
- I will provide my career planner with written notification of my consideration of discontinuing my training program, or dropping a specific course no less than 10 days prior to taking action.
- I will notify my career planner immediately if my contact information changes.

**Initials:** \_\_\_\_\_

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**PARTICIPANT TOOL AGREEMENT**

If training related tools and equipment necessary for my training are purchased with WIOA funds, I agree to the following:

- I understand that I cannot sell or give away my tools, nor use them in an irresponsible manner.
- Tools are not allowed to leave school premises without permission from my career planner. It is my sole responsibility to adequately secure my tools. If my tools are lost, stolen, or broken, it is my responsibility to replace them.
- I will return training related tools and equipment if I do not successfully complete my training.

**Initial:** \_\_\_\_\_

I understand that failure to comply with the terms of this contract may result in my termination from the WIOA program. I have read and agree to the conditions stated on the Participant Training Agreement and Participant Tool Agreement. I received a copy of this agreement.

**Participant Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

I have reviewed this Participant Training Agreement with the participant and witnessed his/her signature:

**Authorized Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**EQUAL OPPORTUNITY - EQUAL ACCESS**

WorkForce Central is an equal opportunity employer and provider of employment and training services. Free auxiliary aids and services are available upon request for individuals with disabilities. Washington Relay Service – 711.



## Workforce Innovation and Opportunity Act Policies and Procedures

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### CODE OF CONDUCT and CONFLICT OF INTEREST POLICY

**Policy Number: 3006**

**Effective Date: 07-01-2015**

**SUPERSEDES:** Conflict of Interest Policy # 42-52-1212, effective December 6, 2012

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#### **PURPOSE:**

The Pierce County Workforce Development Council (WDC) is committed to maintaining the highest of standards of ethical conduct and to guard against problems arising from real, perceived, or potential conflict of interest. All partners at all levels of participation in the WorkSource System funded by the Workforce Innovation and Opportunity Act (WIOA) are expected to read, understand and apply this policy to ensure system integrity and effective oversight of the WorkSource System.

Standards of conduct covering conflicts of interest governing the performance of WorkForce Central employees may be found in WorkForce Central's Personnel Rules and Regulations, Article 11.

#### **BACKGROUND**

Grantees, subrecipients and contractors funded under WIOA must implement codes of conduct and conflict of interest policies and procedures as stipulated in WIOA law, regulations and guidance; Office of Management and Budget (OMB) Circulars; State regulations; and State WIOA policies. A conflict of interest policy is required to ensure 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.

In addition, the Pierce County WDC recognizes that by its very composition, conflicts of interest and issues concerning the appearance of fairness may arise. Therefore, it is essential for the WDC members to be sensitive and error on the side of caution when potential or real conflict or fairness matters occur.

To accomplish these purposes, the WDC establishes the following definitions, actions, and guidelines for interpretation.

#### **Code of Conduct:**

During the performance of duties, your actions are a reflection upon the Pierce County WDC as well as a reflection upon you. It is extremely important that all WDC and committee members, including subrecipients, contractors and WorkSource Partners act in a courteous, friendly, helpful and prompt manner in dealing with the public, customers and officials.

#### **Ethical Principles:**

- **Compliance with the Law:** It is the WDC's policy to be knowledgeable of and comply with all applicable laws and regulations of the United States and the State of Washington in a manner that will reflect a high standard of ethics. Compliance does not comprise one's entire ethical

responsibility; rather it is a minimum, and an essential condition for adherence to mission and duties.

- **Professional Standards:** It is the WDC's policy that its representatives be knowledgeable of emerging issues and professional standards in the field and conduct themselves with professional competence, fairness, efficiency and effectiveness.

#### **Guidelines for Interpretation:**

Areas of concern are those actions or lack of actions which may lead to conflict of interest or the appearance of conflict of interest or to a perception of unfairness related to WDC business outside Council and Committee meetings. Specific areas which may pose problems include but are not limited to, comments made in public, information sharing, and disclosure of associations.

**Comments Made in Public:** WDC and committee members are encouraged to act in a public relations capacity for the Pierce County WDC. This includes public speaking engagements and comments in a public forum. Because there is interest in WDC actions, members should differentiate between descriptive comments, which relate to actions already taken by the Council, and statements, which imply future WDC decision-making, or the ability to influence decision-making.

**Information Sharing:** WDC and committee members are encouraged to share information with the community about WDC activities. To the extent possible, access to information regarding procurement of services should be available at the same time and under the same circumstances to all parties. Such information includes the Operations Plan, request for proposals, notice of meetings, meeting minutes, and policies.

**Disclosure of Associations:** WDC and committee members have professional and personal associations throughout the community. Such associations have been and will continue to be of significant benefit to the WDC. Where a direct or indirect financial conflict of interest exists, a WDC or committee member may not vote or serve on a rating team. When associations raise appearance of fairness as an issue, WDC and committee members should qualify statements in public by disclosing the association and minutes of the meeting should reflect the disclosure.

#### **CONFLICT OF INTEREST POLICY:**

1. Each grant recipient and subrecipient must maintain a written code of standards or conduct governing the performance of persons engaged in the award and administration of WIOA contracts and sub grants.
2. No individual in a decision-making capacity shall engage in any activity if a conflict of interest (real, implied, apparent, or potential) is involved. This includes decisions involving the selection, award, or administration of a sub grant or contract supported by Workforce Innovation and Opportunity Act (WIOA) or any other federal funds.
3. A WDC member or a member of a WDC committee cannot cast a vote or participate in any decision-making about providing services by such member (or by any organization that member directly represents) or on any matter that would provide any direct financial benefit to the member or to the member's organization.
4. Before any public discussions regarding the release of a Request for Proposal, or any matter regarding the release of funding or the provision of services, a WDC member or a member of a WDC committee must disclose any real, implied, apparent, or potential conflicts of interest before engaging in the discussion. The minutes of the meeting should reflect the disclosure.

