# Table of Contents

PREFACE: LOCAL WORKFORCE DEVELOPMENT PLAN ................................................................. 2  
  Introduction ......................................................................................................................... 2  
  Local Vision ......................................................................................................................... 2  
  LWIA 5’s Local Workforce Development Plan Priorities ...................................................... 3  

CHAPTER 4: OPERATING SYSTEMS AND POLICIES .................................................................. 7

CHAPTER 5: PERFORMANCE GOALS AND EVALUATION ...................................................... 29

CHAPTER 6: TECHNICAL REQUIREMENTS AND ASSURANCES .............................................. 33
  A. Fiscal Management .......................................................................................................... 33
  B. Physical and Programmatic Accessibility ........................................................................ 33
  C. Plan Development and Public Comment ........................................................................ 34
PREFACE: LOCAL WORKFORCE DEVELOPMENT PLAN

Introduction

The Illinois Local Workforce Innovation Area 5, comprising Kane, Kendall and DeKalb Counties connects employers to a skilled workforce and helps individuals develop the skills needed to thrive in the workplace. Under an intergovernmental agreement executed in 2015 between the Counties of Kane, Kendall and DeKalb, the Kane County Chairman has been designated as the Chief Elected Official to serve as the administrator for the local area, with Kane County serving as the grant recipient and fiscal agent. This local plan, in concert with a regional plan jointly developed with the other local areas in Northeast Illinois, will serve as the strategic roadmap for the implementation of the Workforce Innovation and Opportunity Act.

This plan establishes the framework for the workforce system, which encompasses the work of four core partners, including: the Kane County Office of Community Reinvestment Workforce Development Division, which oversees Title I youth, adult and dislocated worker programs; Elgin, Kishwaukee, Waubonsee Community Colleges administering Adult Education and Family Literacy programs; the Illinois Department of Employment Security, which administers the Wagner-Peyser Employment Services and Trade Re-Adjustment Assistance; and the Illinois Department of Human Services Division of Rehabilitation Services, which carries out vocational rehabilitation services.

This plan presents strategic priorities for the four-year time frame this plan will be in effect and the operational framework under which the local workforce system will operate.

Local Vision

The Workforce Innovation and Opportunity Act encourages local boards to provide leadership and to deliver on strategies that support business competitiveness and growth, as well as strategies that assist our residents to acquire skills valued in the labor market. LWIA 5 is embracing this vision and has leveraged the creation of this local plan to develop a roadmap that will: result in an aligned and responsive set of seamless services to employers and job seekers and support the economic growth and prosperity of our three-county area. We strive to become the hub where employers come to hire and train their workers, where individuals turn for the information and support they need to develop their skills and enhance their marketability, and where economic development views the workforce system as a full partner in bringing new companies to the region.

To develop this vision and the priorities and strategies that support it, LWIA 5 was informed by:

- The needs and opportunities identified through the data presented in Appendix I
- Input from public and private sector leaders, local Board members, partners, and stakeholders across the three-county region
- The experience and insight of system staff
- The Service Integration Action Plan as prepared by the Partners of LWIA 5
- Guidance provided by the State of Illinois
- National best practices
**LWIA 5’s Local Workforce Development Plan Priorities**

Our priorities, in alignment with the strategies set forth in the Unified State Plan, will focus on:

1. Strengthening relationships with, and services to, employers in key industry sectors across the region.
2. Working with economic development and business groups to support business growth.
3. Increasing the visibility and alignment of the local workforce development system’s processes and connections to better serve customers.
4. Building career pathway models to assist job seekers in moving from their first job to a career.
5. Continuously developing strategies to explore improvement amongst systems and services to support these priorities and the strategies required to achieve them.

**Engage employers across the three-county area, especially those in key employment sectors.**

In collaboration with the core partners, the local area will support the creation of a robust talent pipeline into entry-level and middle-skill jobs with on and off ramps for skills development as students pursue their career advancement in the three-county area. In order for this work to be successful, we will undertake the following:

- Consult with existing sector-focused employer groups such as the Career Tech Advisory groups convened as a requirement of the Perkins Act – to identify mutually identified goals and strategies across all workforce-related programming and to reduce duplication of effort.
- Share employer contact information with all system partners through means identified in collaboration with those partners.
- Coordinate employer outreach, particularly among core partners who also work directly with employers.
- Identify local in-demand occupations and the knowledge, skills, abilities, and credentials required for those jobs.
- Align system services, including investments in training, to ensure job seekers have access to pathways that enable them to acquire the knowledge, skills, abilities and credentials required for in demand jobs.
- Ensure populations prioritized for service – such as Veterans, individuals with disabilities, women, minorities, and others identified by the State of Illinois – have access to, and are hired into, in demand jobs.

The LWIA will work with employers, Illinois Department of Employment Security (IDES), Vocational Rehabilitation, community colleges, organized labor, and industry associations to achieve this priority.

**Coordinate with economic development and business groups to support business growth.**

The local workforce system will engage in activities that strengthen business creation and growth in the three-county area. In order for this work to be successful, we will undertake the following:
• Partner with economic development, Chambers of Commerce and other business-serving groups across the region to amplify the voice of small businesses and entrepreneurs and inform the focus and investments of the local Board.
• Provide upskilling support to incumbent workers, with a specific focus on large local companies.
• Partner with business incubation organizations to help leverage workforce services to encourage entrepreneurship and innovation of future business leaders.
• Continue efforts by the Business Service Team who meet regularly to discuss local business needs and how partner programs and facilitate solutions. The Business Services Team will enhance coordination, share information, and manage and facilitate partnerships among WIOA-system Partners to provide services to the business community.
• Educate customers and partners, including secondary schools, about the workforce needs of small businesses/entrepreneurs and ensure job seekers have access to the training required by those employers.
• Leverage on-the-job training, work-based learning, and other employer-focused resources to assist small businesses and entrepreneurs to grow their workforces.

The LWIA will work with the Business Services Team, which includes representatives from Elgin Community College, Kishwaukee College, Waubonsee Community College, IDES and Vocational Rehabilitation to achieve this priority.

**Increase focus on building the workforce system’s connections to partners and other service providers in service to business and job-seeker customers across the three-county area.**

The local workforce system will enhance services to job seekers through greater alignment and collaboration with formal WIOA system partners and other agencies and organizations, through a range of activities and in alignment the area’s Action Plan for Service Integration. To this end, the local area will look to achieve the following:

• Engage with key partners and stakeholders on a continual basis to ensure strong communication across partners, with the ultimate goal of providing direct and efficient access to Partner programs which will result in more seamless service to job-seekers and employers and – ultimately – better outcomes for all customers.
• Standardize and strengthen the co-enrollment processes across core partners, including cross-training that provides a clear understanding of the roles of each partner, to ensure all job-seeker and employer customers can seamlessly access all workforce-related services for which they are eligible.
• Develop, in collaboration with key partners, customer referral and hand-off processes, ensuring that all job seeker customers receive the services that best match their needs and goals regardless of where they first seek services.
• Leverage insights from “secret shopper” programs going on around the region, incorporating insights to improve customer service locally.
• Coordinate with customer service trainings being delivered regionally to support professional development for all customer-facing staff.
The LWIA will work with core partners (including Title II) and one-stop partners, community-based organizations, and other organizations based on an inventory of customer needs to achieve this priority.

Support a career pathway model in targeted industries.

The local area will implement a career pathway model that helps individuals become economically stable and provides employers with skilled talent that meets industry demands. To achieve this, the local workforce area will:

- Recruit industry experts, area employers and education/training providers to advise the development of career pathway programs.
- Identify employment tracks appropriate to career pathway work, characterized by clear and attainable entry and advancement requirements.
- Recruit employers and local educators as active partners in career pathways development.
- Recruit talent from three priority groups to enroll in career pathway programs: young people, including individuals with disabilities transitioning from secondary school to the workforce; Title II program participants; and other individuals prioritized by the State of Illinois under WIOA.
- Connect local area high schools with employers for development and expansion of internship programs.
- Support expansion of entrepreneurship training delivered by schools, community colleges, and small business development centers to build new pathways for workers whose next career steps may include launching their own business or improving entrepreneurial skills.

The LWIA will work with Title II Providers, Perkins, Secondary Education, and employers to achieve this priority.

Adapt to needs as they evolve to improve systems and services, exploring opportunities for service enhancement.

The local area will share and implement promising practices to enhance the local workforce system and services to customers. To achieve this, the local workforce area will:

- Enhance internal expertise in the USDOL’s customer-centered design process to facilitate system improvements
- Build upon the Action Plan for Service Integration
- Evaluate data, policies, and processes against desired outcomes to ensure they support the best possible outcomes for employer and job seeker customers.
- Leverage and promote the services of 2-1-1 where it is available to individuals in search of basic human needs, physical and mental health resources, crisis intervention services, employment supportive services (transportation, job training, education programs), support for older individuals and those with disabilities, and support for children, youth, and families (after school programs, family resource centers, mentoring, tutoring, etc.).
- Develop a shared marketing strategy and online presence in the form of a LWIA 5 website with regular updates, and social media accounts.
The LWIA will work with all partners of the local workforce system to achieve this priority.

Partnerships & Collaborations

The local area has numerous assets that focus on the economic development of the three-county area and the well-being of the region’s residents. The local workforce development system is the nexus of these two interests. Providing established and emerging businesses with a talent pipeline and training resources to upskill current employees, connecting job seekers to training and resources essential to workforce success essential to a thriving economy. We recognize, however, that these efforts can by amplified through collaboration with economic development and people-serving organizations, including community colleges, other training providers, and groups providing workforce-related or supportive services to job seekers.

Local Board

LWIA 5 is overseen by the Workforce Development Board for Kane, Kendall and DeKalb Counties (Board). Under an Intergovernmental Agreement between the Counties of Kane, Kendall and DeKalb, the Board is charged with the task of promoting a comprehensive and high-quality workforce development system. Board members collaborate with the CEOs to improve and align employment, training and education programs under WIOA that promote economic growth in the three-county area. The Board is staffed by the Kane County Office of Community Reinvestment – Workforce Development Division.

The Board is composed of representatives from business, workforce, education and training, economic and community development, and mandated partners as required under WIOA and by the state. CEOs appoint at their discretion when seats are available. Board membership is apportioned to each county based on the most recent decennial census population data. All board members take part in a training to orient them to the Board’s work, and the mechanics of the workforce system.

The Board provides strategic oversight of the local workforce system, with a focus on planning and policies. Specific responsibilities include approval of service and expenditure plans, contract authorization, review of program performance and financial status, and oversight of training programs available in the local area.

Quantitative and qualitative system data, local workforce trends, metrics, and the expertise and experience of its members to inform its work.

The Board has a chairman and vice chairman who are elected by the members from among the business representatives. There is a standing Executive Committee whose board oversight functions are outlined in the bylaws. The One-Stop Committee of the Workforce Development Board, which was established in 2019, is representative both of the three counties that make up the local area and the board membership overall. They meet regularly to oversee the performance of the One-Stop Operator sub-recipient and discuss matters that pertain to the partners area-wide.
CHAPTER 4: OPERATING SYSTEMS AND POLICIES

A. Coordination of Planning Requirements. This plan will incorporate the Memorandum of Understanding and Service Integration Action Plan and include the following statements in this chapter:

The Local Workforce Innovation Area (LWIA) 5 Memorandum of Understanding provides a description of the one-stop delivery system, and other information that is essential to the establishment and operation of effective local workforce development systems as required by the WIOA Rule (20 CFR Part 678.705). The Memorandum of Understanding and any subsequent modifications is incorporated by reference into this plan.

The Local Workforce Innovation Area 5 Service Integration Action Plan provides a description of how local workforce partners will align and coordinate services as required by the State of Illinois Service Integration Policy (WIOA Policy Chapter 1, Section 13). The Service Integration Action Plan and any subsequent modifications is incorporated by reference into this plan.

LWIA 5’s primary services are its Illinois workNet Centers. There is one comprehensive center in the three-county area. For a number of years the site was located in North Aurora, but the Board and partners have determined that a new location for the comprehensive center will improve services, facilitate expanded service integration among partners, and enhance access, in particular improving access to public transportation. The new location will be located at 143 1st Street, Batavia IL 60510 and will continue to offer the full range of WIOA services from all partners, directly on-site and through direct linkage, including:

- A resource room with accessible computers and staff assistance.
- Scheduled workshops and job clubs.
- Labor market and Illinois workNet information.
- Assistance with filing unemployment claims.
- Accessibility and translation services.
- Initial assessment, as well as comprehensive and specialized assessment when indicated.
- Eligibility determination.
- Intake.
- Job placement.
- Career planning, including the development of employment plans and resume and interview preparation assistance.
- Referral to partner entities, including but not limited to those that provide academic remediation and literacy services.
- Access to training through Individual Training Accounts, consistent with the individual employment plan.
- Case management.

All employment services, including training, are informed by the requirements of local employers. These requirements are identified by the Business Services Team, which works directly with employers and business organizations, as well as by openings posted in the Illinois workNet system and other job sources. Most services are available to customers on-demand during normal business hours. Individualized assessment and career planning services may require a follow up appointment.
To the benefit of all job seekers, the LWIA 5 staff hosts hiring events, IDES organizes recruiting events on site at the one-stop center, and the Community Colleges organize and host job fairs.

Additionally, required career services are provided at the one-stop center in the most inclusive, appropriate, and accommodating setting for individuals with disabilities in order to achieve effectiveness in both physical and programmatic accessibility. The One-Stop Center Accessibility Compliance Checklist (Facility Accessibility Survey) and Contractor/Service Provider (Self-Evaluation Tool) provided by the DCEO Office of Equal Opportunity Monitoring and Compliance are completed by the Equal Opportunity Officer annually to ensure that clients with disabilities have uninhibited access to services and are appropriately accommodated to meet their needs. The survey and evaluation tool address and answer the questions on whether facilities are physically and programmatically accessible for individuals with disabilities. They are used to determine if WIOA programs and services are accessible and whether there are policies and procedures in place that address areas such as accessible parking, doors and doorways, signage, request for reasonable accommodation and auxiliary aids, wheelchair accessibility, TTY services, EO Posters, sign language interpreter services, staff acknowledgement of EO/Non-discriminatory policies and procedures.

The availability of assistive technology and other resources for individuals with disabilities is assessed as part of the survey and evaluation tool, evaluating the availability of items such as large screen monitors, trackball mouse, scanning/reading software, enlarged keyboards, web page reading software, adjustable keyboard trays, alternative formatted materials (Large print, Braille, Audio-tape). Inventory is reviewed as part of the assessment to assure the availability of the required assistive technology and alternative sources at the one-stop center.

Title I coordinated with the Department of Human Services/Vocational Rehabilitation to ensure adequate accessibility that meets the needs of customers visiting the one-stop center. Examples of accessibility features specific to the local area’s one-stop center are listed below. Other accommodations will be made for individuals as necessary.

- Access to public transport via fixed-route Pace bus service
- ADA-compliant automatic entrance with push actuator
- ZoomText Magnifier/Reader software
- Dragon Speech Recognition software
- Home Page Reader – self-voicing web browser
- Video-phone and TTY technologies
- Standing and height-adjustable desks

The one-stop center provides on demand access to the required career services as outlined in the Governor’s Guidelines. Programs participating through either on-site or direct linkage via telephone technology include:

- Adult, Dislocated Worker and Youth Programs (Title IB)
- Temporary Assistance for Needy Families
- Wagner-Peyser
- Trade Adjustment and Readjustment Assistance
- Unemployment Compensation
- Veterans Job Counseling
Efforts will be made over the course of the planning cycle to address additional possible means of incorporating more onsite participation along with new direct linkage technology to improve access to the one-stop center, such as video technology.

As required by WIOA and State policy, LWIA 5 initiated a full and open procurement process for a one-stop operator in Program Year (PY) 2016, with the procured operator in place as of July 1, 2017. The Kane County Office of Community Reinvestment released a formal Request for Proposals on behalf of the Board and in accordance with the established procurement policy on March 30, 2017. All proposals were required to be submitted by April 19, 2017 before being opened publicly. The three-year renewal cycle will conclude June 30, 2021 and therefore within Program Year 2020 LWIA 5 expects to go out for bid once again to comply with procurement policy.

The operator’s primary roles consist of service coordination, partner engagement, tracking and reporting, facility operation and administrative coordination. The operator is responsible for carrying out the formal PY 2020 Memorandum of Understanding to establish more seamless referral processes among partner agencies, as well as the priorities and practices outlined in this plan. The operator convenes WIOA system partners, facilitate continuously improving interactions among those partners, and oversees daily center service operations. The operator measures the customer satisfaction, as well as ensures resource linkages occur between Partner locations and the one-stop center. The operator works directly with the partners and the Board on all aspects of established contract goals, reports, objectives and deliverables. The roles and scope of work of the operator will comply with all WIOA and State policy.

B. Provide information regarding the use of technology in the one-stop delivery system, including a description of:

- How the workforce centers are implementing and transitioning to an integrated, technology-enabled intake and case management information system for WIOA programs
- How the Local Board will facilitate access to services provided through the one-stop delivery system including in remote areas

The Board will implement any state-led initiatives to improve the public-private data infrastructure related to an integrated, technology-enabled intake and case management system. LWIA 5 recognizes that many technological solutions must come from the State level, particularly in terms of any case management system which would require a statewide system to be integrated across WIOA partner program. LWIA 5 will be pleased to work toward such a goal and adopt any such system that can be developed. Meanwhile, the partners continue to explore opportunities to improve integration, such as using a customer relationship management program, or coordinating with an existing system used by a neighboring workforce system.
The Board will also consider investing in proprietary software to manage, develop, and improve programs and services offered to customers of the one-stop system. As part of the priority to provide higher visibility into system processes and connections to providers across the three-county area, the Board is committed to identifying common needs to job seekers and employers served by multiple agencies, ensuring access to services through affiliate workforce services sites, mobile staff, or technology where appropriate. This will facilitate access to services provided through the one-stop delivery system, including remote areas.

C. Describe how the Local Board will support the strategies identified in the Unified State Plan and work with entities carrying out core programs, including a description of:

Expanding access to employment, training, education and supportive service for eligible individuals, particularly eligible individuals with barriers to employment (Sec. 679.560(b)(2)(i)).

The LWIA 5 is committed to expanding on-demand access to services, starting with enhanced collaboration and increased co-enrollment among its core partners.

