

OVERVIEW

1. This Individual Training Account (ITA) Provider policy manual outlines the Delaware Workforce Development Board's (DWDB) approach to managing its responsibility under the Workforce Innovational and Opportunity Act (WIOA). This manual provides specific guidance on the development, management, and enforcement of Delaware's ITA system.
3. The DWDB will make changes to this manual as needed. The DWDB will announce changes through its website, social media accounts, and as necessary, through the Division of Employment and Training.

PREPARATION

1. Introduction. Processing Individual Training Account (ITA) provider applications is an important and fundamental part of the DWDB's work and deserves a level of detail and process appropriate to the annual expenditure of several million dollars and the training of several hundred Delawareans. While many components are key in developing a quality provider approval process, it is impossible to overstate the importance of detailed preparation.

2. Demand Occupation List. The first preparation step is development of the Demand Occupations List. This list is the driving document for provider approval. The DWDB will annually post the high demand occupation list on its website and distribute it through social media

a. To facilitate preparation the DWDB Deputy Director will:

1. Gather relevant labor market information from Delaware's Office of Occupational Labor Market Information (OOLMI);
2. Request qualitative information from the Delaware Economic Development Office (DEDO), workforce development unit;
3. Conduct an initial analysis of potential employment demand;
4. Ask DEDO and OOLMI for input based on data;
5. Develop a draft high demand occupation list for the DWDB executive director; for presentation to Proposal Review and Certification Committee; and
6. Ensure the DWDB website is posted with the new list

b. DWDB Executive Director will:

1. Review the draft list; and
2. Present it to the Proposal Review and Certification Committee for approval.

3. Performance Measures. The development of performance measures serves several functions including, but not limited to, giving providers a clearly defined set of performance expectations and providing DWDB committees with selection criteria for future provider approvals. The development of performance measures occurs annually. The DWDB will evaluate providers based on performance. The DWDB will eliminate providers from the provider list, which fail to meet minimum standards. The development of performance measures is a joint staff project between the Delaware Department of Labor, Division of Employment and Training (DOL-DET), the DWDB Performance Measures Committee, Proposal Review and Certification Committee, and the DWDB staff. State performance measures must ensure the DWDB and DPL-DET meet or exceed the federally mandated requirements. The results of the annual negotiation, between the DWDB Performance Measures Committee and U.S. DOL Employment and Training

Administration, are the primary driver for development of provider measures.

To achieve prepare for the negotiations DOL-DET and DWDB will:

- a. Work together and develop draft performance measures that ensure the success of state programs to meet federally mandated performance;
- b. Take into consideration the demand occupation list when developing employment standards; and
- c. Present the draft performance measures to the Proposal Review and Certification Committee for review and approval.

4. Other Screening Criteria. Although the Demand Occupation List and Provider Performance Measures are the two primary sets of screening criteria, the DWDB will also consider qualitative data from other sources such as the Delaware Economic Development Office, local and/or state chambers of commerce, intelligence gathered from DET Business Services Reps (BSR's), and websites, such as Indeed.com that give a daily snapshot of job openings.

INITIAL APPLICATIONS

1. Prospective providers can submit applications anytime. However, only the Proposal Review and Certification Committee may approve a provider and its programs. The DWDB staff will only accept complete applications from prospective providers. Complete applications include:

- a. A signed Memorandum of Understanding (MOU);
- b. A complete program information form for each program;
- c. Provide verifiable program specific information;
- d. Completed initial eligibility form;
- e. An initial monitoring visit form (completed by DWDB staff);
- f. Debarment disclosure;
- g. Delaware Department of Education (DOE) Certification;
- h. DWDB staff will make an onsite visit to the prospective providers training site. The visit will determine and ensure the provider facilities are adequate, safe, and reflect an atmosphere appropriate to the trade being taught.

