# Training Referral and Participant Intake Process

## Arkansas Energy Sector Partnership (AESP)

Accountability Procedure Document

## Participant Eligibility

Although the AESP is required to give program participation priority to specified targeted population segments (as identified under the heading Priority Populations) there is flexibility to include a broad spectrum of individuals (as participants) from varied socioeconomic backgrounds for training purposes.

## Priority Populations

The AESP must give priority for training to the following target populations:

<table>
<thead>
<tr>
<th>Priority Population Segment</th>
<th>Description</th>
<th>Source Documentation</th>
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</table>
| 1) Workers Impacted by National Energy and Environmental Policy | This category includes individuals who:  
1) are currently employed in an occupation in the utilities; transportation and warehousing; manufacturing; construction; mining; quarrying; and oil and gas extraction; or other sectors that have been adversely affected by national energy and environmental policies; and have a notice of termination or lay-off from employment; or  
2) were employed in an occupation in the utilities; transportation and warehousing; manufacturing; construction; mining; quarrying; and oil and gas extraction; or other sectors that have been adversely affected by national energy and environmental policies; and are now unemployed. | Pay stub.  
Employer Verification.  
State MIS.  
Case Notes for current WIA Participants.  
Rapid Response List.  
Notice of Layoff.  
Public Announcement with follow-up cross-match with UI records.  
Public Assistance Records.  
Applicant Self Attestation. |
| 2) Individuals in Need of Updated Training Related to the Energy Efficiency and Renewable Energy industries | This category includes individuals who are currently employed; or were terminated or laid-off or have received a notice of termination or lay-off from employment; or were self-employed but are now unemployed; and can benefit from training that will help them enter or advance in the energy efficiency and renewable energy industries identified in WIA section 171 (e)(1)(B)(ii), and/or will enable them to acquire or enhance skills needed to enter occupations within one or more of the “growth, enhanced, and emerging” green industries in accordance with the funding opportunity in which the grant was awarded. Targeted Energy Efficiency and Renewable Energy Industries include: a) the energy-efficient building, construction, and retrofit industries; b) the renewable electric power industry; c) the energy efficient and advanced drive train vehicle industry; d) the biofuels industry; e) the deconstruction and materials use industries; f) the energy efficiency assessment industry; g) manufacturers that produce sustainable products using environmentally sustainable processes and materials. | Pay stub.  
Employer Verification.  
State MIS.  
Case Notes for current WIA Participants.  
Rapid Response List.  
Notice of Layoff.  
Public Announcement with follow-up cross-match with UI records.  
Public Assistance Records.  
Applicant Self Attestation. |
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| 3) Veterans, or past and present members of reserve components of the Armed Forces | To be eligible for veteran status, individuals must meet one of the following criteria:  
1) A person who served at least one day in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable, as specified in 38 U.S.C. 101(2). Active service includes full-time Federal service in the National Guard or a Reserve component.  
OR  
An individual who is:  
2a) The spouse of any veteran who died of a service-connected disability;  
2b) The spouse of any member of the Armed Forces serving on active duty, who at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power;  
2c) The spouse of any veteran who has total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs; or  
2d) The spouse of a veteran who died while a disability so evaluated was in existence.  
A spouse whose eligibility is derived from a living veteran or service member (i.e., categories b, or c above) would lose his or her eligibility if the veteran or service member were to lose the status that is the basis for the eligibility (e.g., if a veteran with a total service-connected disability were to receive a revised disability rating at a lower level). Similarly, for a spouse whose eligibility is derived from a living veteran or service member, that eligibility would be lost upon divorce from the veteran or service member. | DD-214, Cross match with: Veterans Data  
State MIS records |
| 4) Unemployed Individuals | Individuals who are without a job and who want and are available for work. | Verification from Employer.  
Rapid Response List, Notice of Layoff.  
Public Announcement with follow-up cross-match with UI records.  
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<td>5) Individuals Seeking Employment Pathways Out of Poverty and into Economic Self-Sufficiency</td>
<td>Individuals who reside in high poverty areas, which are areas where the poverty rate is 15% or greater, who demonstrate that they could benefit from skill training that will help them enter or advance in the energy efficiency and renewable energy industries identified in WIA section 171(e)(1)(B)(ii), and/or will enable them to acquire or enhance skills needed to enter occupations within one or more of the “growth, enhanced, and emerging” green industries.</td>
<td>Verification of Poverty Rate using Qualified Census Tract Data (<a href="http://qct.huduser.org/index.html">http://qct.huduser.org/index.html</a>), Verification of All Age Poverty Rate from U.S. Census Bureau’s Small Area Income and Poverty Estimates (SAIPE) Program State and County Data Files (<a href="http://www.census.gov/did/www/saipe/data/statecounty/data/index.html">http://www.census.gov/did/www/saipe/data/statecounty/data/index.html</a>), Proof of Residence in One of the Public Use Microdata Areas (PUMA) where the Poverty Rate is 15% or Greater, Pay Stub, Employer Verification, State MIS, Case Notes for Current WIA Participants, Rapid Response List, Notice of Layoff, UI Records, Public Assistance Records, Applicant Self Attestation.</td>
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<tr>
<td>6) Individuals with a Criminal Record</td>
<td>Individuals who are or have been subject to any stage of the juvenile or criminal justice process, for whom services under under this Act may be beneficial; or who require assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction. ETA includes individuals with a juvenile or criminal record in the definition for this term.</td>
<td>Documentation from Juvenile or Adult Criminal Justice System, Documentation from Phone Call with Court Representatives, WIA Registration Form, Applicant Self-Attestation.</td>
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<td>7) Individuals Impacted by Automotive Related Restructuring</td>
<td>Individuals who reside in any of the following auto-impacted counties of Cleburne, Desha, Greene, or Logan as identified by The Center for Automotive Research.</td>
<td>Proof of Residence in One of the Counties Impacted by Automotive Restructuring: Utility Bill, Pay Check, Government Check, Mortgage Document, Voter Registration Card, Property Tax Receipt, Housing Rental Contract, Bank Statement.</td>
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<tr>
<td>8) High School Drop-Out</td>
<td>Individuals who are no longer attending any secondary school and who have not received a secondary school diploma or its recognized equivalent.</td>
<td>No proof of High School graduation or recognized equivalent exists.</td>
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Training Referral Process