Specifically, the Board will work to expand access to employment training, education and supportive services for eligible individuals, particularly individuals with barriers to employment by working with entities carrying out core programs in several ways. The establishment of the One-Stop Committee of the Board has increased the communication and collaboration among the core partners. Cross-training has been established as one of the goals in the Memorandum of Understanding (MOU) as a means of educating all one-stop partners in order to improve each partner’s knowledge and understanding of programming and services available. The one-stop partners meet quarterly, and the One-Stop Operator has created a one-stop partner matrix that outlines programs and services available at the one-stop center. The Operator serves as the centralized point of contact for announcements, events, promotional materials, and job vacancies, and provides this information to the partners weekly to keep everyone abreast of opportunities for staff and job-seekers alike. The Operator also established a Coordinated Referral Process which includes providing general information regarding partner programs, services, benefits and resources to all customers as appropriate. Partners are implementing the referral guidelines and streamlined templates with electronic routing options, which allows the Operator to track referrals and report back on outcomes.

Additional goals outlined in the MOU include:

- Offer a comprehensive array of services that are responsive to the individual needs of local customers
- Reflect innovative and effective service design
- Maximize the availability of resources available through each partner
- Provide accessible services to all individuals
- Encourage and support customer choice to the extent possible and appropriate
- Reduce duplication of services through the integration of services development of common processes, systematizing referral and customer flow processes, cross-training of staff, and building of system-wide teams of partner staff delivering similar/same service
- Provide the highest quality customer service possible
- Operate with integrated management systems and high-quality staffing to meet or exceed performance outcomes for their responsive programs.
• Engage in continuous improvement.
• Partners of the local workforce system agree to engage in quarterly planning meetings to assist the one-stop operator in developing processes/procedures for a coordinated customer service strategy to better serve customers, particularly those with barriers to employment.

Scaling up the use of Integrated Education and Training models to help adults get their GED and work on other basic skills and English language acquisition while earning credentials and industry-recognized credentials that lead to in-demand occupations.

LWIA 5 works to provide services in keeping with the State Plan goal to “provide integrated education and training that provides adult education and literacy activities, concurrently and contextually with both, workforce preparation activities, and workforce training for a specific occupation or occupational cluster.” (State Unified Plan Draft, Appendix B). The community colleges work to blend adult education and basic skills acquisition, including English Language Acquisition (ELA) into training programs through “Bridge Program” models and other training.

LWIA 5 will explore the development and sustainability of micro-credentials that can be stackable and lead to career pathway development. The local workforce systems acknowledge the challenges adults face when pursuing their GED and industry-recognized credentials such as limited time commitment, financial barriers, and parenting obligations. These micro-credentials will provide the opportunity for short-term training by the employer during work hours to help support adults integrate their education with training.

Using the insights and lessons learned from successful dual credit programs to scale up similar efforts in other sectors and regions.

The LWIA 5 has experienced successful activities that were the result of dual credit programs and will continue to leverage best practices to ensure participants can be streamlined to meet the needs of the workforce. Lessons learned include:

• Provides the opportunity for students to become more aware of programs available at postsecondary education
• Dual credit programs reduce the amount of time and costs absorbed by the student. The increasing costs of postsecondary education can limit some students’ opportunity for course enrollment, but with reduced time and cost, more students are able to take advantage of enrollment, in part due to dual credit programs
• The most common dual credit programs are Math, Speech, and English
• Adult Education is not eligible for dual credit programs since their students are not typically in high school
• Accelerate Credit at Elgin Community College – ECC offers 1-year and 2-year programs that provides students the opportunity to earn transferable credits. The 2-year program provides the opportunity to complete either an Associate in Arts or an Associate in Science degree.
• Dual credit programs are offered to juveniles at the Kane County Department of Corrections facility; however, the greatest challenge has been for individuals to complete a program before
being released. The combat this, inmates can appeal to their Judge for an extension of their incarceration to allow for the completion of their dual credit program.

Determining the most effective marketing methods and messages for informing college and university students about Prior Learning Assessments.

One of the most effective marketing methods for informing college and university students about Prior Learning Assessments is through direct communication and interaction with students. WIOA staff have addressed students in Adult Education classes to help bridge the information gap and have brought information materials to distribute. The area’s community colleges and universities all have career services departments with staff available to help students find employment. Workforce system partners will work to expand on-site activity in conjunction with these departments to provide education on PLA opportunities as well. The partners will work with colleges and universities to identify national best practices on PLAs and the occupational areas and degree programs with the most promising opportunities to begin recognizing prior experience and industry credentials not yet recognized within college programs.

Waubonsee College for instance has a robust list of credits that can be awarded for industry credentials students have already earned elsewhere. There are many courses that can both count as credit toward a journeyman card and an AAS credential in fields like construction and the skilled trades. One challenge students face is that PLA credits often appear with a different notation on a college transcript so may not readily transfer with the same value to a university. LWIA 5 will continue to support statewide work being driven by the State Board of Education to expand policies recognizing credits workers have achieved through industry credentials as well as less formal experience or workplace achievements.

The local area has previously experienced challenges with dual credit programs where credits are not always recognized by four-year universities. Community colleges have explored Articulated Credit options which permits high school students who earn a specific letter grade in their high school course to earn credit for a similar course at the community college.

Investigating how targeted marketing can identify segments of the labor force, such as mature workers and the underemployed, who may not require extensive education or training to qualify for jobs in high demand occupations.

The LWIA 5 has worked to ensure information is available to targeted populations of the labor force. The Illinois workNet Center and its One-Stop Operator have developed rotating flyers and information materials specific to targeted populations. Targeted monthly mailings in the community to mature workers and veterans has increased awareness of the local workforce system and in-demand jobs.

Community outreach have been effective at broadcasting jobs to a larger audience, part of which includes mature workers and underemployed. Partners have hosted community events and will continue to collaborate with community-based organizations, faith-based organizations, chambers of commerce, economic development, and others to inform targeted populations of jobs that may not require extensive education or training. Some partners have posted flyers at local businesses that attract mature populations or underemployed. The One-Stop Operator will continue to lend a staff person to the library
for occasional information sessions to inform the community of services available at the Illinois workNet Center.

With unemployment being so low, front-line staff and employers have had to develop innovative strategies to find talent. IDES has started outreach efforts directly to individuals who are to be released from incarceration by informing them of employers in the local workforce area who are willing to hire them despite their criminal record (though dependent on the offense).

Social media has continually proven to be a strategic marketing effort for targeting specific populations in the labor force. An advertisement of social media platforms like Facebook can target geographic areas and populations by age. Clicks on these advertisements are monitored and tracked, which helps partners and front-line staff continue to improve targeted marketing efforts. The Board will continue to use inexpensive targeted marketing outreach efforts like social media to reach segments of the labor force.

Some community colleges in the three-county area have started focusing targeted marketing to adults who have some college experience but may not have completed a degree. They have worked with employers to identify these populations as well as conducting online marketing and handouts to entice mature workers to complete their degree. Kishwaukee College, for example, is communicating with employers to ensure these populations are guaranteed a job, or at least an interview, upon completion of their program. Elgin Community College’s Foundation has offered scholarship funds to these individuals as a way to get them enrolled in courses and complete their degree.

**Facilitating the development of career pathways and co-enrollment as appropriate, in core programs** (Sec. 679.560(b)(2)(iii)).

The Board will facilitate the development of career pathways and co-enrollment, as appropriate, in core programs. In meeting with the core partners, the development of a referral process has aided in identifying opportunities for co-enrollment. Quarterly partner meetings facilitated by the One-Stop Operator include conversations for how the LWIA 5 can avoid duplication of services and co-enroll students.

The development of career pathways has been identified as a priority in this plan and will incorporate input and planning from each of the core partners. The Board will continue to leverage labor market information data to make data-driven decisions for career pathway development so that the results address the needs of the local economy. Title II partners have been identified as a key stakeholder in this process and will help collaborate and align resources in this effort, such as data-sharing, curriculum development, and supportive services. Areas of duplication will be identified through the development process as well.

Kishwaukee College is a participating college with nine other Illinois Community Colleges that were awarded the Customized Apprenticeship Programming – Information Technology (CAP-IT) Grant. The Information Technology pathways include IT Generalist/Network Systems, Information (cyber) Security and Programming and Software Development. Certifications earned and Prior Learning Credit programs include Google IT Support Specialist, CompTIA Net+, MCSA 1 Server, MCSA 2 Server and CompTIA Secure leading to a Basic Networking Certificate from Kishwaukee College. The project focuses on high-demand occupational pathways in the Information Technology Pathway Sector and uses a model that allows
multiple on-ramps for apprentices at various skill levels. It includes pre-apprenticeship bridge programs, pre-apprenticeship and apprenticeships both non-registered and registered. The project goals include expanding existing industry-led customized apprenticeships through IT sector partnerships, innovating new apprenticeship models for pilot/expansion and scaling and expanding apprenticeship models nationally. Each college will be working with various employers in the development and implementation of their apprenticeship models.

Kishwaukee is also participating in a national project led by Jobs for the Future and funded by Google.org to support implementation of the Google IT Support Professional Certificate training which will help prepare individuals for entry-level jobs in IT support in less than six months. Kishwaukee College has incorporated the program’s lessons into its existing courses beginning with Spring 2020 offerings.

Kishwaukee College has started internal conversations around developing career pathways within healthcare and office systems. The LWIA 5 will be working closely with the educational partners to ensure curriculum within these programs are aligned with the needs of industry employers. Kishwaukee College has also bridged services by having staff from the Illinois workNet Center visit the Adult Education classes to inform students of the services available in the community, as well as training. Leveraging the Illinois Career Information Systems (CIS), Kishwaukee College is able to inform students about jobs available in the area and connect with workNet Center staff to secure employment.

Some employers in LWIA 5 have embraced apprenticeships which has led to stronger collaboration with the Board and its partners. Industry advisory boards have been developed to further expand work-based learning, particularly in targeted industry sectors such as manufacturing, healthcare, professional services, and heating, ventilation, and air conditioning (HVAC) to further develop and expand career pathways in welding, nursing, and office systems.

Kishwaukee College and Northern Illinois University has begun collaborations with local high schools to develop a career pathway in cybersecurity and information technology (IT). Elgin Community College has also identified three other industries with which they anticipate developing and expanding career pathway programs: manufacturing, healthcare, and early childhood education. These partnerships position Elgin Community College to develop a career pathway program that offers education and training from entry-level positions to technical positions.

**Improving access to activities leading to a recognized post-secondary credential (including a credential that is an industry-recognized certificate or certification, portable, and stackable) (Sec. 679.560(b)(2)(iii)).**

The Board recognizes the opportunity career pathway programs provide for both individuals looking to become economically stable, and for employers requiring a productive, experienced workforce to thrive. The Board will work to establish the foundation necessary to begin designing career pathway models.

As part of the career pathway model development, emphasis will be placed on activities leading to a recognized post-secondary credential, including industry-recognized certificates or other portable/stackable credentials. The Board’s strong partnerships with the community colleges and local economic development organizations will complement these efforts in both directing and improving access to these types of credentialed programs.
Title I maintains a presence on the Elgin Community College campus to facilitate referrals and avoid any duplication of services. Career pathway development carried out over the course of the plan, in collaboration with the workforce partners, will also work towards identifying potential stackable credentials. The Community Colleges in the local area also seek to encourage programs leading to credentials, such as through the Integrated Career and Academic Preparation System (ICAPS) program. The ICAPS program serves adult education students (including ESL, Adult Basic Education, and Adult Secondary Education) and simultaneously provides basic skills instruction that is contextualized to a specific industry sector and credit-bearing, industry-recognized, college coursework that leads to a credential for jobs with self-sustaining wages. ICAPS integrates technical training and basic skills education in a team-taught environment, leading to industry-recognized credentials and opportunities to continue on a career pathway.

D. Provide information regarding the local coordination strategies with state (including the Unified State Plan), regional and local partners to enhance services and avoid duplication of activities, including a description of each local partner and key elements listed in the following section:

The priorities incorporated into this plan include efforts to enhance services to customers through greater alignment and coordination, and incorporate goals identified through Service Integration. To this end, the local area will look to achieve the following:

- Further strengthen and follow the established referral processes across core partners, including cross-training that provides a clear understanding of the roles of each partner, to ensure all job-seeker and employer customers can seamlessly access all workforce-related services for which they are eligible. A Partner Referral Contact List is updated monthly by partners during monthly check-in meetings led by Board staff.
- Engage with key partners and stakeholders to develop referral and hand-off processes that result in more seamless service to job-seekers and employers and – ultimately – better outcomes for all customers. Activities will include ensuring follow-up on referrals, monthly review of referral outcomes and an enhanced referral spreadsheet.
- Continue to use the Operator-created resource directory that includes the workforce and workforce-related services available to key groups (e.g. Veterans, Individuals with Disabilities, Youth) to facilitate greater collaboration and less duplication of effort. Expand this into a more comprehensive Partner Resource Guide with current valuable information on all LWIA 5 partner programs.
- Identify common needs of job seekers and employers served by multiple agencies, ensuring access to services through affiliate workforce service sites, mobile staff, or technology where appropriate.
- Provide continual training and cross-training to front-line staff and all staff so that they are better informed and aware of services and programs available by all partner programs for their clients. LWIA 5 trains staff on program highlights and other Partner-related information and delivers cross-partner training on career pathways, LMI systems, and Illinois workNet Center orientation for front-line staff. All of these will better support staff efforts to advise, inform and serve clients and increase referrals.
• Create intentional and efficient outreach to the business community. The LWIA 5 has established a partner business service team, tasked with identifying new and improved ways in which the One-Stop and WIOA system can assist businesses. The joint business service team convenes regular meetings and formal and informal interaction processes among the business service team. Membership of the business service team includes representatives from appropriate partners, including representatives from each of the colleges in the LWIA 5 (Elgin Community College, Kishwaukee College, and Waubonsee Community College) as well asIDES and Vocational Rehabilitation.

• To avoid duplication of services and further coordinate local efforts, the Aurora Area Planning Council 516 developed a mandatory plan for coordination of adult education programs. This plan identifies services currently being offered to targeted populations, produces a plan for continuing services, and identifies gaps in services. Aside from Adult Education, this Council also includes community-based organizations, faith-based organizations, and higher education.

LWIA 5 recognizes the opportunity under WIOA to streamline services, avoid duplication, and enhance system impact through increased coordination with both core and non-core partners. All of the WIOA system partners were consulted in the development of the priorities outlined in this plan and are active partners in the local workforce system. Representatives of these entities and other partners, including community action agencies and non-profits, will be engaged in the implementation of this plan.

Coordination of services is a major area of focus under this plan and is embedded throughout the local priorities described in this plan. Ultimately, the impact of these efforts will work toward streamlined services to job seekers and employers that optimize resources and amplify the impact of all workforce-related services delivered in the three-county area. Included in these services are Adult, Dislocated Worker and Youth employment and training activities under Title I, Adult Education and Literacy activities under WIOA Title II, Wagner-Peyser Act services, Vocational Rehabilitation service activities under WIOA Title IV, relevant secondary and post-secondary education programs and activities with education and workforce investment activities, and other services provided through the one-stop delivery system such as those outlined in WIOA Sec. 121.

Aligning the services of traditional (core) system partners, broadening the local workforce system’s reach through collaboration with economic development and non-traditional people-serving partners, collaborating closely with existing employer groups, and working to expand collaboration with college industry advisory groups are central to the LWIA 5’s practices under this plan.

Additionally, LWIA 5 will carry out all collaborative responsibilities required by the State of Illinois, including the review of local applications submitted under Title II in alignment with guidance provided by the Illinois Community College Board, and will fully engage in supporting all other partner programs. Information regarding the application review process is currently being developed at a regional level and will be provided once available.

The Board will enhance services and avoid duplication of activities in part through the One-Stop Committee of the Board, which will focus on the local service delivery system. The One-Stop Committee oversees the one-stop operator, works to develop system measures for the service centers, establishes a certification process for the one-stop center, and continually assesses service delivery and coordination.
strategies of all partner programs. This has enhanced services, reduced duplication, increased integration and continues to promote a customer-focused service design.

The One-Stop Operator plays a central role in coordinating activities for the partners of LWIA 5. Staff regularly visit partner locations to ensure connectivity and provide training to staff in order to better informed of partner programs so that they can make appropriate referrals for clients. The One-Stop Operator has created a unified referral process, inclusive of a universal intake form which is regularly monitored and tracked. Partner referrals to other partners are tracked by the One-Stop Operator and the Operator performs routine follow up within 3-5 days directly with the partner to ensure clients are receiving services. In addition, the One-Stop Operator facilitates a Navigator Session to clients referred by partners. During this session, the One-Stop Operator identifies client needs and conducts appropriate referral to partners as applicable.

The Board will also be exploring strategies that will build upon the priorities identified as part of this local plan, leading to enhanced availability of services throughout the workforce system.

**Adult, Dislocated Worker and Youth employment and training activities under WIOA Title I (Sec. 679.560(b)(6)).**

Adult, Dislocated Worker and Youth employment and training activities under WIOA Title I have an established regional relationship with the Workforce Partners of Metropolitan Chicago, which is a coalition of Local Workforce Boards developed over 15 years ago. The Workforce Boards of Metropolitan Chicago undertakes joint grant applications, project coordination and information sharing. In addition to fostering collaboration, regular meetings with the Partners will also aid in avoiding any duplication of activities across the region.

Locally, Title I is co-located with Wagner Peyser at the comprehensive one-stop center. The programs work together to deliver job-readiness and training-related services to customers.

**Adult education and literacy under WIOA Title II. This description must include how the Local Board will carry out the review of local applications submitted under Title II consistent with WIOA Secs. 107(d)(11)(A) and (B)(ii) and WIOA Sec. 232 (Sec. 679.560(b)(12)).**

Adult education and literacy activities under WIOA Title II have a presence on the Board, as do representatives of all the core partners. Title II partners regularly help collaborate and align resources and have been instrumental in facilitating the development of the local plan. Title II partners will be a key contributor to the discussion and implementation of career pathways discussed in this plan.

**Wagner-Peyser Act (29 U.S.C. 49 et seq.) services (679.560(b)(11))**

Wagner-Peyser Act services offered through the Illinois Department of Employment Security (IDES) are currently co-located with Title I services at the LWIA 5 comprehensive one-stop center. This physical co-location facilitates the collaboration and coordination of employer engagement, as well as reduces duplicative services. IDES staff distribute a weekly calendar of events for the one-stop center, informing
all Title I staff of any job fairs, workshops or trainings scheduled throughout the local area. Staff from IDES have been active participants in regional planning efforts, local service planning, as well as the MOU negotiations. IDES is represented on the Board and is a key member of the local Rapid Response team.