2. When the DWDB staff receives a complete initial application, it will send the provider via “snail mail” or email in pdf a copy of “The Provider Link User Guide

3. DWDB staff will recommend to the Proposal Review and Certification Committee approval/non-approval of initial applications for providers and specific programs. The staff will develop the recommendations based on, at least, the following criteria:

- a. Does the provider program meet a high demand occupation?
- b. Does this provider have an established track record of success for at least one year with the general public?
- c. Does the provider have enough revenue to succeed without the DWDB ITA’s?
- d. Is the training site equipped to conduct training?
- e. Are the programs submitted for approval currently available and ready for public use?

4. The Proposal Reviewed and Certification Committee may accept or reject the staff’s recommendation(s) in whole or in part. The committee is free to accept all prospective programs, some programs, or no programs.

5. When the committee approves a provider and/or program, DWIB staff will notify the provider to enter data into the Delaware Job Link in accordance with the instructions in “Provider Link User Guide.” When programs are entered, the DWDB staff will notify DET, which will activate the program in its financial system.

6. The DWDB executive director will notify, in writing, non-approved providers and/or programs of the committee's decision. As a minimum the letter will:

- a. Be sent to providers within 30 working days of the committee's decision
- b. Clearly inform providers of their opportunity to appeal
- c. Have the appeal process as a standalone attachment to the letter
- d. Generally explain the reason for non-approval

SUBSEQUENT RENEWALS

1. Retaining quality providers and ensuring provider stability is in the DWDB's best interest. To ensure Delawareans have access to training, which will give them a competitive edge in the labor market, it is essential the DWDB review provider performance to ensure only the best are renewed. This may result in longtime providers and/or select programs being removed from the list. Programs are removed from the list for two years. Programs may reapply on the two year anniversary of the removal.
2. The subsequent renewal process generally mirrors the initial application process, with one major exception – subsequent renewals are also judged on the provider's success rate from the previous year. To be considered for renewal providers must:
 - a. Attend the provider forum;
 - b. Submit updated forms;
 - c. Submit required performance information;
 - d. Meet the previous year's performance objectives;
 - e. Still offer training programs which support demand occupations; and
 - f. Submit an updated contact and email list with the renewal application.
3. When a provider submits its renewal application the DWDB staff will check the performance measures. The DWDB staff will flag any performance measure failure of a subsequent program renewal application for removal from the provider list. The Proposal Review and Certification Committee will remove the program from the list.
4. DWDB staff will recommend to the Proposal Review and Certification Committee approval/non-approval for providers and specific programs of subsequent renewal applications which have met performance measures. It is important to note, that successful programs which no longer training high demand occupations are subject to non-renewal.
5. The Proposal Reviewed and Certification Committee may only renew programs that achieve minimum standards, but is free accept or reject the all other staff's recommendation(s) in whole or in part. The committee is free to accept all programs, some of its programs, or none of the programs.
6. When the committee approves a subsequent renewal, the DWDB will notify the provider tye can submit their changes into Delaware Job Link. When programs are entered, the DWDB staff will notify DET, which will activate the program in its financial system.

7. The DWDB executive director will notify, in writing, non-approved providers and/or programs of the committee's decision. As a minimum the letter will:

- a. Be sent to providers within 15 working days of the committee's decision
- b. Clearly inform providers of their opportunity to appeal

Provider Forum

1. The provider forum is a required step in the renewal process. At a minimum DET and DWDB staff will prepare:

- a. Short term and long term employment projections;
- b. DET and DWDB process changes;
- c. A discussion of common challenges/solutions from the previous year;
- d. A discussion of state performance measures for the past and upcoming year; and
- e. Other information as appropriate.

2. The DWDB staff is responsible for developing and coordinating all aspects of the forum. The Executive Director will:

- a. Develop the overall vision for the forum;
- b. Determine the date, and content of the forum;
- c. Identify key lessons learned ;
- d. Coordinate for Executive Committee representation at the forum; and
- e. Give presentations/briefing as needed at the forum

The Deputy Director will

- a. Coordinate with OOLMI for labor market projections;
- b. Develop briefing slides for LMI data ;
- c. Coordinate with DOL-DET director for his/her comments at the forum;
- d. Work closely with executive assistant to produce binders and other handouts; and
- e. Give presentations/briefings at the forum.

