

TO: Training Providers

FROM: Elaine Bryan, Assistant Director, Employment Training Section
Missouri Department of Elementary and Secondary Education

SUBJECT: Workforce Investment Act/Training Provider Certification

Thank you for your interest in becoming an eligible training provider in Missouri. Enclosed is the Workforce Investment Act (WIA) Training Provider Certification document for initial eligibility.

If you are a postsecondary educational institution that is eligible to receive federal funds under Title IV of the Higher Education Act or an entity that carries out programs of training under the National Apprenticeship Act, the certification requirements to be met are outlined on page 4. If you meet these requirements and would like to be a training provider for WIA eligible participants, please sign this document, submit the required information and return pages 2 through 9 to our department.

If you are another type of provider of a program of training (not eligible to receive Title IV funds), the certification requirements to be met are outlined on pages 5 and 6 and Exhibit 1, page 17, must be completed. If you meet these requirements and would like to be a training provider for WIA eligible participants, please sign this document, submit the required information, and return pages 2 through 9 and Exhibit 1 to our department.

Please submit the required information to the following address:

Missouri Department of Elementary and Secondary Education
Employment Training Section
P.O. Box 480
Jefferson City, MO 65102

After the period of initial eligibility, which is the first 12 months, all providers must meet subsequent eligibility requirements. The subsequent eligibility requirements are outlined on page 7.

Should you have any questions, please contact me at (573) 751-7563.

**Workforce Investment Act
Training Provider Certification
Initial Eligibility**

I. General Information

- A. This application must be completed by training providers seeking to be on Missouri’s state list of eligible training providers. Only providers identified on this list will be authorized to receive Workforce Investment Act referrals and access funds when providing training services to eligible participants. The requirements outlined in this document must also be met in order to receive referrals and access funds when providing training services to Parents Fair Share, Temporary Assistance for Needy Families (TANF or formerly FUTURES), Trade Act, or other workforce program recipients.

- B. In order to be eligible to receive funds a provider shall be:
 - 1. A postsecondary educational institution that –
 - a) is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965 (20 U.S.C. 1070 et. seq.); and
 - b) provides a program of training that leads to associate degree, baccalaureate degree, masters degree, or certificate;
 - 2. An entity that carries out programs of training under the Act of August 16, 1937 (commonly known as the “National Apprenticeship Act; 50 Stat. 664, chapter 663; 29 U.S.C. 50 et. seq.). In order to utilize WIA funds for this purpose, the student must be an apprentice;
 - 3. Another public or private provider of a program of training services;
 - 4. Local Boards offering programs of training, if they meet the conditions of WIA section 117(f)(1); or
 - 5. Community-based organizations and other private organizations providing programs of training under Sec. 663.430.

C. A program of training services is defined as:

1. One or more courses or classes that, upon successful completion, leads to a certificate, an associate degree, baccalaureate degree, or masters degree.

A program 40 clock hours or less may be classified as intensive services¹; this will be at the discretion of the local board. In order to be considered a training program and be maintained on the program provider list, performance information must be submitted by the training provider. Adult Basic Education and literacy activities are not required to be classified as a program of training.

2. When an individual course(s) is part of an overall training program, then the overall training program is what will be considered for purposes of approval and meeting performance requirements. For example, if a course titled "Excel Spreadsheets" is part of an overall training program titled "Computer Information Systems," then performance information is required on the "Computer Information Systems" program. However, if "Excel Spreadsheets" is never offered as part of an overall program, then performance information is required on that one course.

¹Intensive Services include short term prevocational services to prepare individuals for unsubsidized employment or training. Performance information is not required for intensive services.

II. Initial Eligibility Approval Process For Providers Eligible To Receive Federal Funds Under Title IV Of The Higher Education Act Of 1965 or Entities That Carry Out Programs Under The National Apprenticeship Act Of 1937

In order for providers that are eligible to receive federal funds under Title IV of the Higher Education Act of 1965 or entities that carry out programs under the National Apprenticeship Act of 1937 – student must be an apprentice - (identified in section I.B.1 or 2 on pg.2) to be determined initially eligible, the provider must:

- A. Sign this certification document agreeing to the requirements contained within;
- B. Submit a catalog/brochure which shall include at a minimum a description of programs of training, refund policy and general cost information;
- C. Submit a list of all programs of training that have been selected by your institution to appear on the WIA eligible training provider list¹; and
- D. Submit cost information including tuition, associated fees, and supplies for each of the programs of training listed.¹

Should providers as identified in Section II create a new program(s) after they have been determined initially eligible and want this program(s) to be added to the state list, this program(s) will go through a period of initial eligibility and items II.C & II.D must be met.