**Vocational Rehabilitation service activities under WIOA Title IV (Sec. 679.560(b)(13))**

Vocational Rehabilitation service activities under WIOA Title IV are administered by the Illinois Department of Human Services – Division of Rehabilitation Services (IDHS). IDHS maintains Board representation and participates in policy and program discussion. Title I maintains all assistive technology/equipment at the comprehensive one-stop center, with Vocational Rehabilitation staff providing guidance related to the type of equipment that would be suitable for the needs of those seeking services at the one-stop. Additional collaborative efforts will be identified through the MOU negotiation process for 2020, and duplication of services will be addressed as well.

**Relevant secondary and post-secondary education programs and activities with education and workforce investment activities (Sec. 679.560(b)(9))**

Relevant secondary and post-secondary education programs and activities with education and workforce investment activities are represented on the Board by three Community Colleges: Elgin Community College, Kishwaukee College, and Waubonsee Community College. Staff of these entities are also actively engaged in WIOA activities, representing Perkins, Adult Education, Continuing Education and Business/Professional Services. All three community colleges participate as a provider of Title I services as well, serving youth in the local area. This effectively reduces duplicative services as well, as each entity is in direct communication with the other core partners as a direct service provider. The Board also has representation from the Regional Offices of Education (ROE) for Kane and Kendall Counties, which represents a vital connection for disseminating information throughout the county school systems.

**How the Local Board will support the state strategies identified under section 676.105 and work with the entities carrying out core programs and other workforce development programs, including programs of study and career pathway programs under the Strengthening Career and Technical Education for 21st Century Act authorized under the Carl D. Perkins Career & Technical Education Act of 2006 (20 U.S.C. 2301 et seq.) to support service alignment and needs identified in regional or local level assessments including the Perkins Comprehensive Local Needs Assessment (Sec. 679.560(b)(1)(ii)).**

In support of the strategies identified in the State Plan under 20 CFR 676.105 to work with entities carrying out core programs and other workforce development programs (including those authorized under the Carl D. Perkins Career and Technical Education Act) to support service alignment, Title I career planners refer customers to Career and Technical Education (CTE) programs offered through the community college system when appropriate. CTE under Perkins provides students with the academic and technical skills, knowledge and training necessary to succeed in future careers and to become lifelong learners. CTE program information is available for area residents at the one-stop center, including information concerning career pathways and industry stackable credentials. All workforce development partners
coordinate services in order to best serve the client, including assistance with college tuition, help with obtaining a GED, textbook assistance, help with transportation or mileage reimbursement, or childcare or other assistance needed in order to succeed in a career pathway and obtain employment. Title I staff is also co-located with Elgin Community College as a means of streamlining referrals and avoiding duplication.

The Board will continue to align other services provided in the one-stop delivery system such as investments in workforce, education, and economic development through partnerships and collaboration with entities representing each of these fields. This will ensure job-seekers and workers receive the highest quality career services, education, training, and supportive services in order to obtain and retain in-demand employment. The Board includes representation from each of the WIOA core programs, including representatives from all three community colleges, allowing for formal input related to the direction of workforce activities and initiatives, ultimately aligning resources across the region and eliminating duplicative efforts.

The Vice President of Instruction at Kishwaukee College is a member of the local workforce development board; she coordinates the delivery of information on behalf of the community colleges and provides strategies for CTE programs to the Board. CTE Programs at the area’s colleges are added and re-certified each year on the WIOA Approved Training Programs list to promote high-skilled, in-demand employment. The Local Workforce Innovation Board approves these programs.

Advisory committees perform a vital function at the area colleges, especially in the Career and Technical Education program areas. Local advisory committees are, in many cases, the most effective way to develop and strengthen Community partnerships. The three main roles of advisory committees are:

1. Advise and assess specific areas of the education program and make suggestions and recommendation designed to improve that specific area
2. Assist instructors and/or administrators in carrying out specific activities
3. Support and advocate for the education programs throughout the community.

Provide a copy of the local supportive service policies and describe how the board will coordinate the provision of transportation and other appropriate supportive services in the local area (Sec. 679.560(b)(10)) and include information on the supportive services by each local program as appropriate.

A copy of the most recent Supportive Service policy can be found in Appendix II. This policy is prioritized for review and may be updated based on actual utilization and unmet needs expressed by system customers.

LWIA 5 has a long-standing supportive service policy that outlines provisions for eligible customers to receive assistance for: child/dependent care; transportation; cash assistance for auto repair and other automobile-related costs that directly impact a customer’s transportation abilities, uniforms, tools, or other items required for employment; and emergency services, such as utilities, food, and health/medical services. When possible, customers in need are referred to local community resources to address supportive service needs or to ensure those needs do not become a future barrier to training or work. For
example, a customer in need of health or medical services would be referred to the appropriate community resource or state agency to apply for ongoing assistance.

Referral Process Among Programs

LWIA 5 has worked to further refine the referral processes between core one-stop partners and to put a standardized tracking mechanism in place to better serve system customers. The Operator leads a process in which the partners have agreed to establish a coordinated referral process, which includes information regarding partner programs, services, benefits, and resources to all customers as appropriate. Also included was the creation of referral guidelines and a streamlined template with electronic routing options to facilitate best-practice referral tracking mechanisms. The partners have identified barriers related to organizational policy limiting information-sharing, both in content and related to the methods used to share information. Currently, referrals are made by telephone and email communication between the following programs:

- Title I (Adult, Dislocated Worker and Youth)
- Title II (Adult Education and Family Literacy)
- Title III (Employment Services under Wagner-Peyser)
- Title IV (Rehabilitation Services)
- Perkins/Post-Secondary Career and Technical Education
- Unemployment Insurance
- Job Counseling, Training and Placement Services for Veterans
- Trade Readjustment Assistance
- Trade Adjustment Assistance
- Migrant & Seasonal Farmworkers
- Community Service Block Grant
- Senior Community Services Employment Program
- Temporary Assistance for Needy Families
- ...

The publicly-funded workforce system is designed to increase access to, and opportunities for, the employment, education, training, and support services that individuals need to succeed in the labor market, particularly those with barriers to employment. The one-stop center provides career services that motivate, support and empower customers, including individuals with disabilities and other barriers, to make informed decisions based on local and regional economic demand and effectively attain their personal employment and education goals. All customers are offered opportunities to connect with the full range of services available in their communities, whether they are looking to find jobs, build basic educational or occupational skills, earn a postsecondary certificate or degree, or obtain guidance on how to make career choices.

Title I is regularly in contact with local organizations that serve populations with barriers to employment, including, but not limited to the homeless, low-income, older individuals, ex-offenders, persons with disabilities, English Language Learners, individuals with low levels of literacy, and individuals facing substantial cultural barriers.

Examples of efforts to ensure access for these individuals include:
• The local community colleges offer bridge programs for participants that are basic skills deficient.
• The one-stop center utilizes the services of Propio Language Services, LLC to provide language interpretation services.
• Title I staff maintains a presence on the local Juvenile Justice Council, in an effort to foster connections with local youth service organizations serving participants that may benefit from workforce services.
• Many local agencies consulted regarding the development of this plan serve individuals with barriers to employment, including individuals with disabilities.
• Title I staff participates with the local area planning councils to ensure community needs are addressed.
• Title I makes regular presentations at Continuum of Care to inform community agencies services individuals with barriers of available workforce services.

Detailed information regarding access to services for persons with disabilities is provided in Chapter 4, Section A and Chapter 6, Section B of this plan.

E. Provide a description of how the local area will provide adult and dislocated worker employment and training activities including:

A description and assessment of the type and availability of adult and dislocated worker employment and training activities in the local area (Sec. 679.560(b)(6)).

The needs of adult and dislocated job seekers are highly individualized based on their career objectives, educational attainment, barriers to employment, and transferrable skills. Job seekers require a range of services including basic academic remediation, work readiness skills training, information about local employment, career planning, skills assessment, job search assistance, supportive services such as transportation or child/dependent care support, short or longer-term training, and/or formal education to achieve their goals. These services are available through the comprehensive workNet Center as well as the two offices Title I maintains in the three-county area, both on-site and by referral to partners.

The data and priorities outlined in this plan provide a blueprint for enhanced focus on developing programming specific to the long-term unemployed; providing workforce services to support small business growth and entrepreneurship; targeting training more specifically on the needs of large employers and industry clusters; and prioritizing partnerships to enhance services to special populations, such as individuals with disabilities. LWIA 5 intends to enhance services to adults and dislocated workers overall and to subsets of this population with particularly acute need through its work to broaden the network of referral partners, enhance its referral tracking mechanisms, and focus on the development of sector-specific strategies and career pathways.

A description of how the Local Board will coordinate workforce investment activities carried out in the local area with statewide rapid response activities (Sec. 679.560(b)(7)).

In the unfortunate event that a dislocation occurs in the three-county area, LWIA 5’s Title I team coordinates and supports the rapid response activities with the State Rapid Response Unit (SRRU) at the local level. Title I coordinates with Illinois Department of Employment Security (IDES) staff and the SRRU
to assist local government officials, employers, and workers by providing resources such as funding, technical assistance, and labor market information. Title I leverages the local joint business service team (BST) to support the responses, leveraging business contacts and job development activities of the BST and coordinating BST activities to support the following service plan.

Generally, the SRRRU is the first point of contact for employers for major dislocation events, including WARN and TAA petition notification. Then, the SRRRU contacts Title I to respond to dislocation events by establishing communication with the Board and other rapid response partners including IDES and the US Department of Labor (DOL), initially by telephone or e-mail. From the initial information available, the SRRRU works with Workforce Services Manager and other designated partners to determine the immediate needs of workers and employers to establish appropriate “first steps” in responding as a workforce system and then formulates strategies for planning and carrying out rapid response. Title I then invites a local workforce center and/or labor organization as appropriate. To ensure the effective delivery of rapid response services, Title I and cooperating agency staff also provide rapid response workshops, preferably on site.

Rapid response assistance includes the following activities (coordinated with the SRRU):

- Consultation with the SRRU, state and local economic development organizations, and other entities to avert potential layoffs
- Determination of proposed layoff schedule and what employer plans are to assist the dislocated workers, including the status of any collective bargaining negotiations affecting layoff benefits
- Coordination of the delivery of rapid response layoff orientations for affected workers in conjunction with the State RRU
- Arrangement for participation by local service providers in these sessions
- Assessment of the needs of the impacted workers as quickly as possible through the use of surveys
- Maintenance of an inventory of available workforce resources for onsite meetings to address the short and long-term assistance needs of the impacted workers
- Consultation and coordination with appropriate labor representatives when planning rapid response activities for those impacted workers covered by a collective bargaining agreement
- Verification that procedures are in place for the timely access and referral to workforce centers, services and information offered by WIOA, UI, TAA, Wagner-Peyser and other programs

In addition, when a local rapid response team or local partner becomes aware of a WARN-level layoff or closure event, Title I contacts the SRRU coordinator to discuss the event to formulate strategies for carrying out rapid response activities. When a local partner becomes aware of a layoff or closure event that does not meet the WARN threshold or is not TAA related, it will initiate rapid response per our local operational plan. Title I will inform the SRRU coordinator of the rapid response event and number of attendees. When rapid response activities are near completion, the local rapid response team will notify and coordinate with the one-stop operator.

F. Provide a description of how the local area will provide youth activities, including:

A description and assessment of the type and availability of youth workforce investment activities in the local area, including activities for youth who are individuals with disabilities (Sec. 679.560(b)(8)).
A description of how local areas will meet the minimum expenditure rate for out-of-school youth.

Youth activities are coordinated with the Youth Committee of the Workforce Development Board, which retains representation from each of the three counties. The Committee reviews and selects eligible providers for final approval by the Board and meets regularly during the program year to review and assess performance against negotiated goals.

Assessment, guidance and counseling, and work-based learning activities are at the forefront of LWIA 5’s high-impact program priorities for Youth, who may also access ITAs for occupational training in accordance with State and local policies.

LWIA 5 has moved toward an emphasis on serving older, out-of-school youth who can benefit from occupational training and/or exposure to employment through Work Based Learning opportunities, as the spotlight on disconnected youth has highlighted the importance in connecting this group in particular to the workforce as early as possible. To further codify this focus, the request for proposal issued to procure services for the 2019 Program Year requested that, consistent with WIOA requirements, 75 percent or more of funds must be invested in out-of-school youth. Further, LWIA 5 requires that all youth providers utilize 20 percent of their funding for work-based learning. The Board requires that youth providers submit monthly progress reports on the fiscal and programmatic aspects of delivering youth services, ensuring that the 75 percent Out of School and 20 percent Work Experience benchmarks are achieved annually.

The youth program will be informed by the local priorities, including career pathway work being undertaken by LWIA 5 over the course of this four-year plan. The procurement process for youth services in the 2020 Program Year commenced before the three-county data analysis was complete. During the procurement process, the Youth Committee was cognizant of the need to ensure that service providers covered the three-county area. Providers are encouraged to create inroads with supportive organizations so that additional youth are reached through the program, and it was a requirement of the procurement proposal that bidders supply Memorandums of Agreement to solidify the relationships that their organizations held with entities that work directly with the demographics of young adults. Additionally, respondents were tasked with identifying how their recruitment efforts would target youth from priority populations for service, and their marketing plans detailed within the proposals were required to support these efforts. The three-county data analysis revealed that approximately 36 percent of the local area population is aged 24 or younger. The Board recognizes that this represents a large talent pipeline and an opportunity to invest in the future workforce generation. The Board will continue to advocate for programming that promotes workforce development of youth with barriers to employment.

Two current service providers focus programming on youth with disabilities. The Grundy/Kendall Regional Office of Education works with youth that have an Individualized Employment Plan (IEP) needs as well as those that have diagnosed disabilities. Their staff have developed relationships with local employers to establish work opportunities for youth participants, many whom have never held a job before. Parents Alliance Employment Project is a provider new to LWIA 5’s youth network. They partner with Northwestern Medicine Delnor Hospital to exclusively serve youth with disabilities by providing intensive on-the-job guidance in a variety of professional settings within the hospital to help youth develop transferable skills for eventual unsubsidized employment.

Local successful youth program models incorporate a combination of the following services:
• Occupational skills training, with a focus on career pathways and stackable credentials to facilitate achievable goals for youth
• Support services
• Remedial/prevocational training
• Work experience/Internships/On-the-Job Training, with
• Assisting youth in achieving a GED

Youth programming in LWIA 5 has been successful in part due to utilizing collaboration in order to augment the strengths of each provider and holistically meet the needs of the participants. Co-enrollment, which allows for resource sharing amongst the providers within the existing network, has been a proven means to achieve these benefits.

G. Provide a description of how the local area will provide services to individuals with barriers to employment as outlined in the Unified State Plan

Provide information on how priority will be given to recipients of public assistance, other low-income individuals and individuals who are basic skills deficient consistent with WIOA Sec. 134(c)(3)(E) (Sec. 679.560(b)(21)).

LWIA 5 utilizes the intake process at the comprehensive workNet Center to identify job seeking customers who are among job seeker populations, including individuals receiving public assistance, other low income individuals, and individuals who are basic skills deficient. In addition, Veterans and Individuals with disabilities are given priority access to services, including training dollars. The data collected to inform the development of this plan suggests priority also should be extended to the long-term unemployed, or those who have been out of work 27 weeks or longer.

The three-county area has had sufficient resources in the past to serve every person who enters the system and is determined eligible for individualized services and training. However, as outlined in the “Local Vision” section of the plan, it is our intent to build partnerships and referral mechanisms with other organizations that serve these populations. As a result, an increase in services to these groups are anticipated over time.

The LWIA 5 Board adopted an updated enrollment policy to conform to WIOA and State guidelines, which includes provisions for serving priority populations accordingly:

1. **First Priority:** Veterans and eligible spouses who are low-income, to include recipients of public assistance, or who are basic skills deficient.
2. **Second Priority:** Individuals who are low-income, to include recipients of public assistance, or who are basic skills deficient.
3. **Third Priority:** Veterans and eligible spouses who are not low-income, or are not recipients of public assistance, and are not basic skills deficient.
4. **Last Priority:** For all other persons not listed above; those who do not qualify as veterans, eligible spouses, recipients of public assistance, low-income individuals, or basic skills deficient individuals.
Describe how the local workforce areas will ensure equitable access to workforce and educational services through:

- **Disaggregating data by race, gender, and target population to reveal where disparities and inequities exist in policies and programs**
  LWIA 5 will continue to ensure that policies and programs in the local workforce system are accessible, regardless of racial, gender, or socioeconomic background. The One-Stop Operator will publish quarterly reports to partners of the Illinois workNet Center which will provide a detailed breakdown of clients by residential county, race/ethnicity, education level, age, gender, basic needs, and job search needs in order to identify gaps in access to workforce and educational services. Where gaps are identified, partners will work to strategize solutions.

- **Developing equity goals in conjunction with the education system and prepare action plans to achieve them**
  The Board will review any existing equity goals from each of the area’s community colleges (Elgin Community College, Kishwaukee College, and Waubonsee Community College) and identify alignment between each institution’s equity goals. LWIA 5 will incorporate those aligned goals as its own and develop strategies that will achieve its proposed outcomes. Continual improvement and monitoring will be the responsibility of the Board. LWIA 5 will in particular focus on improving technology skills for all workers but especially for minorities who consistently lag behind the general population in IT skills acquisition and needed workplace skills such as coding and basic computer literacy.

- **Exposing more high school students, especially women and minorities, to STEM careers**
  Job fairs have proven to be an effective marketing tool for career pathways. LWIA 5 will continue partnering with local high schools, community colleges, Career & Technical Education (CTE) providers, and employers to promote STEM-related careers. The Board will leverage real-time labor market data from IDES to promote these occupations and their high-wage earnings as well as the cost-effective training programs locally available. LWIA 5 will partner with local employers to review employment and skills data to ensure they are a true reflection of what is in demand. When applicable, LWIA 5 will promote STEM careers through high school extracurricular activities and after school programs that specifically serve minorities and women. Industry experts and specialists will be leveraged to ensure STEM programs are taught by professionals who exhibit the skills and training necessary to perform STEM-related jobs. LWIA 5 is committed to ensuring diverse populations are informed of diverse career paths and will work to provide continual access for opportunity.

- **Exploring how effective mentor programs can be expanded to adults**
  The area’s older workers provide a powerful resource for knowledge sharing and direct transmission of workplace skills, knowledge and institutional cultures to new workers. LWIA 5 will work closely with its joint business service team to develop knowledge-sharing practices that can be adopted and implemented by employers in the local workforce area. The BST will work to recruit new or recent retirees and senior workers from partner firms to serve as mentors for adult students in training for the same or similar occupations as well as support firms in developing mentoring efforts for newly hired workers.
- **Providing training to workforce program staff on data-driven approaches to address equity gaps**
  As part of LMI training that is being developed as part of the service integration plan, staff will receive regular trainings on the labor equity gaps, customer demographics and program placement outcomes and how efforts can work to bridge those gaps. The One-Stop Operator’s quarterly reports will provide insight into which populations are being served and their outcomes which will be beneficial to identifying gaps in equity, if applicable.