- A Training Referral Form should be completed at the time an individual is referred to an AESP sponsored education/training program by non-profit organizations (via Winrock International). Information collected from the Training Referral Form will serve as the basis for establishing a “referral” record in the referral tracking spreadsheet managed and maintained by Winrock.

- The referring entity (with Winrock’s oversight) will be responsible for completing the AESP Training Referral Form with assistance from the referred individual.

- The Training Referral Form will become a part of the referred individual’s hard copy file at the time of an AESP training program referral.

- The AESP is required to obtain personal information from individuals being referred in the program in order to track program performance outcomes. Individuals will be asked on the Training Referral Form to provide their consent for their information to be used in accordance with measuring program performance outcomes for the AESP program.

Participant Intake Process

- Training providers (i.e., Two Year Colleges and apprenticeship programs) will be responsible for completing the AESP Participant Intake Form with assistance from the program participant/student individual.

- A Participant Intake Form should be completed at the time an individual is starting the education/training program. Information collected from the Participant Intake Form will serve as the basis for creating an AESP program participant record in the RAD system.

- Students/participants requiring supportive services (via Winrock International) - Individuals currently enrolled in AESP training and in need of supportive services are a target population for assistance. The following process will ensure those in need of supportive services can access them.

  ✓ Training provider completes Participant Intake Form
  ✓ Training provider reviews Participant Intake Form to determine those in need of supportive services.
  ✓ On the 15th of each month, training provider emails or faxes the Participant Intake Forms of those needing supportive services to Winrock International.
  ✓ Winrock International will follow-up with supportive service candidates by the end of each month.
Training providers will maintain individual files on all program participants being served through the AESP program. The file should include all intake forms and other pertinent documentation as described within the student files section of this document.

Training providers will need to ensure that all individual participant files are kept secure and handled with confidentiality to maintain the individual’s right to privacy and data security.

The AESP is required to obtain personal information from individuals participating in the program in order to track program performance outcomes. Individuals will be asked on the Participant Intake Form to provide their consent for their information to be used in accordance with measuring program performance outcomes for the AESP program.

Student Files

A hard copy (or electronic versions) file for each program participant shall be created and maintained by AESP training providers (i.e., apprenticeship programs and Two Year colleges) during the duration of the AESP grant. The file should be identified as an AESP program participant with the student’s name.

The student file should include the following information:

Admissions Documentation

1. Completed AESP Training Referral Form (where applicable)
2. Completed AESP Participant Intake Form
3. Verification of Selective Service Registration (male students)
4. Copy of participant’s Social Security card (social security number)
5. If a participant/student is identified as one of the priority populations (i.e., one of the population segments identified) include source documentation records to verify priority population status
6. Copies of pertinent financial aid documentation – if applicable (e.g., FAFSA, etc.)
7. Copy of applicable program admissions notification(s) from training provider
8. Identification of program/course/educational path being taken by participant/student
9. Any pertinent verification of employment documentation (i.e., copy of pay stub)

Subsequent Documentation:

1. Final grade reports upon completion of training/education
2. Copy of Certificate of Completion, Proficiency, etc. related to successful completion
3. Notations – Any pertinent comments applicable to the training participant (e.g., if they exit the program early potential reasons/issues as to why?)

All participant/student files will need to be stored in a secure environment due to the personal nature of the information.
DOL RAD Reporting System (program-based reporting)

The online Recovery Act Data (RAD) System became fully operational on July 30th, 2010. The RAD online system will be used for “program-side” DOL reporting requirements (i.e., Performance Report - form 9153 and Narrative Report). The system has been designed to create an individual participant record based on the data elements required in the Quarterly Performance Report (form 9153). Designated sub-grantees will be allowed access (via pass codes) to the RAD system and will be required to enter and update individual participant-level information in the RAD system. Designated sub-grantees will create a record in the RAD system for individual trainees/students participating in the AESP program. The new individual participant record will be based on information collected from the AESP Participant Intake Form. Program participant information can be entered/updated at anytime during the reporting period.

The RAD system will automatically compile/aggregate individual participant level data entered into the system for Quarterly Performance reporting purposes and submission to DOL (by DWS/Authorized Grantee Representative). The Authorized Grantee Representative (DWS/AESP) will certify the data for accuracy and submit the data to meet DOL Quarterly Performance Reporting requirements based on the Reporting Deliverables Schedule.

For Narrative reporting purposes, the Authorized Grantee Representative (DWS/AESP) will upload (via the RAD system) on a quarterly basis, one aggregated Narrative Report for submission to DOL. Designated sub-grantees (AATYC, AAC, and Winrock International) will provide “rolled-up” Narrative Reporting on a monthly basis (by the 15th of each month) to AESP.