Should providers as identified in Section II want to add an existing program(s) to the state list after the institution has been determined initially eligible, items II.C & II.D must be met and this program(s) will be added to the state list and will be on the same anniversary date as the original application.

The period for initial eligibility is 12 months.

¹Providers may submit this via the internet with a User ID and Password to the Missouri Education and Career Hotlink website. Contact our office if User ID/Password is needed.

III. Initial Eligibility Approval Process For Other Public Or Private Providers Of Training Services, Local Workforce Investment Boards, and Community-Based Organizations

In order for other public or private providers of a program of training services (identified in section I.B.3, 4 or 5 on pg.2) to be determined initially eligible the provider must:

- A. Have been, prior to application, certified to operate or exempted from the certification requirements by the Missouri Department of Higher Education for a minimum of 12 months; out-of-state providers must have been certified to operate or exempt from the certification requirements in their state for a minimum of 12 months prior to application. To appeal this requirement, the appeal process outlined in Attachment 1 will be followed. Appeals may be considered for situations such as, but not limited to (1) there is no similar training available within a 60 mile radius of the proposed training provider site and (2) the training provided is in a demand occupation as determined by the local board. Should the decision of this appeal be awarded in the training provider's favor, items III.D&E may not apply;
- B. Submit documentation from the Missouri Department of Higher Education identifying status as exempt or certified to offer training in the State of Missouri; out-of-state providers must submit documentation verifying their legal authority to offer post-secondary education in their state; exempt training providers may be asked to submit documentation substantiating financial stability;
- C. Submit a list of all programs of training that have been selected by your institution to appear on the WIA eligible training provider list (to submit, see Exhibit 1);
- D. Submit the following data for each program of training based on all individuals participating in the program for the most recent 12 month period for which data is available.¹ (To submit, see Exhibit 1)
(See Attachment 2 for definitions as noted)
 - 1. the number of participants (Attachment 2, II.A.1);
 - 2. the number of completers (Attachment 2, II.A.2);
 - 3. the number of completers employed (Attachment 2, II.A.3);

- E. Provide performance information for each program of training on the percent of completers employed (Attachment 2, II.B.2). A minimum level of 50% must be met to be determined eligible. This information shall be based on all completers from the program for the most recent 12 month period for which data is available.¹ (To submit, see Exhibit 1);
- F. Submit cost information including tuition, associated fees, and supplies for each of the programs listed²;
- G. Submit a catalog/brochure which shall include at a minimum a description of programs of training, refund policy and general cost information; and
- H. Sign this certification document agreeing to the requirements contained within.

Should providers as identified in Section III create a new program(s) after they have been determined initially eligible and want this program(s) to be added to the state list, this program(s) will go through a period of initial eligibility and items III.C & III.F must be met.

Should providers as identified in Section III want to add an existing program(s) to the state list after the institution has been determined initially eligible, items III.C, D, E. & F must be met, and this program(s) will be added to the state list and will be on the same anniversary date as the original application.

The period for initial eligibility is 12 months.

¹For providers who have been in operation only 12 months on the date of application, data is to be submitted by program for the first 9 months of operation. This allows time for the provider to collect, analyze and report the information to DESE.

²Providers may submit this via the internet with a User ID and Password to the Missouri Education and Career Hotlink website. Contact our office if User ID/Password is needed.

IV. Subsequent Eligibility – Approval Process For All Providers (Title IV Eligible Providers, National Apprenticeship Act Entities, and Other Public and Private Providers)

For a program to continue to remain eligible to receive WIA funds for new enrollments after the period of initial eligibility, which shall be called subsequent eligibility, a provider must:

- A. For institutions located in Missouri, follow the reporting procedures as described in Attachment 3 (pg 13) in order to meet the program performance requirements identified in Attachment 4 (pg 16). Institutions located outside of Missouri must report and meet the performance requirements identified in Attachment 4 (pg 16) using the definitions identified in Attachment 2 (pg 11).
- B. Annually meet the performance levels identified in Attachment 4 for the performance criteria as identified for each program of training;
- C. Maintain from the Missouri Department of Higher Education exempt or certified status to offer training in the State of Missouri; out-of-state providers must maintain legal authority in their state to offer post-secondary education;
- D. Annually submit a catalog/brochure which shall include at a minimum a description of programs of training, refund policy and general cost information;
- E. Submit/update the list of all programs of training to appear on the WIA eligible training provider list;
- F. Submit/update cost information including tuition, associated fees, and supplies for each program listed; and
- G. Annually sign and submit the certification document agreeing to the requirements contained within.