- **Ensuring workforce services are strategically located.**
  By having only one comprehensive One-Stop in the three-county Region, LWIA 5 understands the need for ensuring workforce services are strategically located across the region so that access to services are readily available, particularly for clients who have transportation barriers.

  In PY2020, LWIA 5 is moving the main One-Stop to its new location in Batavia which will be more centrally located, more accessible through public transportation and thus able to better and more directly serve the area’s residents and businesses. In addition, as part of ongoing cross-training and service integration, and through the Direct Linkage methods outlined in the local WIOA MOU, LWIA 5 will provide multiple access points through all of the locations of each WIOA system partner, including all of the community colleges, IDES and other State agency locations, other partner sites and several additional Title I service locations in Kendall and DeKalb counties.

  Online services to jobseekers, including Resume Writing Guide, UI Filing, and WIOA Application, and a calendar of events for upcoming workshops are available on the website for Kane County. Partners of LWIA 5 are exploring options for enhanced website and social media in order to have a unified online presence.

### H. Provide a description of training policies and activities in the local area, including

*How local areas will meet the annual Training Expenditure Requirement (WIOA Policy Chapter 8, Section 4)*.

The Board is following current guidance that mandates that 50 percent of adult and dislocated worker funds from WIOA Title I funding are allocated to direct training. LWA 5 is working to deploy new strategies including enhancing collaboration with the local community colleges, apprenticeship programs and other initiatives to ensure that we meet this requirement by providing high value training services for eligible individuals. Fiscal staff report to the Board with expenditure benchmarks data, and program staff is notified if adjustments or modifications are required to meet annual benchmark goals. Local emphasis on collaborating more closely with employers in key industry sectors and working with chambers and other business groups to access smaller employers and entrepreneurs will support informed customer choice in the selection of Individual Training Account-funded occupational training. These activities may also result in the identification of training gaps, which may be addressed through class-sized projects with local community colleges that would be available to job seekers as well as the community at large. LWIA 5 also has invested in On-the-Job Training programs, which reimburses employers for wages during a new employee’s training period.
How local areas will encourage the use of work-based learning strategies, including the local area goals for specific work-based learning activities and proposed outcomes related to these activities.

Work-based learning strategies are essential for young people to acquire work experience, as well as for adults who have limited or outdated work experience. Youth providers are currently required to spend at least 20 percent of their contract funding on work-based learning, and youth customers are being linked to work-based learning opportunities based on employer need and commitment, and interest among job seekers.

PY18 Performance outcomes for work-based learning activities, including work experiences, internships, and on-the-job training, are detailed in Chapter 5, Section A of this plan. On-the-job training, apprenticeship and work-based incumbent worker training are used with the Adult and Dislocated Worker populations. On-the-job (OJT) training is marketed to employers with the understanding that a customized training plan will be established to address their hiring needs; this approach has been successful and will continue to be utilized. Within the OJT program, job-ready candidates are assessed to ensure they are suitable for placement, and are matched with employers that seek their skill-sets. Additionally, the local Senior Community Service Employment Program (SCSEP), which provides older workers on-the-job work experience to assist them in obtaining unsubsidized employment, works closely with the local one-stop and routinely staffs a greeter position within the WorkNet Center. LWIA 5 will consider establishing goals around Adult and Dislocated Worker work-based learning initiatives in the coming planning cycle.

Community college partners are working directly with employers to develop work-based training programs in manufacturing, healthcare, and information technology. Elgin Community College has partnered with Industry Consortium for Advanced Technical Training (ICATT) to offer an industrial maintenance apprenticeship program. Apprentices will commit to a three-year program which will lead to an Associates of Applied Science degree in integrated systems and maintenance technology. Kishwaukee College has developed apprenticeships at various skill levels for their IT career pathway program as well as pre-apprenticeships (registered and non-registered). This Customized Apprenticeship Program-Information Technology (CAP-IT) Model includes an apprenticeship model that will provide work-based learning and postsecondary education simultaneously. Waubonsee Community College offers the Hartford Apprenticeship Program for students enrolled in business administration. As one of the newest opportunities at the College, the Hartford Apprenticeship Program allows students to earn an associate degree in business while working in the insurance industry.

LWIA 5 has begun developing strategies around specialized work-based training for priority populations, especially at a time when unemployment is significantly low. Title I and IDES work with the Kane County Sheriff’s Office to implement work-based learning in the jail to low level offense inmates who are expected to be released soon. Training is held in the jail and some local employers visit the jail and meet with these individuals to inform them of their workforce needs and to build a relationship. In many cases, upon completed training, these individuals meet with employers the day of their release and are hired for full-time employment.

Provide a copy of the local Individual Training Account Policy and describe how training services outlined in WIOA Sec. 134 will be provided through the use of individual training accounts, including, if contracts for training services will be used, how the use of such contracts will be coordinated with the
use of individual training accounts under that chapter, and how the Local Board will ensure informed customer choice in the selection of training programs regardless of how the training services are to be provided (Sec. 679.560(b)(18)).

The majority of LWIA 5’s training funds are used to support Individual Training Accounts (ITAs). The current local ITA policy can be found in Appendix III and outlines a process by which job seekers identify their career interest and, with staff assistance if necessary, research their training options. Contracts for training services are not currently used; however, if a need arises, state policy will be followed in executing training contracts. Customers utilizing ITAs are required to research multiple providers to ensure an informed customer choice is achieved when selecting training, and the customer must attest his or her selection. Prior to final approval for an ITA, staff will conduct a thorough assessment to ensure the appropriateness of the training based on the job seekers career goals and current skill level. While this policy has yielded positive outcomes in the decade since it was enacted, it is nevertheless a priority in the coming program year to assess and, if necessary, update it to reflect the current environment and needs.

Provide a copy of the local training provider approval policy and procedures. Describe how the Local Board will ensure the continuous improvement of eligible providers of services through the system and that the providers will meet the employment needs of local employers, workers, and jobseekers.

LWIA 5 is following WIOA Policy 15-WIOA-5.3: WIOA Training Provider and Training Program Eligibility to recommend providers for inclusion on the statewide eligible training provider list. This policy can be found in Appendix IV to this plan. The Board will be adopting local policy ensure the continuous improvement of eligible providers of services through the system and that the providers will meet the employment needs of local employers, workers, and jobseekers.

As reflected in the “Local Vision” section of this plan, the LWIA 5 staff have identified several interrelated efforts to enhance the impact of training investment. These include: equipping workNet Center staff with up to date information regarding labor market trends and specific employer needs to better inform job seekers; working with employers by sector, and ensuring that appropriate training is available based on aggregate industry needs; identifying certifications and credentials that are valuable to multiple employers in the local area; and intentionally sharing this information with all partners – including training providers.

I. Describe if the local workforce board will authorize the transfer of WIOA Title 1B workforce funds, including the maximum dollar amount and/or percentage that is authorized to be transferred on an annual basis

- To transfer funds between the adult and dislocated worker funding streams
- To use funds for incumbent worker training
- To use funds for transitional jobs
- To use funds for pay for performance contracts

LWIA 5 does not currently plan to transfer funds between adult and dislocated worker activities in the coming Program Year. However, to ensure all adult and dislocated worker training funds are fully utilized, the staff will review expenditures quarterly and, if appropriate, the Board may elect to transfer funds
between these two funding streams as allowable and with the approval of the Governor. Any transfer of funds would occur in alignment with relevant federal, state, and Kane County policies and procedures.

Board policy allows for up to 20 percent of funds to be allocated to incumbent worker activities, and the budget for this activity is reconsidered by the Board each program year based on need. The Board recognizes that it has the ability to invest up to 10 percent of adult and dislocated worker funding to transitional job programs but is not pursuing these activities during this planning cycle. The need for both incumbent worker and transitional job funding will be reevaluated when the next planning cycle is undertaken.

CHAPTER 5: PERFORMANCE GOALS AND EVALUATION

A. Provide information regarding the local levels of performance negotiated with the Governor and chief elected official consisted with WIOA Sec. 116(c) to be used to measure the performance of the local area and to be used by the Local Board for measuring the performance of the local fiscal agent (where appropriate), eligible providers under WIOA Title I Subtitle B and the one-stop delivery system (core and required partners as applicable) in the local area

WIOA Performance Measures

The Board annually meets or exceeds it negotiated levels of performance and will strive to achieve designation as a high-performing board when state guidelines are published. The PY18 Performance Outcomes and Goals, as accepted by the Illinois Department of Commerce and Economic Opportunity (DCEO), are provided below.

**PY18 Performance Levels through Quarter 4**

<table>
<thead>
<tr>
<th>Performance Measurement</th>
<th>Neg. Goal</th>
<th>90% Threshold</th>
<th>Actual Outcome</th>
<th>% of Neg. Goal</th>
<th>% of Threshold Goal</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Youth Employment Rate Q2</td>
<td>70.0%</td>
<td>63.0%</td>
<td>79.87%</td>
<td>114.1%</td>
<td>126.78%</td>
<td>Exceed</td>
</tr>
<tr>
<td>Youth Median Earnings Rate Q2</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$3,914.25</td>
<td>0.0%</td>
<td>0.0%</td>
<td>N/A</td>
</tr>
<tr>
<td>Youth Employment Rate Q4</td>
<td>69.0%</td>
<td>62.1%</td>
<td>72.67%</td>
<td>105.32%</td>
<td>117.02%</td>
<td>Exceed</td>
</tr>
<tr>
<td>Youth Credential Attainment Rate</td>
<td>61.0%</td>
<td>54.9%</td>
<td>55.83%</td>
<td>91.52%</td>
<td>101.69%</td>
<td>Meet</td>
</tr>
<tr>
<td>Youth Measurable Skills Gain</td>
<td>0.0%</td>
<td>0.0%</td>
<td>42.65%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>N/A</td>
</tr>
<tr>
<td>Adult Employment Rate Q2</td>
<td>69.0%</td>
<td>62.1%</td>
<td>73.68%</td>
<td>106.78%</td>
<td>118.65%</td>
<td>Exceed</td>
</tr>
<tr>
<td>Adult Median Earnings Rate Q2</td>
<td>$4,700.00</td>
<td>$4,230.00</td>
<td>$7,661.51</td>
<td>163.01%</td>
<td>181.12%</td>
<td>Exceed</td>
</tr>
<tr>
<td>Adult Employment Rate Q4</td>
<td>69.0%</td>
<td>62.1%</td>
<td>71.13%</td>
<td>103.09%</td>
<td>114.54%</td>
<td>Exceed</td>
</tr>
<tr>
<td>Adult Credential Attainment Rate</td>
<td>55.0%</td>
<td>49.5%</td>
<td>71.43%</td>
<td>129.87%</td>
<td>144.3%</td>
<td>Exceed</td>
</tr>
<tr>
<td>Adult Measurable Skills Gain</td>
<td>0.0%</td>
<td>0.0%</td>
<td>60.38%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>N/A</td>
</tr>
<tr>
<td>DW Employment Rate Q2</td>
<td>75.0%</td>
<td>67.5%</td>
<td>76.96%</td>
<td>102.61%</td>
<td>114.01%</td>
<td>Exceed</td>
</tr>
<tr>
<td>DW Median Earnings Rate Q2</td>
<td>$7,000.00</td>
<td>$6,300.00</td>
<td>$10,892.52</td>
<td>155.61%</td>
<td>172.9%</td>
<td>Exceed</td>
</tr>
<tr>
<td>DW Employment Rate Q4</td>
<td>76.0%</td>
<td>68.4%</td>
<td>77.88%</td>
<td>102.47%</td>
<td>113.86%</td>
<td>Exceed</td>
</tr>
<tr>
<td>DW Credential Attainment Rate</td>
<td>61.0%</td>
<td>54.9%</td>
<td>76.61%</td>
<td>125.59%</td>
<td>139.54%</td>
<td>Exceed</td>
</tr>
<tr>
<td>DW Measurable Skills Gain</td>
<td>0.0%</td>
<td>0.0%</td>
<td>55.83%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>N/A</td>
</tr>
</tbody>
</table>
Additional State Performance Measures

Under WIOA, performance by LWIA 5 for all customers and state partners are measured under a set of common indicators of performance (known as Common Measures):

- Entered employment
- Employment retention
- Median earnings
- Credential attainment
- Measurable skill gains
- Effectiveness in serving employers

Performance levels for PY 2020 have not yet been negotiated between the Governor and the Kane County Chief Elected Official. Below are the performance levels from PY 2018. LWIA 5 met or exceeded these levels.

<table>
<thead>
<tr>
<th>Performance Measure</th>
<th>Performance Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Adult</strong></td>
<td></td>
</tr>
<tr>
<td>Employment Rate 2\textsuperscript{nd} Quarter after Exit</td>
<td>69%</td>
</tr>
<tr>
<td>Employment Rate 4\textsuperscript{th} Quarter after Exit</td>
<td>69%</td>
</tr>
<tr>
<td>Median Earnings</td>
<td>$4,700</td>
</tr>
<tr>
<td>Credential Attainment</td>
<td>55%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Dislocated Workers</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment Rate 2\textsuperscript{nd} Quarter after Exit</td>
<td>75%</td>
</tr>
<tr>
<td>Employment Rate 4\textsuperscript{th} Quarter after Exit</td>
<td>75%</td>
</tr>
<tr>
<td>Median Earnings</td>
<td>$7,000</td>
</tr>
<tr>
<td>Credential Attainment</td>
<td>61%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Youth</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment/Placement in Education Rate 2\textsuperscript{nd} Quarter after Exit</td>
<td>70%</td>
</tr>
<tr>
<td>Employment/Placement in Education Rate 4\textsuperscript{th} Quarter after Exit</td>
<td>69%</td>
</tr>
<tr>
<td>Credential Attainment</td>
<td>61%</td>
</tr>
</tbody>
</table>

B. Provide a description of the current and planned evaluation activities and how this information will be provided to the local board and program administrators as appropriate

Services and outcomes are evaluated regularly by each partner program and as part of the service integration process. When service delivery strategies are identified as successful, efforts are made to expand and replicate them for additional customers and cross-train staff on their implementation.

What existing service delivery strategies will be expanded based on promising return on investment?

The most important expansion of service will be through the re-location of the comprehensive One-Stop Center to its new location in Batavia for PY2020. LWIA 5 recognizes the need to improve coordination among partners as part of the service integration process and will be better able to maximize this capacity
in the new One-Stop. The center will also be more accessible, particularly through public transportation. The Board and Partners will dedicate significant effort to the process of moving and making the most of the new center during PY2020 and beyond and focus themselves on service integration as described in the Service Integration Action Plan.

An additional expanded service delivery strategy includes the focused priority placed on referrals between Partners programs. Within PY2019, the One-Stop Operator piloted surveying new center patrons to identify their needs and create a stronger basis for referral of services. In the coming years, this effort will be expanded with the feedback of Partners to further enhance co-enrollment.

**What existing service delivery strategies will be curtailed or eliminated based on minimal return on investment?**

The promotion and advocacy for registered apprenticeship programs will be curtailed based on minimal return on investment. In years past, unemployment rates were so high that it became an employer-advantage market. Employers in the trades sought talent who participated in registered work-based learning programs such as apprenticeships. However, unemployment has been so historically low that the market has become a job seeker-advantage market. Employers understand and value formal registered work-based learning programs, however, at this time, they are more concerned with simply hiring talent and upskilling them upon hiring. The LWIA 5 realizes this and will work with employers to support work-based learning programs, regardless if they are formalized registered programs.

**What new service strategies will be used to address regional educational and training needs based on promising return on investment?**

- What ROI and qualitative outcome data for various education and training programs will be collected to identify barriers to employment?
- What are the most cost-effective approaches to taking down those barriers or helping residents overcome them?

The area will work to collect more extensive data on the industries and occupations that are seeing greatest success in job placement, data on wages at placement, and information on the specific occupational training programs that are resulting in placement into well-paying jobs. The Board’s One Stop Committee and Business Service Teams will leverage improved employer and industry information to target particular trainings as well as insights on major barriers to employment and retention and work to build new solutions.

Community colleges in the area will partner with industry to ensure that education and training programs align with the needs of employers and that students (especially area Youth) are aware of the in-demand sectors and industries in the region. The LWIA 5 intends to expand and sustain some efforts by identifying successes and challenges experienced by community college partners as well as industry partners.
Some key strategies that have shown promise, many with low investment and high ROI, which will be pursued include:

- Facilitating tours to manufacturing facilities for groups of students in high schools and middle schools and expanding methods of introducing students to the opportunities and technical aspects of manufacturing. Typically, such tours have been exclusively for CTE students. LWIA 5 will explore strategies that expand tours to a more diverse student body, while supporting other methods of educating youth about the industry such as leveraging “how it’s made” videos into classrooms.
- Supporting externships for teachers to better help them educate students on key industries, including manufacturing which continues to have a negative stigma despite having many high-technology opportunities. Expanding contextualized basic skills education such as bridge programs delivered in conjunction with industry.
- Educating employers on the benefits of apprenticeship programs (whether formally registered or other apprenticeship-like training options that can be implemented).
- Promoting to employers a range of work-based learning and training methods in conjunction with education/training, which can incentivize workers and build career pathways.
- Expanding IT and basic computer skills training for all customers, given the presence of IT activities

Other strategies for which the area does not have ready solutions, but recognizes a need and will work to advocate with other local and regional institutions include:

- A need for improved access to transportation. Too many workers lack reliable transportation to get to good jobs that are available. This is a problem both for individuals but also with the public transportation infrastructure within the region.
- A need for improved access to technology including the presence of major gaps in high-bandwidth internet access within the region and lack of computer skills for many workers. This presents barriers to workers in terms of applying for jobs (almost all job applications are now online) as well as for succeeding workplaces in which IT and computer skills are ever more required.
CHAPTER 6: TECHNICAL REQUIREMENTS AND ASSURANCES

A. Fiscal Management

Kane County is the entity responsible for the disbursal of grant funds, as outlined in the Intergovernmental Agreement between the Counties of Kane, Kendall, and DeKalb. All subgrants and contracts are procured under the Kane County Procurement Ordinance #19-46, which was updated on February 11, 2019. The ordinance can be accessed at Kane County Government website and, as requested, is included in Appendix V and VI, respectively, of this plan.