The executive assistant will:

- a. Contact all providers pending subsequent renewal and notify them of the date, time, and location of the provider forum;
- b. Coordinate with the DWDB staff for contents of binders to be distributed to forum attendees; and
- c. Develop name tags, etc for the forum.

The contract specialist will:

- a. Coordinate with the forum site for all logistical support;
- b. Ensure smooth operation of forum events;
- c. Coordinate directly with the site staff for needed support;
- d. Brief providers at the forum concerning monitoring visits; and
- e. Review program information process.

MOU Reviews and Updates

1. The DWDB disciplines the process through its Memorandum of Understanding (MOU) and addendums (if needed). The DWDB staff will annually review the MOU to ensure it provides clear standards to the providers and enforcement provision to the DWDB.

The current MOU is at appendix A

Enforcement

1. Enforcement of standards throughout the ITA process is essential to ensure Delaware's publicly funded workforce system is fair to all providers, provides the highest quality training to its citizens, and makes the best use of taxpayer dollars. To that end the DWDB, in partnership with DOL-DET and providers, will take a multi-prong approach to quality control.
2. The DWDB will use both announced and unannounced visits. The DWDB contract specialist will shoulder most of the responsibility for visits, although the entire DWDB staff is expected to conduct visits. Although each situation is different, each visit will include:
 - a. Meet with the owner or on site ITA manager (in the case of higher eds);
 - b. Interviews with students;
 - c. A tour of the facility; and
 - d. Completed monitoring checklist.
3. Each visit will conclude with an exit briefing by the DWDB representative. The DWDB rep will review the monitoring checklist with the provider to ensure both parties understand the results. The monitor will – to the greatest extent possible – have the provider initial the checklist. Initialing the checklist neither constitutes agreement nor disagreement by the provider with any DWDB finding. Initialing the checklist only means the provider has received the checklist and understands its contents.
4. Non-compliance suspension. To ensure quality and promote monetary stewardship, the DWDB will rigorously enforce MOU compliance. In the rare likelihood that suspension are necessary, the suspension will last one year.
5. Providers will ensure:
 - a. They have sufficient funds to run their programs without the use of WIA federal money. Calls from creditors to DOL-DET or the DWDB are a potential indication of a lack of sufficient funds to run an ITA program.
 - b. It has a stable location. While the DWDB understands that business world is dynamic and things change, it also understands that training facility stability is an indicator of a successful and viable organization. The DWDB will suspend any organization that moves without notification, twice in the same 12 month period as the training provider will be out of compliance with its application.

c. They have a landline communication system. Because it is easy for the unscrupulous to use mobile phone technology, The DWDB requires landline telephones for all providers. Failure to have an operating landline phone is non-compliance.

d. It has adequate staff and training materials for students. Training providers will ensure that every student has sufficient equipment, books, and other materials required for instruction. Programs with inadequate and unqualified staff are non-compliant and will be suspended.

e. Tuition charged for WIOA students is equal to or less than that charged to the general public. Vendors charging more are grievously non-compliant and are subject to immediate removal from the list.

f. Programs which withhold learning materials until state payment is issued are non-compliant and will be immediately suspended.

5. In the event a complaint is made against a provider, the DWDB will immediately suspended the provider from the ITA list pending the resolution of the complaint. The DWDB will notify a provider when a complaint is filed and will ensure – to the greatest extent possible – the confidentiality of the complainant. Complaints must be specific and detailed. The DWDB will conduct an inquiry to determine, “what was or was not done in violation of what standard.” To the greatest extent possible, the DWDB inquiry will embrace the “reasonable person” standard when evaluating complaints.