Should providers as identified in Section IV create a new program(s) after the institution has been determined subsequently eligible and want this program(s) added to the state list, this program(s) will go through a period of initial eligibility and items II.C and II.D (pg 4) or III.C and III.F (pg 5) must be met.

Should providers as identified in Section IV want to add an existing program(s) to the state list after the institution has been determined subsequently eligible, items IV.A, B, E & F must be met.

V. General Provisions

- A. If a program does not meet the performance levels as required for initial eligibility or subsequent eligibility that program will be determined ineligible. This program will remain ineligible until performance levels are met or it is determined through the appeal process to retain the program on the state list.
- B. If it is determined that an eligible provider is intentionally supplying inaccurate information the provider's eligibility for the program shall be terminated for 2 years.
- C. If the eligible provider substantially violates any requirements under the Workforce Investment Act (as determined by the local board(s) and state agency), the eligibility of the provider may be terminated for the program involved, or other action as determined appropriate may be taken.
- D. A provider whose eligibility is terminated under paragraphs B or C for a program shall be liable for repayment of all funds received for the program during any period of noncompliance.
- E. Should a provider lose its eligibility for a program(s) as described in V.A, the provider will continue to be reimbursed for all students enrolled prior to the loss of eligibility and all conditions of the application will continue to be applied until those enrollments have completed training.
- F. To appeal a denial of eligibility or to appeal a termination of eligibility, the appeal process outlined in Attachment 1 will be followed.
- G. Training providers are not guaranteed referrals. Selection of a training provider shall be made by the WIA participant in consultation with the WIA case manager/advisor.
- H. The training provider agrees to accept Individual Training Accounts (ITA) and provide training services for eligible WIA participants enrolling in approved programs where admission and program placement requirements of the training provider have been met.
- I. The training provider agrees to comply with the billing procedures and requirements of the funding agency. Funding could come from the Missouri Department of Elementary and Secondary Education and/or Local Workforce Investment Boards.
- J. The training provider shall permit on-site visits by the Local Workforce Investment Boards, Missouri Department of Elementary and Secondary Education, Missouri Department of Higher Education, Missouri Division of

Workforce Development, U.S. Department of Labor, and any other state, federal or local agency as legally authorized to monitor activities for which funds have been provided.

K. The training provider may, at its option, cancel this agreement without penalty upon 30 days written notice. In such event, the training provider shall receive full payment for all allowable expenditures reported.

L. Identify if your institution is:

- ___1. A Title IV postsecondary educational institution (I.B.1,pg 2);
- ___2. An entity that carries out National Apprenticeship Act programs (I.B.2, pg 2); or
- ___3. Another public or private provider of a program of training not meeting 1 or 2 above.

M. If applying to be certified for the first time with our Department, please provide your federal tax I.D. number or social security number (if sole proprietor): _____

N. All of the below signatories have read and fully understand the language and are bound by the specified terms and attachments of this application. Regardless of who initials each statement, should this occurs, and/or completes the requirements contained within, the school official signing this document is responsible for complying with all of the requirements contained in this certification document.

TRAINING PROVIDER

MO. DEPARTMENT OF ELEMENTARY AND SECONDARY EDUCATION

Training Institution

Jeanne Loyd
Assistant Commissioner
Office of Adult Learning and
Rehabilitation Services

Authorized Signature

Name (Typed or Printed)

Date

Title

Date

Phone Number

WIA Training Provider Appeal Process

The Workforce Investment Act requires the Governor to establish procedures for providers of training services to appeal a denial of eligibility or termination of eligibility (Section 122 (g)).

An appeal can be filed as outlined in these procedures.

An appeal must be submitted in writing and signed by an authorized individual from the training provider. It should include the name of the training provider, address and telephone number and an explanation of why an appeal is being filed.

Appeals must be submitted within forty-five (45) days of being notified of a denial or termination to the Department of Elementary and Secondary Education (DESE) (P.O. Box 480, Jefferson City, MO 65102, attn: Employment Training – Appeal Review Board).

Step 1

The training provider will submit the appeal in writing to the DESE – Appeal Review Board*. The Appeal Review Board will review the appeal and provide a written decision to the training provider within thirty (30) days after receipt of the appeal.

Step 2

If the Board's decision fails to resolve the appeal, the training provider has fifteen (15) days from the receipt of the Board's decision to submit a written request for a hearing. A hearing will be conducted within thirty (30) days from the receipt of the hearing request. Representatives from the appealing training provider and Appeal Review Board shall be assembled to discuss the appeal. A written decision shall be issued within fifteen (15) days following the hearing.