B. Physical and Programmatic Accessibility

Section 188 of the Workforce Innovation and Opportunity Act (WIOA) of 2014 and the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) are fulfilled through policies and procedures established by DOL and DCEO. The one-stop is fully compliant with WIOA Section 188 and the Americans with Disabilities Act. The locally-designated Equal Opportunity (EO) Officer provides oversight for implementing, maintaining and monitoring WIOA Section 188 Non-discrimination and Equal Opportunity Regulations. Staff training includes information about how to support the needs of customers and peers with disabilities. In overseeing the one-stop - center, the operator will be responsible for working with the EO Officer to ensure continued compliance with applicable laws relating to programmatic and physical accessibility. Accessible computers, adjustable desks, TTY phone technology, and Sorenson Video phones are available to all staff and customers. Additionally, information is provided to staff and customers on the process to file ADA grievances.

The One-Stop Center Accessibility Compliance Checklist (Facility Accessibility Survey) and Contractor/Service Provider (Self-Evaluation Tool) provided by the DCEO Office of Equal Opportunity Monitoring and Compliance are completed by the Equal Opportunity Officer annually to ensure that clients with disabilities have uninhibited access to services and are appropriately accommodated to meet their needs. The survey and evaluation tool address and answer the questions on whether facilities are physically and programmatically accessible for individuals with disabilities. They are used to determine if WIOA programs and services are accessible and whether there are policies and procedures in place that address areas such as accessible parking, doors and doorways, signage, request for reasonable accommodation and auxiliary aids, wheelchair accessibility, TTY services, EO Posters, sign language interpreter services, staff acknowledgement of EO/Non-discriminatory policies and procedures.

The availability of assistive technology and other resources for individuals with disabilities is assessed as part of the survey and evaluation tool, evaluating the availability of items such as large screen monitors, trackball mouse, scanning/reading software, enlarged keyboards, web page reading software, adjustable keyboard trays, alternative formatted materials (Large print, Braille, Audio-tape). Inventory is reviewed as part of the assessment to assure the availability of the required assistive technology and alternative sources at the one-stop center.

All LWIA 5 contracts include language regarding ADA requirements, consistent with Kane County contacting guidelines. These guidelines meet the requirements outlined in the Illinois One-Stop Center Accessibility Compliance Checklist.

LWIA 5 partners have updated the Memoranda of Understanding, which also addresses all ADA and WIOA Section 188 requirements for the partners. The one-stop certification process will ensure that the center
is accessible by all, offering adequate parking, necessary equipment for persons with disabilities, and adequately connecting English Language Learning individuals with appropriate translation services.

C. Plan Development and Public Comment

The Local Plan draft was made available for public comment for a period of thirty (30) days on the Kane County Government website beginning February 14, 2020 and ending March 14, 2020. Notice of availability of the plan was published in local newspapers in the Counties of Kane, Kendall and DeKalb. Those wishing to make comment were instructed to do so electronically, directed to the Office of Community Reinvestment, Workforce Development Division. Opportunity to comment was made via email to Suzanne Markin at markinsuzanne@countyofkane.org. The Board adopted the plan on DATE.

This local plan will be modified as required by the State of Illinois, or more frequently should the local Board shift its priorities or adopt new service strategies.
Appendix I: Economic Analysis

Demographic Indicators

The total population in the Tri-County Region in 2018 was approximately 766,250. Approximately 70% of the population in the region resides in Kane County (534,211), followed by 17% in Kendall County (127,914) and 14% in DeKalb County (104,129). Over the last ten years, each county in the Tri-County Region has experienced population growth with the exception of DeKalb County, which experienced a decline of less than half a percent. Kendall County experienced the greatest percentage growth in population (17.8%).

Table 1: Population by County in the Tri-County Region, 2008-2018

<table>
<thead>
<tr>
<th>County</th>
<th>2008</th>
<th>2018</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>#</td>
<td>%</td>
<td>#</td>
</tr>
<tr>
<td>DeKalb</td>
<td>104,584</td>
<td>104,129</td>
<td>(455)</td>
</tr>
<tr>
<td>Kane</td>
<td>504,434</td>
<td>534,211</td>
<td>29,777</td>
</tr>
<tr>
<td>Kendall</td>
<td>108,560</td>
<td>127,914</td>
<td>19,354</td>
</tr>
<tr>
<td>Tri-County Region</td>
<td>717,578</td>
<td>766,254</td>
<td>48,676</td>
</tr>
</tbody>
</table>

Source: Emsi 2019.4

Figure 1: Population Density by County Source: Emsi 2019.4

The map in Figure 1 shows the population by density in the Tri-County Region. Kane County has the greatest population density of any county in the region, as reflected in the shading of the map.

Approximately 114,233 individuals in the Tri-County Region are between the ages of 15-24 years old (15%). Kane County makes up approximately 64% of the Tri-County Region’s 15-24 years of age population, followed by DeKalb County (21%) and Kendall County (15%). Individuals in the Tri-County Region between the ages of 35-54 years old make up 27% of the population. Kane County represents 70% of the Tri-County Region’s population between the ages of 35-54 years old, a decline of 3% over the last ten years. DeKalb County also experienced a decline in this population over the last ten years (-9%) while Kendall County experienced a 19% growth.

As the older population prepares to exit the workforce due to retirement, a younger workforce is growing and will be positioned to fill those jobs.
Over a quarter of the Tri-County Region’s population is between the ages of 35-54 years old, followed by 5-19 years old (22.0%), and 20-34 years old (19.6%). In comparison, individuals between the ages of 35-54 years old in Illinois constitute 25.3% of the population and those between the ages of 20-34 make up 20.7% of the population. Nationally, those shares are 25.8% and 20.5%, respectively.

In comparison to state and national figures, the Tri-County Region has a lower poverty rate and higher median household income. In 2018, the average poverty rate for the Tri-County Region was 8.6%. The
The poverty rate for the state of Illinois was 12.1% and 11.8% for the U.S. Kendall County had the lowest poverty rate of the three counties in the region at 4.2% while DeKalb County had the highest poverty rate at 13.1%.1 The median household income for the nation was $60,293 in 2018 and $63,575 for Illinois. The Tri-County Region’s median household income was over $16,000 higher than the U.S. and $13,000 higher than the median household income in Illinois.

The percentage of owner-occupied housing units in Illinois between 2014-2018 was 66.0%, approximately 3% higher than that of the nation. While Kane County and Kendall County had a larger percentage of owner-occupied housing units than the state, DeKalb County was 9% lower.

### Table 2: Income, Poverty, and Housing 2014-2018

<table>
<thead>
<tr>
<th></th>
<th>Median Household Income</th>
<th>Poverty Rate</th>
<th>Owner-Occupied Housing Units</th>
<th>Median Value of Owner-Occupied Housing Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>DeKalb County</td>
<td>$61,086</td>
<td>13.1%</td>
<td>57.0%</td>
<td>$169,800</td>
</tr>
<tr>
<td>Kane County</td>
<td>$76,912</td>
<td>8.6%</td>
<td>73.5%</td>
<td>$232,000</td>
</tr>
<tr>
<td>Kendall County</td>
<td>$91,764</td>
<td>4.2%</td>
<td>83.0%</td>
<td>$224,200</td>
</tr>
<tr>
<td>Illinois</td>
<td>$63,575</td>
<td>12.1%</td>
<td>66.0%</td>
<td>$187,200</td>
</tr>
<tr>
<td>U.S.A.</td>
<td>$60,293</td>
<td>11.8%</td>
<td>63.8%</td>
<td>$204,900</td>
</tr>
</tbody>
</table>

Source: U.S. Census Bureau, QuickFacts 2014-2018

### Educational Attainment

The educational attainment of individuals 25 years of age and older in the Tri-County Region is comparable to that of the State. The percentage of those with a two- or four-year degree for the Tri-County Region is 28.57%, compared to 27.87% for the State, respectively. Both the Tri-County Region and the State’s educational attainment with a two- or four-year degree is higher than national averages.

### Table 3: Educational Attainment for the Population 25 Years and Older

<table>
<thead>
<tr>
<th>Educational Level</th>
<th>Tri-County Region</th>
<th>Illinois</th>
<th>U.S.A.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less Than 9th Grade</td>
<td>8.49%</td>
<td>6.15%</td>
<td>6.47%</td>
</tr>
<tr>
<td>9th Grade to 12th Grade</td>
<td>6.26%</td>
<td>6.01%</td>
<td>6.85%</td>
</tr>
<tr>
<td>High School Diploma</td>
<td>23.80%</td>
<td>26.50%</td>
<td>27.51%</td>
</tr>
<tr>
<td>Some College</td>
<td>21.77%</td>
<td>20.78%</td>
<td>20.69%</td>
</tr>
<tr>
<td>Associate’s Degree</td>
<td>7.81%</td>
<td>7.70%</td>
<td>8.10%</td>
</tr>
<tr>
<td>Bachelor’s Degree</td>
<td>20.76%</td>
<td>20.17%</td>
<td>18.84%</td>
</tr>
<tr>
<td>Graduate Degree and Higher</td>
<td>11.12%</td>
<td>12.69%</td>
<td>11.54%</td>
</tr>
</tbody>
</table>

Source: Emsi 2019.4

### Labor Force Trends

Employment in the Tri-County Region has consistently grown since 2013. Figure 4 shows the employment total in the Tri-County Region between 2008-2018. Throughout this time frame, employment has peaked in 2018 at 378,777 – more than 30,000 jobs than in 2010 during the great recession.

Figure 4: Tri-County Employment, 2008-2018

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1 Source: U.S. Census Bureau, QuickFacts 2018
In 2018, the Tri-County Region had a labor force of 397,049 of which 95.4% were employed. The unemployment rate for the Tri-County Region was slightly higher than that of the state by 0.3%, but 0.7% higher than the nation.

### Table 4: Labor Force Characteristics, 2018

<table>
<thead>
<tr>
<th>Area</th>
<th>Total Labor Force 2018</th>
<th>Employed 2018</th>
<th>Unemployed 2018</th>
<th>Unemployment Rate 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>DeKalb County</td>
<td>55,487</td>
<td>53,047</td>
<td>2,440</td>
<td>4.4%</td>
</tr>
<tr>
<td>Kane County</td>
<td>273,901</td>
<td>260,449</td>
<td>13,452</td>
<td>4.9%</td>
</tr>
<tr>
<td>Kendall County</td>
<td>67,661</td>
<td>65,281</td>
<td>2,380</td>
<td>3.5%</td>
</tr>
<tr>
<td>Tri-County Region</td>
<td>397,049</td>
<td>378,777</td>
<td>18,272</td>
<td>4.6%</td>
</tr>
<tr>
<td>Illinois</td>
<td>6,469,668</td>
<td>6,191,319</td>
<td>278,349</td>
<td>4.3%</td>
</tr>
</tbody>
</table>

Source: Bureau of Labor Statistics

The following figure details the annual average unemployment rate for the Tri-County Region, Illinois, and U.S. between 2008-2018.

**Figure 5: Unemployment Rate, 2008-2018**
Commuting Patterns

Commuting patterns help to understand the migration patterns amongst the workforce within the Tri-County Region. These data points measure the number and destination of both inbound and outbound workers. If a region has a large number of outbound workers than inbound, then there are either fewer or less desirable job opportunities within that region. Thus, residents are leaving the region for work opportunities. Conversely, if there are more inbound workers, the region likely has a greater number of available jobs. A region’s proximity to large urban centers can affect this as well. For example, if a region is within close proximity to a major city, there are going to be more job opportunities in that large city, so residents may be willing to commute outside of the region.

In 2017, the Tri-County Region had nearly 112,200 workers commuting in and approximately 193,150 commuting out, making the region a net exporter of workers. Two-thirds of the Tri-County Region’s population live in the region but are employed outside of the region. Cook County was the greatest importer of workers from the Tri-County Region (16.3%), however within the Tri-County Region, 31.9% of workers flock to Kane County.

Figure 6: Commuting Patterns of Tri-County Region Workers, 2017

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2 U.S. Census Bureau, OnTheMap, 2017 (most recently available) [https://onthemap.ces.census.gov/](https://onthemap.ces.census.gov/)
Industry Analysis

The top industries in the Tri-County Region in 2018 were Government; Manufacturing; Retail Trade; Healthcare and Social Assistance; and Administrative and Support and Waste Management and Remediation Services. Over the last ten years, Accommodation and Food Services experienced the greatest growth in jobs, adding nearly 4,500 jobs. Average earnings for three of the top five industries are $60,000 or higher.

Location quotient (LQ) quantifies how concentrated a particular industry, cluster, or occupation is in a region as compared to the nation. It shows what makes the region “unique” in comparison to the national average. LQ’s with a score of 1.25 are considered to be unique. In Table 5, sectors with the highest LQs include Manufacturing (1.65); Wholesale Trade (1.46); Administrative and Support and Waste Management and Remediation Services (1.33); and Arts, Entertainment, and Recreation (1.29).

Competitive effect (CE), or shift share analysis, is the regional growth that cannot be explained by national growth or industry-specific trends. These reflect the regional-specific factors that are responsible for the growth or decline of a sector. In the Tri-County Region, sectors with the highest CE include Wholesale Trade (3,322 jobs); Government (2,243 jobs); and Other Services (except Public Administration) (1,192 jobs). While Health Care and Social Assistance is a strong industry in the Tri-County Region, its CE was the lowest at 5,649 jobs, suggesting that regional factors are limited the growth of jobs in this sector.

Table 5: Top Industries by Employment in the Tri-County Region, 2008-2018, 2-Digit NAICS

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Government</td>
<td>44,297</td>
<td>2,171</td>
<td>5%</td>
<td>$78,881</td>
<td>1.08</td>
<td>2,243</td>
</tr>
<tr>
<td>Manufacturing</td>
<td>39,757</td>
<td>(2,973)</td>
<td>(7%)</td>
<td>$75,091</td>
<td>1.65</td>
<td>(627)</td>
</tr>
<tr>
<td>Retail Trade</td>
<td>30,631</td>
<td>(769)</td>
<td>(2%)</td>
<td>$33,637</td>
<td>1.02</td>
<td>(1,760)</td>
</tr>
<tr>
<td>Health Care and Social Assistance</td>
<td>29,939</td>
<td>1,840</td>
<td>7%</td>
<td>$62,470</td>
<td>0.80</td>
<td>(5,649)</td>
</tr>
<tr>
<td>Administrative and Support and Waste</td>
<td>23,846</td>
<td>912</td>
<td>4%</td>
<td>$34,324</td>
<td>1.33</td>
<td>(2,656)</td>
</tr>
<tr>
<td>Management and Remediation Services</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Industry</td>
<td>Jobs</td>
<td>Job Growth</td>
<td>Change in Jobs</td>
<td>Average Weekly Earnings</td>
<td>Job Growth in State</td>
<td>Job Growth in Nation</td>
</tr>
<tr>
<td>----------------------------------------------------</td>
<td>---------</td>
<td>------------</td>
<td>----------------</td>
<td>-------------------------</td>
<td>---------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Accommodation and Food Services</td>
<td>23,835</td>
<td>4,490</td>
<td>23%</td>
<td>$20,655</td>
<td>0.91</td>
<td>395</td>
</tr>
<tr>
<td>Wholesale Trade</td>
<td>16,195</td>
<td>3,103</td>
<td>24%</td>
<td>$81,246</td>
<td>1.46</td>
<td>3,322</td>
</tr>
<tr>
<td>Construction</td>
<td>14,900</td>
<td>(93)</td>
<td>(1%)</td>
<td>$86,718</td>
<td>1.08</td>
<td>(304)</td>
</tr>
<tr>
<td>Professional, Scientific, and Technical Services</td>
<td>11,732</td>
<td>1,644</td>
<td>16%</td>
<td>$85,145</td>
<td>0.66</td>
<td>(255)</td>
</tr>
<tr>
<td>Other Services (except Public Administration)</td>
<td>8,570</td>
<td>1,219</td>
<td>17%</td>
<td>$39,243</td>
<td>1.01</td>
<td>1,192</td>
</tr>
<tr>
<td>Finance and Insurance</td>
<td>8,243</td>
<td>(1,279)</td>
<td>(13%)</td>
<td>$75,233</td>
<td>0.72</td>
<td>(1,436)</td>
</tr>
<tr>
<td>Transportation and Warehousing</td>
<td>7,646</td>
<td>977</td>
<td>15%</td>
<td>$60,266</td>
<td>0.77</td>
<td>(484)</td>
</tr>
<tr>
<td>Arts, Entertainment, and Recreation</td>
<td>5,853</td>
<td>46</td>
<td>1%</td>
<td>$30,248</td>
<td>1.29</td>
<td>(1,081)</td>
</tr>
<tr>
<td>Educational Services</td>
<td>4,166</td>
<td>460</td>
<td>12%</td>
<td>$40,177</td>
<td>0.76</td>
<td>(361)</td>
</tr>
<tr>
<td>Information</td>
<td>3,112</td>
<td>(1,769)</td>
<td>(36%)</td>
<td>$74,397</td>
<td>0.57</td>
<td>(1,486)</td>
</tr>
<tr>
<td>Real Estate and Rental and Leasing</td>
<td>2,213</td>
<td>120</td>
<td>6%</td>
<td>$56,449</td>
<td>0.52</td>
<td>(1)</td>
</tr>
<tr>
<td>Management of Companies and Enterprises</td>
<td>1,611</td>
<td>722</td>
<td>81%</td>
<td>$95,272</td>
<td>0.37</td>
<td>510</td>
</tr>
<tr>
<td>Agriculture, Forestry, Fishing and Hunting</td>
<td>1,252</td>
<td>(235)</td>
<td>(16%)</td>
<td>$48,408</td>
<td>0.52</td>
<td>(355)</td>
</tr>
<tr>
<td>Utilities</td>
<td>517</td>
<td>346</td>
<td>202%</td>
<td>$147,278</td>
<td>0.45</td>
<td>347</td>
</tr>
<tr>
<td>Mining, Quarrying, and Oil and Gas Extraction</td>
<td>171</td>
<td>(22)</td>
<td>(11%)</td>
<td>$104,881</td>
<td>0.13</td>
<td>(11)</td>
</tr>
</tbody>
</table>

Source: Emsi 2019.4

A comparison of the Tri-County Region’s sectors job change percentage with state and national figures is presented in Figure 7. Manufacturing; Health Care and Social Assistance; and Administrative and Support and Waste Management and Remediation Services each experienced similar trends across the Tri-County Region, State, and nation.

Figure 7: Percentage of Job Change Comparison
Occupational Analysis
The top occupations in the Tri-County Region are identified in Table 6. The top two occupations – Office and Administrative Support Occupations; and Production Occupations -experienced large declines in employment over the last ten years. Construction and Extraction Occupations also experienced large declines in jobs. However, Management Occupations; and Food Preparation and Serving Related Occupations experienced gains in employment over the last ten years. The former had the second highest average hourly earning of all occupations (second to Legal Occupations) and the former had the lowest average hourly earnings. As the Tri-County Region looks at developing talent in the local workforce, it will be important to upskill talent with entry-level, basic skills, such as those employed in Food Preparation and Serving Related Occupations.