ITA PROVIDER LIST MANAGEMENT

1. Overview. The Delaware JobLink is the data exchange system used by the DWDB and DOL-DET to list providers, programs, and other employment related services. The management of the ITA Provider List is an essential DWDB function and deserves the highest attention. List development and maintenance is the joint responsibility of the provider and the DWDB. Although the executive director is ultimately responsible for the list, the DWDB contract specialist is the day-to-day lead and Point of Contact for the maintenance of the ITA Provider List.

2. Renewals. All renewals are effective 1 July every year.

a. Providers will:

1. Provide accurate information for posting to the list when submitting renewal Information;
3. Ensure every renewed program has an update course description (electronic preferred); Programs without descriptions are noncompliant and the DWDB will delete them; and
2. Review all renewed programs between June 15th June 21st every year to ensure DJL accuracy.

b. DWDB Staff will:

1. Assist providers as needed to ensure DJL input accuracy;
2. Make corrections to provider course data; and
3. Review provider data into Delaware JobLink No Later Than (NLT) 20 JUN 10

c. The Contract Specialist will:

1. Ensure all renewal programs for approved providers are accurate and updated on Delaware JobLink NLT 15 June every year;
2. Will ensure all corrections to programs are made NLT June 28th every year; and
3. Develop the Return on Investment results no NLT 1 August

MONITORING POLICIES AND PROCEDURES

SCOPE:

These policies and procedures are applicable for monitoring all services funded by the Delaware Workforce Development Board (DWDB) through the Delaware Department of Labor. As necessary, the DWDB will revise these policies and procedures.

1.01 FAIR MONITORING OF PROVIDERS

POLICY:

The Delaware Workforce Investment will equitably treat all providers providing training services funded by the Delaware Workforce Development Board. All visits will result in a Priority Assessment Tool (PAT/Monitoring Tool). DWIB staff will mail a completed copy of the final report to the provider within 15 days of the site visit.

1.02 MONITORING OF NEWLY FUNDED PROVIDERS

POLICY:

Due to the complexity of each funding source's compliance requirements, all newly funded providers will receive additional guidance in the form of a Pre-Monitoring Site Visit and an Annual Site Visit. The Delaware Workforce Development Board reserves the right to conduct additional site visits as necessary. Visits will be announced and unannounced.

PROCEDURE:

Pre-Monitoring Site Visit

1. Prior to final approval of ITA Provider application, the DWDB will conduct a Pre-Monitoring Site Visit.
2. The purpose of this visit is to determine the organization's capacity for meeting the application requirements and minimum standards for training services.
3. The review will be consistent with the regular monitoring the DWDB conducts. Providers will fix any shortcoming prior to final approval.
4. The site visit will be followed by a site visit report to be completed as soon as possible, but no later than 15 business days, after the visit. The report will include timelines the potential provider must adhere to in order to receive application approval.
5. If deadlines are not met by the organization or documentation provided is inadequate, the DWDB may deny the application. The DWDB may also deny application initiation with the organization if the Pre-Monitoring Site Visit causes the DWDB to conclude that the organization does not have sufficient capacity to meet the application obligations or meet minimum standards.
6. DWDB will work with the organization as much as possible to assist them in understanding the requirements of the application and site visit report. The DWDB will provide trainings when possible and as needed by the organization to meet requirements.

1.03 ANNUAL SITE VISITS

POLICY:

All training providers funded by the Delaware Workforce Development Board shall receive one programmatic pre-arranged site visit each year for the purpose of evaluating application compliance. Additional site visits may be conducted as needed. The DWDB will provide a formal written report to the provider within 30 business days of the completion of the site visit. Providers have 30 business

days in which to respond in writing to findings (if there are any) unless another timeline is given as a part of the site visit report. The DWDB retains the right to make unscheduled site visits at any time when the need is indicated by specific concerns, complaints or circumstances.