Step 3

If the decision fails to resolve the appeal, the training provider has fifteen (15) days to submit a written request for a review by the Local Workforce Investment board (LWIB) from the area in which the training provider operates. The LWIB or its designee shall review the appeal and issue a final decision within thirty (30) days from receipt of the request. The LWIB or its designee's decision shall be final.

* The Appeal Review Board shall be comprised of representatives from the Department of Elementary and Secondary Education, Division of Workforce Development, Department of Higher Education, a standing member from a local Workforce Investment Area and a representative from the Workforce Investment Area in which the training provider operates.

I. GENERAL DEFINITIONS

- A. Program of Training** – One or more courses or classes that, upon successful completion, leads to a certificate, an associate degree, baccalaureate degree, or masters degree.

A program 40 clock hours or less may be classified as intensive services; this will be at the discretion of the local board. In order to be considered a training program and be maintained on the program provider list, performance information must be submitted by the training provider.

II. PROGRAM PERFORMANCE DEFINITIONS

- A. General performance definitions of each program for all participants in the program (WIA and non-WIA):**

1. participants (enrollees) – individuals participating in the program at any time during the 12 month reporting period (new enrollees as well as individuals already there). This must be an unduplicated count. “Individuals participating in the program” may be defined by the training provider as long as the individual is counted as a participant in the program within the first 25% of program completion.
2. completers – participants who obtain a certificate or degree anytime during the 12 month reporting period used in A.1.
3. employed completers – completers identified in A.2 who earn a wage within 6 months after exiting the program.
4. completers furthering education – completers identified in A.2 who transferred to another education program. Providing this information is optional.

- B. Definitions for the required performance of each program for all participants in the program (WIA and non-WIA):**

1. completion rate of participants – completers (A.2) / participants (A.1). Instead of using the definition provided, the training institution has the option of reporting this rate based on tracking a cohort of students DHE will provide this rate based on tracking a cohort of students for the programs where this data is available.
2. rate of completers employed/furthering education – completers who enter employment (A.3) / all completers (A.2) plus completers furthering education (A.4)/all completers (A.2). This must be an unduplicated count.
3. wages at placement – the hourly wage of the employed completers identified in A.3.

C. General performance definitions of each program for WIA funded participants:

1. participants – WIA funded students participating in the program any time during a 12 month period (new enrollees as well as individuals already there). This must be an unduplicated count.
2. completer – determined by the local board that made the referral. An individual is considered a completer when that individual has accomplished all planned training objectives as outlined in his or her reemployment plan.
3. employed completers – completers in C.2 who earn a wage within 6 months after completing the program.
4. retention number – the number of individuals in C.3 who remain employed for 6 months after employment is obtained.

D. Definitions for required performance information of WIA funded participants:

1. employment rate of completers – completers employed (C.3) / individuals who completed the program (C.2).
2. retention rate – number retained in employment 6 months after obtaining employment (C.4) / program completers (C.2).
3. Average wage of completers 6 months after obtaining employment – the hourly wage of individuals identified in C.4.

Workforce Investment Act
Subsequent Eligibility Reporting Procedures
For Institutions Located in Missouri

In order to remain eligible, each instructional program must annually meet the performance requirements of subsequent eligibility. These requirements are identified in Attachment 4. It is not necessary to report the specific performance information identified in Attachment 4. However, it is required that your institution submit individual student data, including social security numbers (ssn's). The performance information in Attachment 4 will be obtained, where possible, using the Unemployment Insurance (UI) wage record database. The UI system will provide us with employment and wage information. Completion rate information will be calculated using the definition identified in Attachment 2, II.B.1 (page 11). In order to use the UI system for employment and wage information, it is imperative that we have social security numbers (ssn's) on all the enrollees and completers for each program your institution wishes to remain approved. This includes non-credit programs. Programs will not remain WIA eligible if they do not meet the subsequent eligibility performance requirements.

In order to minimize the submission of additional data, a cooperative interdepartmental effort has been undertaken between the Department of Elementary & Secondary Education (DESE) and the Department of Higher Education (DHE) to capitalize on existing data sources. Therefore, the instructional programs for which your institution is already submitting student data, including social security numbers, to DHE, DESE will obtain and use that data from DHE. It is not necessary to submit to DESE any student data on programs where it is already being submitted to DHE.