Table 6: Top Occupations in the Tri-County Region, 2008-2018, 2-Digit SOC

<table>
<thead>
<tr>
<th>Occupations</th>
<th>2018 Jobs</th>
<th>2008-2018 Jobs Change</th>
<th>Average Hourly Earnings</th>
<th>Annual Openings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office and Administrative Support Occupations</td>
<td>37,728</td>
<td>(3,906) (9%)</td>
<td>$17.29</td>
<td>4,890</td>
</tr>
<tr>
<td>Production Occupations</td>
<td>28,124</td>
<td>(1,703) (6%)</td>
<td>$17.26</td>
<td>3,914</td>
</tr>
<tr>
<td>Sales and Related Occupations</td>
<td>28,037</td>
<td>556 (2%)</td>
<td>$18.56</td>
<td>4,197</td>
</tr>
<tr>
<td>Transportation and Material Moving Occupinations</td>
<td>23,997</td>
<td>1,272 (6%)</td>
<td>$16.09</td>
<td>3,383</td>
</tr>
<tr>
<td>Food Preparation and Serving Related Occupinations</td>
<td>23,881</td>
<td>3,649 (18%)</td>
<td>$11.03</td>
<td>4,214</td>
</tr>
<tr>
<td>Education, Training, and Library Occupations</td>
<td>23,762</td>
<td>2,040 (9%)</td>
<td>$25.74</td>
<td>2,378</td>
</tr>
<tr>
<td>Management Occupations</td>
<td>19,606</td>
<td>3,662 (23%)</td>
<td>$52.03</td>
<td>1,844</td>
</tr>
<tr>
<td>Healthcare Practitioners and Technical Occupations</td>
<td>13,856</td>
<td>685 (5%)</td>
<td>$37.69</td>
<td>994</td>
</tr>
<tr>
<td>Construction and Extraction Occupations</td>
<td>11,176</td>
<td>(1,153) (9%)</td>
<td>$32.51</td>
<td>1,380</td>
</tr>
<tr>
<td>Business and Financial Operations Occupiations</td>
<td>11,120</td>
<td>1,377 (14%)</td>
<td>$32.86</td>
<td>1,179</td>
</tr>
</tbody>
</table>
### Table 7: Top 15 Occupations in the Tri-County Region, 2008-2018, 5-Digit SOC

<table>
<thead>
<tr>
<th>Occupation</th>
<th>2018 Jobs</th>
<th>2008-2018 Job Change</th>
<th>Average Hourly Earnings</th>
<th>Typical Entry-Level Education</th>
<th>Work Experience Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retail Salespersons</td>
<td>8,736</td>
<td>(191) (2%)</td>
<td>$12.73</td>
<td>No formal educational credential</td>
<td>None</td>
</tr>
<tr>
<td>Laborers and Freight, Stock, and Material Movers, Hand</td>
<td>8,709</td>
<td>1,880 28%</td>
<td>$13.71</td>
<td>No formal educational credential</td>
<td>None</td>
</tr>
<tr>
<td>Office Clerks, General</td>
<td>7,344</td>
<td>100 1%</td>
<td>$16.69</td>
<td>High school diploma or equivalent</td>
<td>None</td>
</tr>
<tr>
<td>Cashiers</td>
<td>7,333</td>
<td>356 5%</td>
<td>$11.20</td>
<td>No formal educational credential</td>
<td>None</td>
</tr>
<tr>
<td>Combined Food Preparation and Serving Workers, Including Fast Food</td>
<td>7,082</td>
<td>2,305 48%</td>
<td>$10.01</td>
<td>No formal educational credential</td>
<td>None</td>
</tr>
<tr>
<td>Stock Clerks and Order Fillers</td>
<td>5,852</td>
<td>661 13%</td>
<td>$13.12</td>
<td>High school diploma or equivalent</td>
<td>None</td>
</tr>
<tr>
<td>General and Operations Managers</td>
<td>5,469</td>
<td>1,395 34%</td>
<td>$58.15</td>
<td>Bachelor’s degree or more</td>
<td></td>
</tr>
</tbody>
</table>

Diving deeper into the occupations at the 5-digit Standard Occupational Classification (SOC) level, Table 7 lists the top 15 occupations in the Tri-County Region and the entry-level education and work experience required. One-third of these occupations require a high school diploma whereas 40% do not require any formal educational credential. Nearly all of the top 15 occupations at the 5-digit SOC level do not require any work experience.

The Tri-County Region is positioned to upskill the talent in entry-level jobs that do not require significant educational or work experience into jobs that do and offer competitive wages. For example, Registered Nurses is an in-demand occupation with competitive earnings and offers career pathways with on and off ramps as talent enrolls in training.
<table>
<thead>
<tr>
<th>Occupation</th>
<th>Employed</th>
<th>Unemployed</th>
<th>Unemployment Rate</th>
<th>Weekly Earnings</th>
<th>Education</th>
<th>Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Nurses</td>
<td>4,771</td>
<td>129</td>
<td>3%</td>
<td>$34.67</td>
<td>Bachelor's degree</td>
<td>None</td>
</tr>
<tr>
<td>Customer Service Representatives</td>
<td>4,712</td>
<td>645</td>
<td>16%</td>
<td>$16.96</td>
<td>High school diploma or equivalent</td>
<td>None</td>
</tr>
<tr>
<td>Elementary School Teachers, Except Special Education</td>
<td>4,591</td>
<td>53</td>
<td>1%</td>
<td>$30.04</td>
<td>Bachelor's degree</td>
<td>None</td>
</tr>
<tr>
<td>Assemblers and Fabricators, All Other, Including Team Assemblers</td>
<td>4,451</td>
<td>(451)</td>
<td>(9%)</td>
<td>$14.38</td>
<td>High school diploma or equivalent</td>
<td>None</td>
</tr>
<tr>
<td>Sales Representatives, Wholesale and Manufacturing, Except Technical and Scientific Products</td>
<td>4,368</td>
<td>336</td>
<td>8%</td>
<td>$30.18</td>
<td>High school diploma or equivalent</td>
<td>None</td>
</tr>
<tr>
<td>Teacher Assistants</td>
<td>4,122</td>
<td>539</td>
<td>15%</td>
<td>$12.46</td>
<td>Some college, no degree</td>
<td>None</td>
</tr>
<tr>
<td>Waiters and Waitresses</td>
<td>3,783</td>
<td>181</td>
<td>5%</td>
<td>$10.50</td>
<td>No formal educational credential</td>
<td>None</td>
</tr>
<tr>
<td>Packers and Packagers, Hand</td>
<td>3,752</td>
<td>(364)</td>
<td>(9%)</td>
<td>$12.22</td>
<td>No formal educational credential</td>
<td>None</td>
</tr>
</tbody>
</table>

Source: Emsi 2019.4
APPENDIX II
INTRODUCTION
This policy addresses the use of Workforce Innovation and Opportunity Act (WIOA) funds for supportive services to eligible Adult, Dislocated Worker and Youth participants. Supportive services include financial or non-financial services such as transportation, child care, dependent care, and housing that is necessary to enable an individual to participate and be actively engaged in activities authorized by WIOA. These services must be unattainable through other programs or community resources.

ELIGIBILITY
WIOA-enrolled Adult, Dislocated Worker and Youth participating in career, training, or follow-up services may qualify for supportive services when an assessment determines that the following factors are met:

(1) A financial need is demonstrated,
(2) the service is necessary in order for the participant to achieve employment and/or training goals, and
(3) the service cannot be obtained through any other resource or program.

Participants meeting the above criteria and who are determined to be low-income according to Lower Level Standard Income Level (LLSIL) guidelines are automatically deemed eligible to receive financial supportive services. Participants above the LLSIL or whose eligibility was not determined using income as a factor will require a financial needs assessment to establish eligibility for supportive services.

EXAMPLES OF SUPPORTIVE SERVICES
The following list provides examples of supportive services and is not intended to be an exhaustive list of allowable services:

1. Transportation costs, including but not limited to: bus passes, gas cards or mileage reimbursement, or minor car repair.
2. Child care and dependent care costs.
3. Uniforms or other appropriate work attire, eyeglasses, and work or training related material costs not covered by the employer.
4. Work and training related exams, background checks, certifications, credentials, licenses and permits.
5. Emergency services for food, housing, health/medical or other temporary assistance that is time-sensitive and necessary for the participant’s health and/or safety. Such services are determined on a case-by-case basis and typically are a one-time occurrence.
6. Training or employment-related medical testing.
7. Driver’s license or state identification (excluding any fines or fees resulting from revocation or suspension, etc.)

PROHIBITED SERVICES
Supportive services may not be utilized to pay for expenses incurred prior to the participant’s enrollment into the WIOA program. Additionally, below is a list of prohibited services that are not eligible under supportive services. More detailed information on unallowable costs is articulated in the Uniform Guidance at 2 CFR 200.421-469.
1. Fines and penalties, such as: traffic violations, late finance charges, and interest payments
2. Entertainment, including tips
3. Contributions or donations
4. Interest on borrowed capital (including credit card, mortgage or car payments)
5. Refundable deposits
6. Alcoholic beverages

LIMITATIONS
Total payments for services based on demonstrated need cannot exceed $1,200 per participant within 12 months from the date of enrollment in supportive services.

Eligibility for continued supportive services is contingent upon active participation in training/education activities. Failure to abide by agreed-upon program expectations may result in loss of supportive services.

EXCEPTIONS
Exceptions to the funding limitation require approval of the Director and must be reported to the Executive Committee of the Board at its next regular meeting. Exceptions to the annual $1,200 limit per participant may not exceed $2,500; funding requests beyond $2,500 require Executive Committee approval. Exceptions may be granted in circumstances when a participant’s health or safety is at risk, or the individual is experiencing significant barriers outside of his or her control that are preventing successful participation in, or completion of, the program.

REFERENCES:
WIOA Section 3(59)
WIOA Section 134(d)(2) and (3) – Adults and Dislocated Workers
20 CFR 680.330; 680.900-920 – Adults and Dislocated Workers
WIOA Section 129(c)(2)(G) – Youth
20 CFR 681.570 – Youth
2 CFR 200 Subpart E – Cost Principles
APPENDIX III
INTRODUCTION
This policy addresses the use of Workforce Innovation and Opportunity Act (WIOA) funds for Individual Training Accounts (ITAs), which are scholarships provided in the form of a voucher that is redeemed for training. ITAs are awarded to eligible participants enrolled in WIOA Adult, Dislocated Worker and Youth programs to enable them to afford a training program made available through the statewide list of eligible training providers that leads to attainment of a credential.

GUIDELINES
ITAs are not entitlements and shall be provided to eligible participants on the basis of an individualized assessment of the individual’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 Service Strategy (ISS)/Individual Employment Plan (IEP) and subject to the availability of funds. In order to ultimately secure self-sufficient employment, WIOA enrolled Adults, Dislocated Workers, and Out-of-School Youth (ages 16-24) may qualify for an ITA when all of the following conditions are met:

1) The participant’s ISS/IEP indicates that he/she will be unlikely or unable to obtain or retain employment that leads to self-sufficiency through career services alone;

2) The participant has selected a career pathway that is outlined in the ISS/IEP, and the ISS/IEP identifies the selected training course that will lead to self-sufficiency as defined by the local area;

3) The participant has the skills and qualifications to successfully participate in and complete the selected training program (as determined by the assessment, by program staff and in accordance with the training provider admission policy);

4) The participant is likely to secure employment in an in-demand sector or occupation;

5) The participant has made every effort to coordinate with alternate grant sources (such as MAP or Pell), and grant assistance beyond available funding resources is required to complete training goals; and

6) In the event that the training program’s costs exceed the amount of grant funds available, the participant has provided evidence that he or she is able to secure additional funding to pay of the balance of the training costs.

TRAINING
ITAs are authorized only for training programs listed on the Eligible Training Provider List (ETPL) and awarded on an individual basis taking into account the total costs of the selected training program and other financial assistance available to the participant. The ITA is issued directly to the training vendor/provider.

An ITA may fund one (1) training program when a participant meets the program’s requirements, unless the career pathway indicates that stackable training programs are in the best interest of the participant in order to secure self-sufficient employment.

Online training is permitted when the platform for the course provides an adequate system for tracking attendance and/or online participation. Programs that are largely self-taught are not permitted.
COSTS
Costs allowable under ITAs include tuition, fees, books, the usual and customary tools, equipment and supplies and uniforms required for the program of study and must be documented as a requirement for all students in the training program. Any other required costs incidental to training must be approved by staff in accordance with local, state and federal policy.

LIMITATIONS
ITAs issued may not exceed $10,000 for in-district participants and $5,000 for out-of-district participants. In-district participants are those residing within or dislocated from an employer located within the boundaries of Kane, Kendall and DeKalb Counties at the time of enrollment. Excluded from this limit are costs pertaining to Basic Skills upgrading, ESL, certain remedial and prevocational courses if required in order to complete a program in which the participant is actively enrolled.

Exceptions to the ITA funding limit per participant may be made on a case-by-case basis at the approval of the Director if evidence can be shown that the lack of additional funds will negatively impact the participant’s ability to complete the training program. In no case will an ITA be approved for an increase in excess of $2,000 of the appropriate cap without Board approval.

DENIAL
Reasons for denial of an ITA, or discontinuation of funding, may include:

- The participant is unable to satisfy the ITA approval conditions;
- The participant has previously accessed ITA funded training and is unable to demonstrate the need for an additional or new credential;
- The participant did not successfully earn a credential through their previous ITA training funded and is unable to provide information to substantiate extenuating circumstances that prevented successful credential attainment;
- The participant has failed to maintain regular contact with program staff;
- The participant has had repeated absences, tardiness or had failed to participate/complete training requirements;
- The participant has failed to maintain a minimum GPA as defined by the provider; or
- The participant has to repeat courses previously funded under WIOA.

REFERENCES:
WIOA Section 134(c)(3)(G)
WIOA Section 129(c)(2)(D)
WIOA Final Rule 20 CFR 680.300, 320-330
WIOA Final Rule 20 CFR 681.550

Modifications:
3.7.2018 – Includes two-tier funding cap.
APPENDIX IV
WIOA POLICY 15-WIOA-5.3
WIOA TRAINING PROVIDER AND TRAINING PROGRAM ELIGIBILITY

This WIOA policy is issued to provide guidance to all training providers (including new providers and those previously provided transitional eligibility) and the Local Workforce Innovation Boards (LWIB) and local workforce innovation areas (LWIA) on the process for determining eligibility of providers and training programs. It is intended that this policy letter is interim until further guidance is received by USDOL and final changes are made to the Illinois Workforce Development System (IWDS).

I. POLICY

A. General Eligibility of Training Providers

The following outlines the general criteria for a training provider to be considered for initial eligibility by a Local Workforce Innovation Board (LWIB), as well as for its training programs.

1. The Workforce Innovation and Opportunity Act (WIOA) requires all states to establish a procedure for Local Workforce Innovation Boards (LWIBs) to determine eligibility for training programs. Only eligible training providers and their eligible training programs will be included in the state’s Eligible Training Provider List (ETPL). The requirements of this policy letter apply to all organizations providing training services to WIOA adults and dislocated workers.

2. Providers of on-the-job training, customized training, incumbent worker training, internships, and paid or unpaid work experience opportunities, or transitional employment shall not be subject to the requirements of this policy letter.

3. Training providers and training programs previously approved for transitional eligibility on July 1, 2015 under WIOA Transitional Policy Letter #7 must apply and be approved for continued eligibility prior to July 1, 2016 following the process outlined in Section E.

   a. Transitional providers and programs that are not provided such determination by July 1, 2016 must follow the process for initial eligibility as outlined in Section C.

   b. New providers or programs that were not approved for transitional eligibility must follow the process for initial eligibility as outlined in Section C.

   c. WIOA participants enrolled in training programs that are not approved for continued eligibility prior to July 1, 2016 shall be allowed to complete the training program.
1) The only exception is if a training provider and/or its programs are determined to have intentionally supplied inaccurate information or to have substantially violated any provision of the WIOA regulations or of Title IB of the Workforce Investment Act (WIA), or substantially violated any other requirements as outlined in local policy.
   i. Customers of such programs shall be provided assistance in enrolling in a similar training program to complete the intended training outcome, or if not available, a new training program.

2) A provider of training services whose eligibility is terminated under subparagraph A.3.c.1 may be liable for the repayment of funds received under WIOA or WIA.

4. To be eligible to receive funds for the provision of training services, the provider shall be:
   a. an institution of higher education that provides a program that leads to a recognized postsecondary credential;
      1) This may include programs receiving approval or accreditation by the U.S. Department of Education, Illinois Board of Higher Education, Illinois Community College Board, or Illinois State Board of Education;
   b. an entity that carries out programs registered 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.) as recognized in Illinois by the U.S. Department of Labor (USDOL), Office of Apprenticeship; or
   c. another public or private provider of a program of training services, which may include joint labor-management organizations; eligible providers of adult education and literacy activities under Title II if such activities are provided in combination with occupational skills training; or programs that have been recognized by the industry as meeting the standards necessary for approval or accreditation, when such standards exist.

B. All Registered Apprenticeship (RA) programs registered with USDOL, Office of Apprenticeship or a recognized state apprenticeship agency are automatically eligible to be included as an eligible training provider so long as they show interest in being added to the Eligible Training Provider List (ETPL) and the following process is completed:

1. Registered Apprenticeships must indicate their interest in being included on the ETPL.

2. Local Workforce Innovation Areas (LWIAs) should inform the RAs in their local area via mass email, phone call, or other method of these requirements.

3. An RA may contact its LWIA or State of Illinois, Office of Employment and Training to indicate its interest in being included on the ETPL.

4. LWIAs must notify Department of Commerce, Office of Employment and Training (OET) in writing of all registered apprenticeship programs that have shown interest in being included on the ETPL.
5. Notification to OET should be made to:

   Illinois Department of Commerce and Economic Opportunity  
   Office of Employment and Training  
   Neely Schlosser  
   500 East Monroe Street, 9th Floor  
   Springfield, IL 62701-1643  

   ATTN: Ms. Paula Barry  
   or  
   Submitted electronically to paula.barry@illinois.gov with a copy to  
   neely.schlosser@illinois.gov.

6. The following information is required for inclusion on the ETPL and should be provided for all programs of the RA:

   a. Occupations included within the RA program(s);

   b. Name and address of the program(s) sponsor;

   c. Name and address of the Related Technical Instruction Provider(s), and the location(s) of instruction, if different from the program sponsor’s address;

   d. Cost of the program(s);

   e. Method and length of instruction; and

   f. Number of active apprentices in each program.

   g. Registered Apprenticeship program sponsors that do not provide the Related Technical Instruction portion of the apprenticeship program (as outlined above) may be required to provide additional information about their education provider.