PROCEDURE:

1. DWDB staff will contact appropriate provider staff to negotiate a scheduled date for the visit.
2. DWDB staff will identify the staff to be present and activities planned. The provider will be contacted the week prior to the site visit to confirm date and time of the visit.
3. Monitors will conduct desktop audits of the provider prior to the on-site review. The desktop audit may include, but is not limited to, a review of organization/program policies and procedures, and a review of information in the DJL system.
5. Monitoring staff includes all staff members at the Delaware Workforce Development Board. The DOL-DET fiscal manager and other fiscal staff may accompany other monitoring staff on site visits as necessary.
6. The DWDB may schedule Employee or client interviews to determine compliance and effectiveness of service delivery. The DWDB will strictly uphold client confidentiality conducting client interviews and will ensure clients fully understand the interview is completely voluntary. The Monitor will notify the provider in writing when/if he/she plans to interview employees/clients.
7. Monitoring staff will arrive at the designated provider site visit at the agreed upon date and time with all proper materials for conducting the site visit
8. Monitoring staff will conduct an evaluation of the provider using the most current evaluation instruments.
9. DWDB staff will conduct a verbal exit interview with appropriate provider staff summarizing initial findings and recommendations.
10. Monitoring staff will complete a formal written report of the site visit identifying specific recommendations and findings and send the report to the provider within 30 business days of completion of the site visit, notifying provider of the requirement that they respond to all findings in writing within 30 business days or in the timeframe indicated by DWDB.
11. DWDB staff will evaluate the provider written response and notify the provider in writing of any findings to which the provider response is not adequate. Staff shall notify the provider in writing when all findings are properly resolved.
12. The Contract Specialist will review the provider response and take further actions if the response is not received within the required timeframe or if findings are not resolved in a timely manner or the provider is otherwise noncompliant.

1.04 SUPPLEMENTAL/UNANNOUNCED SITE VISITS

POLICY:

The DWDB will conduct supplemental Site Visits as needed to assess compliance with guidelines.

PROCEDURE:

1. DWDB staff will schedule a Supplemental Site Visit.

2. DWDB staff will focus the review on compliance criteria and may also review Administrative and Programmatic Policy and Procedure manuals, personnel files, client files, and any previous findings.
3. Employee or client interviews can be scheduled at DWDB staff discretion. When scheduling and conducting client interviews, DWDB will strictly uphold client confidentiality procedures and ensure that clients fully understand that the interview is completely voluntary and that they may opt out at any time.
4. DWDB staff will communicate the results to the provider in the form of a Supplemental Site Visit Report.
Any findings will need to be addressed in a formal Plan of Corrections which will occur in accordance with the *Plan of Correction* policy.

1.05 FOLLOW-UP SITE VISITS

POLICY:

When deficiencies are found warranting additional visits at a provider, DWDB staff will conduct Follow-Up Site Visits to verify that the Plan of Correction is being implemented. The Delaware Workforce Development Board reserves the right to conduct additional Follow-Up Site Visits as necessary to verify the implementation of a Plan of Correction.

PROCEDURE:

1. DWDB staff will conduct a Follow-Up Site Visit when it is determined necessary to ensure that a provider is meeting application obligations and maintaining a consistent level of minimum standards. Follow-up site visits may also be conducted due to a change at the organization, such as a change in management, staff, address or other circumstance that might warrant a follow-up site visit.
2. DWDB staff will conduct the Follow-Up Site Visit within one month following the adoption of the Plan of Correction.
3. DWDB staff may contact the provider to determine staff availability, but is not obligated to do so.
4. The Contract Specialist will focus his/her review on the findings from the Site Visit Report, any changes made to address the findings in the adopted Plan of Correction, and any newly established compliance criteria.
5. Employee or client interviews can be scheduled at DWDB's discretion as needed to assist DWDB in determining organization compliance and effectiveness of service delivery. When scheduling and conducting client interviews, DWDB will strictly uphold client confidentiality procedures and ensure that clients fully understand that the interview is completely voluntary and that they may opt out at any time.
6. The Contract Specialist will send a letter to the provider regarding the follow up Site Visit. In the letter, the Contract Specialist will state that an adequate system has been implemented to address each finding or recommend further action by the organization.
7. Failure to implement the Plan of Correction and address each finding to the satisfaction of the Administrative Organization could result in disallowed expenses for that time period, withheld reimbursements, or other sanctions.