5. WDC members or a member of a WDC committee or agents of the agencies making awards cannot solicit or accept gratuities, favors, or anything of monetary value from awardees, potential awardees, or other parties to agreements. However, the WDC allows for situations where the gift is an unsolicited item of nominal value worth \$50.00 or less.
6. Disciplinary actions may be taken up to and including termination of board membership for violation of this policy by any individual. The WDC Coordinating Committee may evaluate any violations of these provisions on a case-by-case basis and recommend to the Executive Board, if and what penalties, sanctions or other disciplinary action are appropriate.
7. Individuals shall not use for their personal gain, for the gain of others, or for other than officially designated purposes, any information obtained as a result of their committee, board or working relationships with the WDC where that information is not available to the public at large, or divulge such information in advance of the time decided by the WDC for its release.
8. One Stop Operators must disclose any potential conflicts of interest arising from relationships with training providers and other service providers. [WIOA Section 121 (d)(4)]
9. Any organization that has been selected or otherwise designated to perform more than one function related to WIOA must develop a written plan that clarifies how the organization will carry out its multiple responsibilities while demonstrating compliance with WIOA, corresponding regulations, relevant Office of Management and Budget circulars, and this conflict of interest policy. This plan must limit conflict of interest or the appearance of conflict of interest, minimize fiscal risk, and develop appropriate firewalls within that single entity performing multiple functions. The plan must be agreed to by both the WDC and the Executive Board.
10. Membership on the WDC, or being a recipient of WIOA funds to provide training or other services, is not itself a violation of conflict of interest provisions of WIOA or corresponding regulations.

#### **DEFINITIONS:**

Conflict of Interest - Conflict between the official responsibilities and the private interests of a person or entity that is in a position of trust. 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.

Immediate Family - Immediate Family consists of the individuals' parents (including step-parents), spouse, domestic partner, children (including step-children), siblings, grandchildren, grandparents, and any relative by marriage (an "in-law")

Individual - (1) an individual; i.e., officer, or agent, or (2) any member of the individual's immediate family (spouse, partner, child, or sibling), or (3) the individual's business partner.

Organization - A 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.

**REFERENCES:**

- [Public Law 113-128 Section 101\(f\) - State Board Conflict of Interest](#)
- [Public Law 113-128 Section 102\(b\) \(2\) \(E\) - State Plan Conflict of Interest Assurance](#)
- [Public Law 113-128 Section 107\(h\) - Local Board Conflict of Interest](#)
- [Public Law 113-128 Section 121\(d\) \(4\) - One-Stop Operators](#)
- [Proposed 20 CFR 679.430 Proposed 679.130\(f\) \(1\) through \(3\) - Criteria to certify One Stops](#)
- [Proposed 20 CFR 679.410\(a\) \(3\) and \(c\) - Local board must avoid inherent conflict of interest](#)
- [Proposed 20 CFR 679.430 - Entities performing multiple functions](#)
- [Proposed 20 CFR 683.200\(c\) \(5\) - Administrative Rules, Costs, Limitations – Title I WIOA and Wagner-Peyser](#)
- [29 CFR 97.36\(3\)](#)
- [2 CFR Part 200.112 and 200.318 and Part 2900 - Office of Management and Budget Uniform Guidance on administrative, cost, and audit provisions for federal grants](#)
- [Revised Code of Washington \(RCW\) 42.20.070 - Misappropriation and falsification of accounts by a public officer; RCW 42.20.080 – Other violations by officers](#)
- [RCW 42.52.160 – Use of persons, money or property for private gain](#)

**ATTACHMENT**

Code of Conduct & Conflict of Interest Disclosure

**INQUIRIES**

Direct Inquiries To:  
WorkForce Central  
3650 South Cedar Street  
Tacoma, WA 98409-5714  
(253) 472-8094 or 1-800-999-8168

**APPROVED**

**APPROVED BY WDC**

\_\_\_\_\_  
Linda Nguyen, WFC CEO

Date \_\_\_\_\_

Date: \_\_\_\_\_

**EQUAL OPPORTUNITY - EQUAL ACCESS**

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**WorkForce Central**

**Conflict of Interest Disclosure Form**

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**ACKNOWLEDGEMENT AND DISCLOSURE FORM**

I have read the WorkForce Central Code of Conduct and Conflict of Interest Policy #3006, and agree to comply fully with its terms and conditions at all times during my service as a Pierce County Workforce Development Council or Committee member. If at any time following the submission of this form I become aware of any actual or potential conflicts of interest, or if the information provided below becomes inaccurate or incomplete, I will promptly notify the Pierce County Workforce Development Council Chair and WorkForce Central CEO in writing.

Please describe below any relationships, transactions, positions you hold (volunteer or otherwise), or circumstances that you believe could contribute to a conflict of interest:

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1. I have received a copy of the WorkForce Central Code of Conduct and Conflict of Interest Policy #3006.
  2. I have read and understand the policy and I agree to comply with this policy.
  3. I have disclosed the existence and nature of any financial or competing interest that may give rise to an actual or potential conflict of interest, under the policy.

Member Signature: \_\_\_\_\_

Member Printed Name: \_\_\_\_\_

Date: \_\_\_\_\_