7. A Registered Apprenticeship program expressing interest in being included on the ETPL will be added on a statewide basis; thus, if it has multiple locations, the RA would only need to show interest once, but must still provide information on every program it is providing.

C. Initial Eligibility, except those providers and programs previously provided Transitional Eligibility (see Section A.3.) or Registered Apprenticeships (See Section B)

New training providers must apply for Initial Eligibility in accordance with the following guidance:

1. Applications for Initial Eligibility of Training Providers and Training Programs

   a. Applications for initial eligibility must be submitted according to the geographical location of the training program. The LWIA should instruct the training provider as to where they should apply for each training program, as follows:

      1) Training programs located in a single LWIA must initially apply with the LWIA where its program is geographically located.
2) Training programs offered in multiple LWIAs and identical across each of the LWIAs must initially apply to the LWIA in which the training provider has identified as its headquarters and/or primary location.

3) Training programs offered in multiple LWIAs - but the program is not substantially the same across the various LWIAs - must initially apply to each LWIA in which the training program is offered.

4) Training programs located out-of-state or not offered at a physical location (e.g., distance learning) must initially apply to the LWIA from which it anticipates receiving the most students.

b. A training provider is prohibited from applying for training program eligibility in LWIAs where the program site is not geographically located, unless the LWIA in which the program is located denies eligibility or fails to act on the application within 30 days of the date of application.

2. General Eligibility - LWIBs must verify that all training programs (except those programs of out-of-state training providers) for which a training provider is seeking eligibility have met the following guidelines:

a. The training provider has gathered all of the mandatory information found in Attachment A - Requirements for Training Program Eligibility and the information has been entered into IWDS.

1) Once the LWIA has verified eligibility of a training provider, they must set up a Training Provider record in the Illinois Workforce Development System (IWDS) as outlined in Attachment A.

2) After the LWIA has entered the training provider on IWDS, the LWIA must supply the training provider with the following:
   a) The user ID for the primary contact that is generated by IWDS to be used by the training provider when they log into the system to request eligibility of training programs or need to update information on a training program;
   b) The temporary password for the primary contact that is generated by IWDS to be used by the training provider to log into the system the first time (the primary contact for the training provider should then change the password to a personally selected unique password); and
   c) The web address (https://iwds.dceo.illinois.gov/iwds/iwdshome.html) to the IWDS system that will direct the training provider to the appropriate system screen.

3) The training provider should begin adding training programs into IWDS to be determined eligible and add contacts for each training program.

b. The specific training provider and training program performance data as outlined in Section J has been provided, when available.

c. The training provider has provided all other information required by the LWIA for which it is seeking eligibility.

1) LWIBs reserve the right to impose additional criteria through local policy that is unique to conditions within a particular LWIA so long as they meet, at a minimum, federal and state requirements.
2) Conditions that should be considered include economic, geographic and demographic conditions in the area and characteristics of the population served by the provider may be considered.

d. The training provider’s program is intended to lead to placement in a Demand Occupation as identified on the Demand Occupation Training List for the Economic Development Region in which they are geographically located.

1) Exceptions to this requirement include:
   a) The training program, as identified on the Demand Occupation Training List (DOTL), is intended to be a beginning step in a Career Pathway or Bridge Program that would lead to placement in a Demand Occupation.
   b) The training provider's program provides only basic skills and/or remedial training.

2) Occupations associated with eligible training programs can only be selected from those available on the demand occupation list.

3) LWIAs may choose to accept applications for training in occupations from any of the Demand Occupation Training Lists in which they are geographically located.

4) Once a customer has begun a qualified training program, he or she shall be allowed to complete the program regardless of whether the occupation still qualifies as a demand occupation.

5) LWIBs may request additional occupations be added to their Regional list. Such conditions as a new plant opening, facility expansion, addition to the state or federal key sector initiatives or other reasons that might indicate multiple job openings will be available.
   a) Requests may also be made to add an occupation when it is the beginning step in a Career Pathway or Bridge Program and is intended to be followed by further training in post-secondary education.
   b) Requests must be made utilizing Attachment B - Demand Occupation Request Form and include at a minimum:
      i) Annual average job opening data for the region, state, and surrounding areas that would support a significant number of employment opportunities;
      ii) Entry level wage data;
      iii) Information indicating the occupation is on a Career Pathway;
      iv) Completion rates of the training program for both WIOA participants and all students; and
      v) Entered employment rates in the occupation for both WIOA participants and all students.
         (a) The data to be provided for WIOA participants under Section b)iv. and Section b)v. above can be through a report generated from the Illinois Workforce Development System (IWDS).
         (b) All student data required under Section b)iv. and Section b)v. above should be for all students enrolled in the program of study for which the local board wishes to add to the Demand Occupation Training List and shall include WIOA participants.
   c) A separate request form must be completed for each occupation the local area would like considered for inclusion on the list.
d) Requests should be made to:

Illinois Department of Commerce and Economic Opportunity  
Office of Employment and Training  
Neely Schlosser  
500 East Monroe Street, 9th Floor  
Springfield, IL 62701-1643

ATTN: Ms. Paula Barry  
or  
Submitted electronically to paula.barry@illinois.gov with a copy to neely.schlosser@illinois.gov.

e. The training provider has provided the following assurances that it will comply fully with all non-discrimination and equal opportunity provisions of the laws listed below:

1) WIA Section 188, which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I financially-assisted program or activity;  
2) Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis of race, color and national origin;  
3) Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;  
4) The Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination against qualified people with disabilities;  
5) The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age;  
6) Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs;  
7) 29 CFR Part 37 and all other regulations implementing the laws listed above; and  
8) This assurance applies to the grant applicant's operation of the WIOA Title I financially-assisted program or activity, and to all agreements the grant applicant makes to carry out the WIOA Title I financially-assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

f. The LWIB has assured that the training provider has provided:

1) all of the information required above;  
2) any additional information provided by the training provider; and  
3) any additional information requested by the LWIB.

g. An agreement between all parties involved, including the training provider and local area(s), on provisions for monitoring in accordance with Section K of this policy letter.
1) If the program occurs in another local area, arrangements must be made to ensure either the local area determining eligibility of the program or the local area in which the program is provided (or both) will conduct monitoring.

2) If the program occurs in another state, arrangements should be made to ensure monitoring will be conducted by the state in which the training is determined eligible or provided.
   a) Local areas should make every effort to ensure adequate monitoring is provided by the out-of-state local area; and
   b) Local areas should limit the amount of travel necessary to conduct out-of-state monitoring; and

h. The LWIB has reviewed the information and approved it as an eligible training program to add to the Eligible Training Provider List in IWDS.

3. Eligibility Timeline

a. The LWIB must determine a program is eligible within 30 days of the application to the LWIA.

1) One exception to this requirement may exist if the LWIB has provided authority to the LWIA to allow a committee of no less than two (2) individuals to conditionally approve programs in lieu of waiting for the LWIB determination of eligibility.
   a) Where this exception has been granted, the program may be deemed eligible until such time as the LWIB can review and approve the determination of eligibility.
   b) Conditionally approved programs must complete the application process as outlined in Section C.1 above.

2) A second exception to the requirement to determine a program eligible within 30 days of application is being extended through June 30, 2016. This exception will provide up to 90 days, but no later than June 30, 2016, from application date for the LWIB to determine a program eligible. This is being extended to allow local boards ample time to meet and review the applications as this policy is phased in. After September 30, 2016, this exception expires.

b. If the LWIB (or committee designated by the LWIB) fails to make a determination (or denies eligibility) of the program within 30 days of the application to the LWIA, the following actions will occur:

1) The program is placed in a "capture list" on IWDS unless it was denied "for cause".

2) Training programs that are placed on the capture list are available for 120 days to be selected by another LWIA and determined eligible by their LWIB. Once the 120-day period passes, the training program will be removed from the capture list.

3) Training programs that did not meet the state performance criteria (as outlined in Section J) or were denied "for cause" will not be placed on the "capture list" and cannot be determined eligible as an approved training program for a period of two (2) years.

4) The LWIA should notify the training provide that if a program does not meet all of the mandatory criteria for initial eligibility or is not accepted by the LWIB within 30 days for some other reason, the training provider can:
a) appeal its acceptance status in accordance with Section I and if accepted, the program will be registered on IWDS and given full eligibility status, as long as the application process has been completed; or
b) wait 30 days from denial of acceptance by the LWIB and reapply with another LWIA.

4. Initial Eligibility Date

a. Once a training program has been determined eligible, the LWIA must enter the date the LWIB approved the program in the "Eligibility/Certification Date" field of the Training Program Basic Information screen on IWDS.

b. The LWIA must also enter the date for continued eligibility of the training program in the "Next Elig./Cert. Date" field of the same screen. (Note: If the LWIA fails to enter a date in this field, the system will automatically generate a date that is one year from the eligibility/certification date.)

1) The next eligibility (next certification) date must be within 1 year of the initial eligibility date.
2) The next eligibility date (next certification) may be selected based on local or training provider needs and agreements. For example:
   a) The LWIA would like to coordinate training program continued eligibility dates so that they have them coincide with regularly scheduled LWIB meetings;
   b) An LWIB may instruct the LWIA to select continued eligibility dates that are distributed throughout the year so as to allow local boards to spread out their eligibility determination workload, thus avoiding the potential bottleneck of review and approval actions once per year; or
   c) A training provider may wish to have all or some of their training program determinations of continued eligibility as a group to streamline the process.

D. Out-of-State Eligible Training Programs

Training programs that have been determined eligible by an out-of-state agency must meet the following requirements for eligibility determination in Illinois:

1. Illinois training provider programs:

   a. If the training program offered in Illinois is identical (i.e., program description, program length, credits earned, licensure, award of certificate, etc.) to the training program offered in another state:

      1) The LWIB may choose to accept a training program which has been determined eligible in another state; or
      2) The LWIB may choose to require the training provider to seek eligibility of its training program through the procedures outlined in section C.1. of this policy letter.

2. If the training program offered in Illinois is not identical to the training program offered in another state, the LWIB must require the training provider to seek eligibility through the procedures outlined in section C.1. of this policy letter.
3. Out-of-state training provider programs

   a. The LWIB may choose to accept the eligibility of an out-of-state training program that has been developed and determined eligible in accordance with guidelines of a local workforce area in another state; or

   b. The LWIB may choose to require the training provider to seek eligibility of its training program through the procedures outlined in Section C.1. of this policy letter.

   c. LWIBs should enter into reciprocity agreements with the LWIBs under which providers of training services may enroll customers into programs provided in states other than Illinois.

      1) Such agreement would provide the conditions by which the out-of-state provider of training services would not be subject to Illinois’ eligibility procedures if the provider has been determined eligible by the other state with such an agreement.

      2) This reciprocity agreement is intended to diminish the burden on states and training providers to be subject to duplicative procedures and expands the array of training options available by additional training providers.

E. Continued Eligibility Process

This section provides the requirements for continued eligibility and continued inclusion on the Eligible Training Provider List (ETPL) for training providers and programs previously approved for initial eligibility and those training providers and programs that were approved for transitional eligibility (as provided under WIOA Transition Policy Letter #7).

1. LWIAs must ensure all training providers have their eligible training programs determined for continued eligibility on at least a biennial (at least every two years) basis to maintain their status as an eligible training program.

   a. LWIAs may want to inform each training provider of any upcoming continued eligibility dates (i.e., a notice sent to the training provider 90 days prior to the continued eligibility date).

   b. Continued eligibility is based on the date entered during the initial eligibility or most recent continued eligibility determination of the training program (as outlined in Section E.4. of this policy letter).

2. The LWIA must receive the training provider's intent to apply for continued eligibility of a training program or programs in sufficient time to meet the following continued eligibility timeline requirements.

   a. The training provider expresses intent for continued eligibility of a training program by resubmitting the Training Program Basic Information application in IWDS.

      1) If a training program has had only changes in information that are not significant information (as outlined in Section F.2.a.), the training provider must make such changes in IWDS and save the Training Program Basic Information record.
2) If a training program has had no changes in information, the training provider must still save the Training Program Basic Information record.

3) Once the Training Program Basic Information record has been saved, the Initial Criteria Status record will change to "Pending Continued Eligibility (recertification)."

4) The change to "Pending Continued Eligibility (recertification)" status will prompt the LWIA that they must send the training program to the LWIB for review and determination.

b. A report will be available for the local area to identify any training programs with a "Pending Continued Eligibility" status.

1) The frequency of producing these reports will be a local decision.

2) The LWIA should utilize due diligence in producing this report routinely throughout the year keeping in mind training programs may be jeopardized if they are not approved for continued eligibility promptly.

3) The report is titled "Training Programs Nearing Continued Eligibility (recertification) Date" in IWDS.

3. The LWIA should continue to make available and enroll customers in any training program with a "Pending" status.

4. The LWIA has 90 days to submit the application(s) to the LWIB for review and approval. The submission to the LWIB should include the following items:

a. A current copy of the Training Program Basic Information record from IWDS;

b. Identification of items that have changed since the initial eligibility or most recent continued eligibility determination;

c. Performance data (as outlined in Section J of this policy letter) for the training program; and

d. Any additional information the training provider has submitted for review or the LWIB determines pertinent to the review.

5. The LWIB should grant continued eligibility to a training program based on the following:

a. State and local eligibility criteria are still being met;

b. State and local performance criteria have been met;

c. One or more O*Net codes associated with the training program remain on the current Demand Occupation Training List;

d. The training provider has maintained timely updates in the Illinois Workforce Development System of information on the training program; and

e. Other conditions for which the LWIB considers necessary for continued eligibility.
6. The LWIB must make a determination of eligibility of the training program within 30 days of receiving the application from the LWIA.

   a. An exception to the requirement to approve subsequent eligibility of transitionally eligible providers and programs within 30 days of application is being extended through June 30, 2016. This exception will provide up to 90 days from application date for the LWIB to determine a program eligible. This is being extended to allow local boards ample time to meet and review the applications as this policy is phased in. After June 30, 2016, this exception expires. The 90-day period shall NOT extend past June 30, 2016 as these providers and programs must receive a determination no later than June 30, 2016 or they will be removed from the Eligible Training Provider List (ETPL) as their transitional eligibility period expires.

   b. LWIBs must notify the LWIA within five (5) business days of their decision to approve continued eligibility as a training program.

   c. The LWIA must update the Training Program Basic Information record in IWDS within ten (10) business days of notification by the LWIB. The update should include the following:

      1) The Status must be changed from "Pending Continued Eligibility (Recertification)" to "Accept" to indicate an accepted continued eligibility application.
      2) The Program Status must be listed as "Approved".
      3) The Last Elig./Cert. Date must be listed as the date the LWIB approved the continued eligibility, not the date the entry is made into IWDS.
      4) The Next Elig./Cert. Date should be listed as the date for which the next continued eligibility should take place (and should take into consideration the same factors for initial eligibility as outlined in Section C.3. of this policy letter).

7. Training programs that are not determined eligible by the LWIB within 30 days of receipt of the application from the LWIA will be removed from the approved program list and may reapply after one year.

8. Training programs that are not determined eligible within 120 days of their continued eligibility date will be removed from the approved program list in IWDS.

   (Note: The intent of this provision is to automatically clear training programs from IWDS when they have not been approved for continued eligibility in a timely fashion. Such programs will not be available for selection and thus are removed.)

9. LWIAs shall cease to enroll customers in any training program that has been moved to the capture list. Customers who have already been enrolled in training programs that are removed from the capture list shall be allowed to complete such training programs.

10. A training provider may reapply for eligibility for any training program that was not determined eligible for any reason other than "for cause" reasons.
F. Training Provider or Training Program Change in Information

1. Training programs shall be subject to renewal of eligibility status by the LWIB or a committee designated by the LWIB of no less than two (2) LWIA staff whenever significant information for the training provider or training program has changed.
   
a. Significant information includes all of the "mandatory" fields on the Training Program Basic Information record in IWDS. (These items are identified by a ** on Attachment A - Requirements for Training Program Initial Eligibility and Continued Eligibility.)
   
b. Change(s) in any significant information must be entered in IWDS within ten (10) business days.
   
c. Submission of a change in significant information indicates a training provider's intent to renew eligibility and prompts the same requirements as under the current eligibility determination.
   
d. A decision under this provision that is made by a designated committee is deemed eligible until such time as the LWIB can review and approve the determination for renewal of eligibility.

2. Training programs should be subject to renewal of eligibility status by the LWIB or a committee designated by the LWIB of no less than two (2) LWIA staff whenever non-significant information on the training program changes prior to the continued eligibility date.
   
a. Non-significant information is any information that is a "mandatory" field (but not considered “significant”, as outlined in Section F.1.a. above) on the Training Program Basic Information application in IWDS, including O*Net codes associated with the training program. (These items are identified by a * on Attachment A - Requirements for Training Program Initial Eligibility and Continued Eligibility.)
   
b. The LWIB or committee should review the training program and all of the changes to determine if the changes have affected the conditions of the initial eligibility or continued eligibility determinations.
   
c. If the changes have significantly altered the training program, the committee should send the training program to the LWIB for renewal of the current eligibility approval.
   
d. If the changes have not significantly altered the training program, the committee should provide "Approval" of the program to continue its eligibility until its next scheduled continued eligibility date.

G. Denial or Revocation of Eligibility

A Local Workforce Innovation Board (LWIB) has the authority to deny approval of initial or continued eligibility or revoke the status of eligibility, and remove it from the eligible training provider list for a training provider or for a training program.
1. In accordance with WIOA, the eligibility of a training provider or its program(s) may be revoked and the training program removed from the approved list of training programs under the following circumstances:
   a. Its annual performance fails to meet the minimum standards set by the State of Illinois or the LWIB for the WIOA performance measures;

   (Note: At the time of issuance of this policy letter, the State of Illinois has not set minimum performance measures other than the requirement to provide performance data, if available.)

   b. If it is determined at any time that the training provider intentionally supplied inaccurate information in its application for eligibility or continued eligibility;

   c. The training provider substantially violated any requirement under WIOA or WIA; or

   d. The training provider voluntarily chooses to cease being an eligible training provider or goes out of business.

2. Training programs that are removed from the eligible training provider list (ETPL) because of a failure in performance shall remain off the list for a period of not less than one year at which time the training provider may re-apply for continued eligibility of the program.