1.06 PLAN OF CORRECTION

POLICY:

When findings are identified during a site visit, the provider will be required to submit and implement a Plan of Correction to address all findings. A Plan of Correction may also be required when deficiencies are found through desktop monitoring or if issues are identified between site visits.

PROCEDURE:

1. DWDB staff will notify a provider of any findings in a written Site Visit Report. This report will be accompanied by a dated cover letter.
2. The provider will have thirty (30) business days from the date of the cover letter to respond in writing to the Site Visit Report, unless given another timeline from DWDB in the cover letter.
3. The response will include a Plan of Correction. The Plan of Correction will detail the manner in which the provider will address each finding and will include a timeline of implementation for each step of the plan.
4. DWDB staff will review the Plan of Correction for appropriateness and will either adopt or revise the Plan of Correction.
5. Once the Plan of Correction has been adopted or revised, DWDB staff will follow the progress of the provider's implementation of the established Plan of Correction.
6. Following the established deadlines, DWDB staff will conduct follow up site visits as necessary.
7. Follow up site visits will be conducted in accordance with the Follow up Site Visit policy.
8. The Delaware Workforce Development Board reserves the right to schedule as many Follow-Up Site Visits as necessary to verify the implementation of a Plan of Correction.
9. Failure to implement a Plan of Correction will initiate suspension of the application. This can include, but is not limited to, disallowing expense, suspending reimbursements, or terminating the application.

1.07 SIGNIFICANT SITE VISIT FINDINGS

POLICY:

When a programmatic site visit leads to the discovery of serious concerns about the quality of services that might negatively impact the health and safety of clients, DWDB staff will meet to determine the appropriate manner in which the finding should be resolved and the appropriate sanction, if any, which should be imposed until the finding has been corrected. DWDB will work with other staff as appropriate.

PROCEDURE:

DWDB will meet as soon as possible and will include appropriate DWDB staff when appropriate and necessary.

1. Staff will discuss the concern to determine the appropriate course of action that needs to be taken in accordance with DWDB policies to resolve the concern. This information will be articulated in a plan of action and conveyed to the provider.
2. Depending on the severity of the concern, the Administrative Organization may elect to immediately institute sanctions against the provider until the situation is resolved.
3. The Administrative Organization will address the concern in any manner necessary to assure client health and safety, up to and including, termination of the application/program.



**Delaware Workforce Investment Board
4425 N. Market Street
Wilmington, DE 19802
302-761-8161**

PROGRAM COMPLAINT/APPEAL PROCEDURE

It is the Delaware Workforce Investment Board's policy to expeditiously handle all complaints. The Delaware Department of Labor, Division of Employment and Training provides One-Stop services and manages all contracts.. It is our joint goal to resolve all issues at the lowest level possible. If you have a problem in any aspect of the One-Stop system, please follow the steps below:

If you feel that you have a program complaint that needs to be resolved you may bring that issue to any one the four following points of contact:

Local Office – “One Stop” manager

Dover – (302) 857- 5860

Fox Valley – (302) 761- 8084

Georgetown – (302) 858 - 5235

Pencader – (302) 451 - 3469

Division of Employment & Training Complaint Officer – Rachel Turney at 761 -8087, email address: beverly.benson@state.de.us.

Contract Operation Unit - If the complaint is with one of our training contractors please notify the Help Desk at: DOL DET CONTRACTOR Help@state.de.us.

Workforce Investment Board – Gwendolyn Jones at 761-8161, e-mail address: gwendolyn.jones@state.de.us.

Notification – Once you have brought your complaint to one of the points of contact the individual receiving the complaint will notify the Division of Employment & Training Complaint Officer and the Director of the Delaware Workforce Development Board within 24 hours of your complaint

Informal Resolution – The Local office/contract staff will attempt an informal resolution. Up to five (5) workdays is allotted.