For the instructional programs where no individual student records are being submitted to DHE, the student data on enrollees and completers must be submitted directly to DESE electronically to the e-mail address below when requested by DESE. To submit the individual student data including ssn's and to determine what student information is required, you must follow the sample excel spreadsheets Attachment 3a. As you can see in the sample, there are two spreadsheets—one is to be submitted for the completers of each program; the other sample is to be followed for the "enrollees." When submitting the student records, **every** student is to be included, not just the WIA students. Also, since DESE maintains records on the WIA students, it is not necessary to distinguish the WIA students when submitting the student information. The reporting period for reporting the student data must be for a 12-month period of time.

The student data must be submitted as an excel spreadsheet and sent by e-mail to

elaine.bryan@dese.mo.gov

The UI wage record database for employment and wage information is not all-inclusive. Therefore, when employment matches cannot be found in the UI system for program completers, the training institution will have the opportunity to provide employment and wage information on those individuals. Social security information for which no employment and wage data can be collected will be returned to the institution for follow-up. However, institutions are not required to do follow-up and provide supplemental information; this decision is at the discretion of the institution. Supplemental information will be subject to review and audit.

SAMPLE

ABC Community College – Enrollment File
Reporting Period: 7/1/00 – 6/30/01

Name of Program	CIP Code	Name of Student	Student SSN	Expected Award	Enrollment Date
XYZ Program	99.9999	John Doe	234-56-7890	AAS Degree	8/25/99
XYZ Program	99.9999	Suzie Lee	345-67-8901	AAS Degree	1/15/00
RST Program	11.1111	Mike Jones	489-99-9999	Certificate	10/15/00
RST Program	11.1111	Jane Smith	123-45-6789	Certificate	12/12/00

SAMPLE

**ABC Community College – Completion File
Reporting Period: 7/1/00 – 6/30/01**

Name of Program	CIP Code	Name of Student	Student SSN	Award Conferred	Completion Date	Furthering Education
XYZ Program	99.9999	Carol Jones	456-78-9012	AAS Degree	12/19/00	No
RST Program	11.1111	Joan Carol	587-51-4531	Certificate	11/19/00	Yes

Program Performance Requirements For Subsequent Eligibility

Items A and B identify the required performance that each program must meet to maintain eligibility. This information will be obtained as identified in Attachment 3, Subsequent Eligibility Reporting Procedures.

- A. Required performance for each program of training based on all individuals participating in the program (WIA and non-WIA). Where there are at least eight (8) students annually completing in the program, the minimum level indicated must be met for at least one (1) of the three (3) criteria to maintain eligibility.

	<u>Minimum Level¹</u>
1. completion rate of participants	25%
2. percent of completers employed/furthering education	60%
3. average wage of employment	\$1 over minimum wage ²

- B. Required performance for each program of training based on only those students participating in the program who received assistance from WIA funds. Where there are at least eight (8) WIA students annually completing the program, the minimum level indicated must be met for at least two (2) of the three (3) criteria to maintain eligibility.

	<u>Minimum Level¹</u>
1. percent of individuals who completed the program and are employed	75%
2. retention rates in employment of individuals who have completed the applicable program, 6 months after employment is obtained	50%
3. wages received by individuals who have completed the applicable program, 6 months after employment is obtained	\$1.25 over minimum wage ²

Note - Performance information to be collected in the future: where appropriate, the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skills, of the graduates of the applicable program

The performance of each program will be displayed on the Missouri Education and Career Hotlink website, as required by the Workforce Investment Act.

¹Minimum levels have been established for the first year of subsequent eligibility. Minimum levels will continually be reviewed.

²The minimum level will be based on the minimum wage in effect on the final day of the reporting period for which data is gathered.

Initial Eligibility Data and Performance Information

This form shall be used by those training providers required to report data for initial eligibility. Only those providers not eligible to receive Title IV funds are required to complete this form (See III.D&E, pages 5&6). A separate form shall be used for each program of training that you have selected to appear on the WIA list. The data reported shall include all individuals participating in the program (WIA and non-WIA participants) for the most recent 12 month period for which data is available. All information provided on this form is subject to audit and verification.

Provider Name: _____

Program Name: _____

Reporting Period:

Begin Date: ___/___/___

End Date: ___/___/___

<u>Criteria</u>	<u>Actual Data</u>	<u>Minimum Level</u>
1. Number of participants:	_____	N/A
2. Number of completers:	_____	N/A
3. Number of completers employed:	_____	N/A
4. Percent of completers employed:	_____	50%

Describe the method used to collect and verify the employment information required for items 3 & 4. (If this form is submitted for more than one program and the same methodology is used to collect employment information for each program, indicate such and only complete this description one time.):

I attest that the information provided above is true and accurate to the best of my knowledge.

Signature/Title

Date