Complaint Officer - If the complaint is not resolved after five (5) workdays, the matter will be reviewed by the Complaint Officer. The Complaint Officer will then talk with you in person or by telephone to make an attempt at an informal resolution within the following ten (10) workdays.

Alternative Dispute Resolution - The Complaint Officer may use a method called Alternative Dispute Resolution (ADR). ADR is a method that provides an impartial facilitator to hear your issue along with the alleged party in an informal setting. This is a voluntary procedure and both sides have to be agreeable to its use.

Identify your problem in writing - If the problem remains unresolved after (15) workdays, you must submit your complaint in writing. The Complaint Officer or its designee may offer to assist you with writing your complaint. The complaint may be in any written format.

The complaint must include the following information: (a) **Your** name, address and phone number (b) The nature of the problem (c) The relief requested (d) Any other information you believe would be relevant. The complaint may be mailed to: Executive Director, DE Workforce Investment Board, 4425 N. Market Street, Wilmington, DE 19802 or delivered in person to the same office, or e-mailed to: gwendolyn.jones@state.de.us. Once the Executive Director receives the written complaint, a notification of receipt confirming that the complaint has been received by the Executive Director will be mailed within five (5) workdays.

Investigation/Fact Finding - Upon receipt of the complaint, the Executive Director of the Workforce Investment Board and/or the Complaint Officer will review the complaint. The complaint will be assigned to an investigator who will do a fact finding review of the issues. The investigator will make contact with the complainant and the respondent about the issues in the complaint. Based on all of the data gathered the investigator will render a decision within (15) workdays from receiving all necessary information. If the Executive Director or the Complaint Officer is unable to resolve the complaint to the complainants' satisfaction, the complainant may request an appeal hearing before a review committee.

Appeal Hearing - If an appeal hearing is requested, the Executive Director/Complaint Officer will automatically forward any unresolved issues to the Delaware Workforce Development Board(DWDB) and our Deputy Attorney General for review. The DWDB will send a notification that they have received your complaint. The DWDB will go over the issues and the decisions rendered in the complaint within fifteen (15) workdays. Again the complainant and the respondent may be contacted for an interview either in person or by telephone. **The decision of the DWDB will be final and binding.**

 Specialist


 Date

Delaware Workforce Investment Board
4425 N. Market Street
Wilmington, DE 19802
302-761-8161

PROGRAM COMPLAINT PROCEDURE (Staff)

It is the Delaware Workforce Investment Board's policy to handle all complaint issues in an expedient manner. The Division of Employment and Training acts as the One-Stop delivery service agent and contract manager. In order to achieve a user-friendly atmosphere, we will all work towards resolving all issues at the lowest level possible. If you have a problem in any aspect of the One-Stop delivery program, we would ask that you follow the steps below:

The Staff member receiving the complaint may bring that issue to any one the four following points of contact:

- Local Office – “One Stop” manager
 - Dover – (302) 857- 5860
 - Fox Valley – (302) 761- 8084
 - Georgetown – (302) 858 - 5235
 - Pencader – (302) 451 - 3469
 - Division of Employment & Training Complaint Officer – Beverly Benson at 761 - 8087, email address: beverly.benson@state.de.us.
 - Contract Operation Unit - If the complaint is with one of our training contractors please notify the Help Desk at: DOL DET CONTRACTOR Help@state.de.us.
 - Workforce Investment Board – Gwendolyn Jones at 761-8161, e-mail address: gwendolyn.jones@state.de.us.
1. **Notification** – Once you have brought your complaint to one of the points of contact the individual receiving the complaint will notify the Division of Employment & Training Complaint Officer and the Director of the Delaware Workforce Development Board within 24 hours of your complaint
 2. **Informal Resolution** – The Local office/contract staff will attempt an informal resolution. Up to five (5) workdays is allotted.
 3. **Complaint Officer** - If the complaint is not resolved after five (5) workdays, the matter will be reviewed by the Complaint Officer. The Complaint Officer will then talk with the complainant in person or by telephone to make an attempt at an informal resolution within the following ten (10) workdays.
 4. **Alternative Dispute Resolution** - The Complaint Officer may use a method called Alternative Dispute Resolution (ADR). ADR is a method that provides an impartial facilitator to hear your issue along with the alleged party in an informal setting. This is a voluntary procedure and both sides have to be agreeable to its use.
 5. **Identify your problem in writing** - If the problem remains unresolved after (15) workdays, the complainant must submit their complaint in writing. The Complaint

Officer or its designee may offer to assist them with writing their complaint. The complaint may be in any written format.

The complaint must include the following information: (a) The Complainant's name, address and phone number (b) The nature of the problem (c) The relief requested (d) Any other information you believe would be relevant. The complaint may be mailed to: Executive Director, DE Workforce Investment Board, 4425 N. Market Street, Wilmington, DE 19802 or delivered in person to the same office, or e-mailed to: gwendolyn.jones@state.de.us. Once the Executive Director receives the written complaint, a notification of receipt confirming that that the complaint has been received by the Executive Director will be mailed within five (5) workdays.

6. **Investigation/Fact Finding** - Upon receipt of the complaint, the Executive Director of the Workforce Investment Board and/or the Complaint Officer will review the complaint. The complaint will be assigned to an investigator who will do a fact finding review of the issues. The investigator will make contact with the complainant and the respondent about the issues in the complaint. Based on all of the data gathered the investigator will render a decision within (15) workdays from receiving all necessary information. If the Executive Director or the Complaint Officer is unable to resolve the complaint to the complainants' satisfaction, the complainant may request an appeal hearing before a review committee.
7. **Appeal Hearing** - If an appeal hearing is requested, the Executive Director/Complaint Officer will automatically forward any unresolved issues to the Delaware Workforce Development Board(DWDB) and our Deputy Attorney General for review. The DWDB will send a notification that they have received your complaint. The DWDB will go over the issues and the decisions rendered in the complaint within fifteen (15) workdays. Again the complainant and the respondent may be contacted for an interview either in person or by telephone. The decision of the DWDB will be final and binding.

ITA Providers Seeking an Endorsement for Out of State Business

1. Every state has its own process and forms for ITA approval. When a Delaware provider applies to another state the provider fill out that state's paperwork as appropriate and forward it to the other state. The DWDB will only provide the information requested by the state form and provide no other.

Renewal Milestones						
		Tasks	Provider	DWDB Staff	committee	Executive Director
	Mid -- March	Prepare Demand Occupation List		X		
	Early April	Committee Approves occupation list		X	X	
	Mid May	Attend Provider Forum	X	X		
	June 1st	Submit renewals	X			
	June 7th	Provider Performance results analyzed		X		
	June 7th	Failed Providers deleted from list			X	
	June 10th	Special Reviews Initiated				X
	June 10th	Update DJL		X		
	June 10th	Appeals Accepted			X	X
	June 15th	Ensure Accuracy	X			
	June 21st	DJL Corrections Made	X	X		
	Jun 28th	Final List Correction	X	X		
	July 1st	Final Updated List published on DJL		X		
	July 1st	Appeals processed			X	X

The dates above are for planning purposes. There will be annual changes because dates fall on different days every year.

Initial Provider Steps				
Tasks	Provider	DWDB Staff	committee	Executive Director
Provider requests application information	x	x		
Application submitted	x			
DWDB staff reviews application		x		
DWDB Staff Inspect training site		x		
Recommendation developed for Committee		x		x
Committee Approves/ disapproves application			x	
DWDB Staff notifies provider of approval		x		
Data entered on DJL		X		
Denial letter - if needed- sent to provider				x
Provider reviews DJL entries	x			

Staff makes corrections as necessary		x		
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