3. In accordance with WIOA, training programs that have been removed from the list of approved training programs based on the reasons found in Section G.1.b. or Section G.1.c. above:
   a. Shall remain off the ETPL for a period of not less than two years at which time the training provider may reapply for continued eligibility of the training program;

   b. May prompt the revocation and removal of all other training programs of the training provider for a period of no less than two years as determined by the LWIB; and

   c. May result in the following actions being taken against the training provider:

      1) The eligibility of the training provider may be revoked;

      2) The eligibility of the training provider to receive funds for the program in question may be terminated;

      3) Any disallowed costs may be recovered; and

      4) The State of Illinois or LWIB may take any other action it deems appropriate.

4. LWIAs shall cease to enroll customers in a training program that has had its eligibility revoked.

   a. Customers who have already been enrolled in such training programs shall be allowed to remain through completion.
b. If it is deemed necessary to immediately close a training program (for such reasons as the training provider committed egregious violations or went out of business) the customers of such program(s) should be provided the opportunity to enroll in a similar program.

H. Notification and Appeal Procedures for Training Providers Denied or Revocation of Eligibility

1. An LWIB that denies or revokes initial or continued eligibility of a training provider and/or any of its training programs for which it has sought approval must notify the affected provider in writing of its decision. The notice shall include the following information:
   a. The training program(s) that are being denied or revoked eligibility;
   b. The reason(s) for the denial or revocation; and
   c. Information about the opportunities the provider has to appeal the decision.

2. The notice must be sent within seven (7) days of the decision to the training provider via registered mail with a copy sent to Department of Commerce, Office of Employment and Training (OET).

3. The training provider has twenty-one (21) days, from the date of receipt of the notice of denial or revocation of eligibility in which to file an appeal to the local workforce investment board (LWIB). The appeal must include the following information:
   a. A statement that the training provider is appealing the denial or revocation of its eligibility;
   b. The reason(s) the eligibility should be granted;
   c. Contact information for additional information; and
   d. The signature of the chief executive of the training provider.

4. The appeal must be submitted formally, in writing, and must be sent by registered mail no later than the 21st day from the date of receipt of the notice of denial or revocation.

5. The LWIB, or a committee designated by the LWIB, will review the request for appeal within twenty-one (21) days of its receipt.
   a. If an administrative error was made or if additional information submitted by the training provider changes the basis upon which the original decision to deny or revoke eligibility was issued, the decision may be reversed and the training program(s) granted the appropriate initial or continued eligibility for inclusion on the eligible training provider list (ETPL).
   b. If the LWIB reverses its decision, it will notify the training entity of its action in writing within seven (7) days. The LWIB will also forward a request to OET for inclusion on the ETPL.
c. If the LWIB does not reverse its decision to deny or revoke eligibility and inclusion on the ETPL, it shall notify the provider within twenty-one (21) days from the receipt of the request that the program(s) was not determined eligible.

d. The notice shall be sent in writing by registered mail. The notice will include information about the opportunities for the provider to appeal its denial of eligibility with OET. A copy of the letter will be forwarded to OET.

6. A provider shall have twenty-one (21) days from the receipt of the final decision by the LWIB to appeal the denial or revocation to OET.

a. OET will have thirty (30) days to complete its investigation into the matter, gather additional information from the affected LWIB(s) file and from the provider (such as the completed local appeal), and issue a final determination of eligibility.

b. During this time period, OET will convene a meeting with the affected parties, if requested.

c. This final determination will be forwarded to the training provider and the LWIB(s) in writing.

d. If OET overturns the decision of the LWIB, the program(s) will be included on the statewide list within seven (7) days.

e. OET will not make a final decision to overturn the decision of an LWIB without convening a meeting with all of the affected parties.

7. OET has the ability to ask an LWIB to deny or revoke a training provider or its program(s) eligibility and have it removed from the list “for cause”.

a. If such decision is made, OET must send a formal written notice of its concerns to the affected LWIB(s). The notice will require local action on the matter.

b. The LWIB(s) will have the option of providing OET with additional information that would clarify and substantiate the provider’s eligibility status or of initiating removal of the provider or its program(s) from the ETPL.

c. Both the notice from OET to the affected LWIB(s) and the board’s response to the notice must be sent by registered mail.

d. The LWIB(s) has twenty-one (21) days to respond in writing to the OET notice.

I. Reinstatement on the Statewide List

1. Since it is possible for a training provider, which was not provided eligibility due to failure in performance, to improve upon its overall performance and otherwise rectify any other conditions of their denial or revocation as an eligible training provider, a provider may re-apply for eligibility after one year from its removal.

a. The training provider must comply with the requirements for initial eligibility;
b. The training provider must demonstrate it has corrected all performance and other
deficiencies which resulted in their removal from the ETPL; and

c. The local board must determine eligibility of the program and submit it for reinstatement
on the ETPL.

2. Since it is possible for a training program that was denied continued eligibility to undergo
significant improvement, a provider may re-apply for initial eligibility of the training program
when it can demonstrate its program quality with at least one year of performance
information.

a. A provider whose training program is removed from the statewide list can therefore re-
apply for program eligibility no sooner than one year from the date of the denial of
program eligibility.

b. The provider must re-apply for program eligibility subject to the policies and procedures
for continued eligibility found in Section C.3.

c. If the program meets the minimum state or local performance standards (if established),
along with any other eligibility criteria in place at the time of re-application, the local
board must determine the program eligible and submit it for reinstatement on the
statewide list of eligible training programs.

3. The local workforce innovation board must reaffirm that a program previously accredited by
the North Central Association, the Illinois Community College Board, or the Illinois State
Board of Education is still accredited or the accreditation has been renewed.

J. Performance Measures

All eligible training providers are required to provide basic performance data, when available, on
their training programs in order to be approved for initial eligibility or continued eligibility.

(NOTE: The State of Illinois understands the current concerns with the ability of training
providers to provide the required performance data. All training providers are encouraged to
begin development of a process to comply with this policy that would include a plan for
identifying all students enrolled in a program of study and capable data system to track the
performance of such enrollees. Further guidance is needed from the Departments of Labor
and Education in order to develop a concise policy. It is anticipated that this guidance will be
available in calendar year 2016. Training providers should plan for the ability to provide this
data no later than July 1, 2018. After this date, training providers may not be eligible to be
added to the Eligible Training Provider List. Further guidance by the State will provide more
detail as it becomes available.)

1. The specific training provider and training program performance information for ALL
students of the program shall be provided, when available. The following ALL student
performance data should include both WIOA and non-WIOA students:

a. Total number of students for this training program;
b. Total number of exiters (defined as those students who completed, withdrew or otherwise are no longer enrolled in the program of study or equivalent and have no planned gap in service and no future services planned, excluding follow-up) in this training program;

c. Number of exiters who are employed during the second quarter after exit quarter;

d. Number of exiters who are employed during the fourth quarter after exit;

e. For all exiters in a program of study where a wage match occurred, the median wage earned in the second quarter after exit;

f. Credential Rate for exiters for this training program;

g. Employment Rate Q2 – completers (defined as a student who successfully completed the program of study in which they were enrolled);

h. Employment Rate Q4 – completers;

i. Median Wage Q2 – completers; and

j. Number of students who began the program of study compared to those who completed the program of study.

2. The WIOA student performance information for each of the data elements outlined in a.-j. above can be extracted from Illinois Workforce Development System (IWDS).

3. The performance data required by J.1. above should be entered into the IWDS for the most current program year, as well as the previous three program years.

a. An example of this would be, during PY16, a CDL training program concluded in January 2016, the outcomes of those students should be reported for PY16, if they are available. Also, this CDL training program has been an ongoing training program since 2000. Data for those programs concluded during PY13, PY14, and PY15 should also be entered, if available.

K. Monitoring and Oversight

All programs approved for either initial or continued eligibility status will be subject to routine monitoring by the Local Workforce Innovation Board (LWIB) and OET.

1. The LWIB is required to conduct annual monitoring of all eligible training providers and their eligible training programs. The LWIB, at a minimum, should:

a. Ensure all eligible training providers have maintained all criteria for which they were determined eligible;

b. Reaffirm that a training program is still accredited or the accreditation has been renewed;

c. Ensure all eligible training program basic information in IWDS has been updated to reflect current information;
d. Conduct routine visits at each location for which eligible training programs are conducted to ensure all assurances outlined in Section C.2.e.) of this policy letter continue to be met

1) In determining the frequency of visits, the LWIB should prioritize as follows those locations:
   a) With training programs approved for initial eligibility;
   b) For eligible training programs exhibiting poor performance;
   c) That have had the longest period since the last visit; and
   d) That warrant a visit based on local criteria.

2) Providers that coordinate and conduct e-learning programs must have visits conducted on their locations consistent with ensuring compliance with this section; and

3) Routine monitoring visits to eligible training providers located outside of the local area (including in another LWIA or out-of-state) may be a coordinated effort so long as the monitoring is consistent with this section; and

e. Ensure that all eligible training programs have met the required performance measures as outlined in section J. of this policy letter.

2. The LWIB is required to cooperate with the OET during any monitoring and oversight activities.

II. INQUIRIES

Inquiries related to the requirements of this policy may be directed to:

Illinois Department of Commerce and Economic Opportunity  
Office of Employment and Training  
Neely Schlosser  
(217) 524-5497  
neely.schlosser@illinois.gov

III. ATTACHMENTS

A. Requirements for Initial Eligibility and Continued Eligibility of Training Providers and Training Programs under WIOA Title I  
B. Demand Occupation Request Form

Sincerely,

Julio Rodriguez, Deputy Director  
Office of Employment and Training  
JR:mb
Requirements for Initial Eligibility and Continued Eligibility of Training Providers and Training Programs under WIOA Title I

A Training Provider must utilize the following guidance when applying for initial eligibility or continued eligibility of a training program. Only eligible training providers may submit an application for training programs. It is the local workforce innovation area’s (LWIA) responsibility to inform and assist training providers in completing these steps to ensure they properly complete the application for eligibility.

A. Once the LWIA has provided the training provider with the web address to the Illinois Workforce Development System (IWDS) (http://iwds.state.il.us), a user ID for the primary contact of the training provider and a temporary password will be emailed to the contact listed on the training provider. The training provider must then log into the system to begin adding additional locations, additional contacts, and/or training programs.

B. The LWIA must verify that the training provider has entered all of the required data elements for each training program for which they are applying. Data elements are entered on the "Training Program Basic Information" record in IWDS. The following data elements must be verified:

(Note: Items with * are mandatory items, items with ** are mandatory items that prompt an automatic eligibility determination if changed.)

- ** Program Name (should match the name found in a course catalog for the training provider, if published).
  a. ** Program Description (detail should be provided to assist the LWIA in determining the proper classification of Instruction Program Code (CIP));
  b. ** 6-digit CIP code;
  c. **O*Net code(s) that identifies the occupation the eligible training program leads to;
     (Generally, the LWIA must complete b & c as the Training Provider does not know the proper code); and
  d. * Website link to additional program information.
- Is this a credit hour program? If yes, how many credit hours for program completion? What is the curriculum code for this program (if one exists)?
- * How many weeks does it typically take to complete the program?
- * What are the total hours of instruction/classroom/lab time?
- * Other than employment, what is the primary goal of the program? (i.e., Associates Degree, Bachelors Degree, etc.) If other than listed, specify.
If Certification, License, or Registration, what is the name of the certifying, licensing, or registering body?

- * Identify up to three occupations for which the individual will be qualified to immediately hold after completing this program.

- What are the program offerings? (check all that apply)
  - Full-Time Enrollment
  - Part-Time Enrollment
  - Internships
  - Non-English Instruction
  - Classroom Instruction
  - Labs
  - Weekend Classes
  - Night Classes
  - Day Classes
  - Internet Instruction
  - Open Entry/Exit
  - Other (Specify)

- What are the entry level requirements of the program? (check all that apply)
  - Drug/Alcohol Screening
  - Language (Specify)
  - HS Diploma/GED
  - Writing (Specify)
  - Physical Exam
  - Prerequisites (Specify)
  - Math (Specify)
  - Other (Specify)
  - Other (Specify)

- ** What is the total cost of this program? (round to the nearest dollar amount)
  - Tuition
  - Books
  - Fees
  - Tests
  - Other Expenses (Materials, Supplies, Tools, Uniforms, etc.)

  TOTAL COST

  Ensure the "Calculate Totals" field is selected to update the total cost of the training program.

- Types of financial aid available (check all that apply)
  - Pell Grants
  - Illinois Monetary Award Program
  - Federal Loans (Stafford, PLUS, etc.)
  - Institutional Scholarships
  - Other (Specify)

- * What year was the program established?

- * Please put a check in the box of each location where this training program is offered.

  If all locations for which the training program are not listed, use the "Add Location" field to add additional locations.

  *Note: Before adding a new location, the LWIA must ensure the location does not currently exist in IWDS. The LWIA should check variations of the location name when verifying this.*
* Has the provider given assurance and certification that their agency fully complied with the nondiscrimination, equal opportunity, and disability provisions of the Workforce Innovation and Opportunity Act? 
(This must be answered with a Yes to be determined eligible.)

* Is this facility and programs accessible to all people with a disability? (29 CFR 32.3)
(This must be answered with a Yes to be determined eligible.)

Please describe the application procedure for this program. Include in this description any documents or materials that the customer should bring when applying for this program.

"Submit" should then be selected to submit the application for approval. "Save, but don't submit" should be selected if additional information needs to be entered before the application is sent for approval.

C. The LWIA must verify that the training provider has entered all of the locally required data elements for each training program for which they are applying. Data elements are entered on the "Training Program Local Information" record in IWDS. Local workforce innovation boards (LWIB) have the discretion of requesting additional information on training programs in addition to the required information found in Section B. above.

D. Once all information has been verified by the LWIA, they must submit it to the LWIB for review and approval.

E. Once approval has been given by the LWIB, the LWIA must return to the Training Program Basic Information record and complete the following fields:

- **Initial Criteria Status** - Should be changed to "Accept".
- **Program Status** - Should be changed from "Pending" to "Approved".
- **Initial Eligibility Date** - Should be the date the LWIB approved the program.
- **Last Eligibility Date** - This is a system generated field and will be the date the program was provided continued eligibility by the LWIB (for new programs, same as Initial Eligibility Date).
- **Next Eligibility Date** - Should be the next date for continued eligibility in agreement with LWIB, LWIA, and training provider, but in no case more than one (1) year from the initial eligibility date or two (2) years from the continued eligibility date recorded for the training program.

NOTE: Under the Transition Policy, the expiration date was extended until June 30, 2016 for all current training providers and training programs that were determined eligible or certified under WIA.

F. The LWIA must produce a periodic report of eligible training programs and check their status. If any training programs' status is listed as "Pending Continued
Eligibility", the training program must be reviewed and sent for continued eligibility. This may occur because the training provider changed information within the "Training Program Basic Information" record that prompts a new eligibility determination (as outlined in Section B above) or the training program's eligibility date has passed.

- The LWIA should produce the report frequently enough to:
  a. Ensure they identify ALL programs needing continued eligibility prior to their continued eligibility date;
  b. Provide the training provider with a notice of any upcoming training programs requiring continued eligibility (and update of information, if necessary); and
  c. Ensure they provide sufficient time to:
     ▪ Review the training program information to ensure it is current;
     ▪ Send the training program to the LWIB for review and approval; and
     ▪ The LWIA can update the "Training Program Basic Information" record prior to the system automatically removing it from the list of approved training programs.

G. The LWIA must send ALL training programs with a "Pending Continued Eligibility" status to the LWIB (or the committee of two (2) or more individuals as designated by the LWIB) for review and approval.
Demand Occupation Request Form

1. Date of Request: __/__/____

**Local Workforce Innovation Area Information**

2. LWIA #: _____
3. EDR #: _____
4. Grantee Name: __________________________
5. Contact Name: __________________________
6. Contact Title: __________________________
7. Contact Telephone #: (___) ___-____
8. Contact Email: __________________________

**Training and Occupation Information**

9. Training Program Title: __________________________
10. Primary CIP Code: ______
11. List any additional CIP Codes for this title: __________, __________, __________, __________
   (Use the O*Net website for information http://online.onetcenter.org/.)
12. Occupation Title: __________________________
13. Primary O*Net Code: __________
14. Additional O*Net Codes: __________, __________, __________
15. Key Sector/Program of Study: __________________________

**Supporting Justification**

(This section will be used to provide a description of the justification for adding a particular title and code to the Demand Occupation Training List. Provide as much detail as possible to assist in the review process to determine the need for inclusion on the list.)

**Employer Need**

(List the employer(s) that will contribute to an increase in the total number of job openings specific to the O*Net codes listed above. Provide documentation from the employer(s) to verify their intent for the increase in opportunities over the next five years. Provide additional employer(s) on a separate sheet.)

16a. Employer Name: __________________________
17a. # of Openings: _____
16b. Employer Name: __________________________
17b. # of Openings: _____
16c. Employer Name: __________________________
17c. # of Openings: _____

**Supporting Information**

18. (Provide a narrative description of the labor market information utilized to determine the need for job openings above the threshold in the Economic Development Region. This need should generate job openings over the next five to ten years. Include information on the Career Cluster and Key Sectors for which the job openings will exist. Attach any additional information and supporting documentation to the information provided.)

**Approval**

19. LWIB Chairperson (printed): __________________________
20. Date: __/__/____
21. LWIB Chairperson Signature: __________________________

**DCEO Review**

Name of Reviewer (printed): __________________________
Date: __/__/____
Signature: __________________________
APPENDIX V
# KANE COUNTY PROCUREMENT ORDINANCE

## TABLE OF CONTENTS

### I. GENERAL PROVISIONS

1.1 Purpose  
1.2 Applicability  
1.3 Severability  
1.4 Property Rights  
1.5 Singular-Plural Gender Rules  
1.5.1 Singular-Plural  
1.5.2 Gender

### II. DEFINITIONS

2.1 Architectural, Engineering and Land Surveying Services  
2.2 Bid Security  
2.3 Change Order  
2.4 Competitive Proposals  
2.5 Competitive Selection  
2.6 Confidential Information  
2.7 Contract Modification  
2.8 Construction  
2.9 Contract  
2.10 Contract Renewal  
2.11 Contract – Revenue Generating  
2.12 Contractor  
2.13 Cooperative Joint Purchasing  
2.14 County Agency  
2.15 Debarment  
2.16 Discussions  
2.17 Elected Official  
2.18 Emergency Purchase  
2.19 Equipment  
2.20 Fully Executed Contract  
2.21 Governmental Unit  
2.22 Invitation for Bids  
2.23 Materials  
2.24 Micro-Purchases  
2.25 Multiple Price Quotation  
2.26 Parent Committee  
2.27 Person  
2.28 Procurement  
2.29 Professional Services  
2.30 Purchasing Agent  
2.31 Purchase Order  
2.32 Request for Information  
2.33 Request for Proposals
III. PROCUREMENT ORGANIZATION

3.1 Principal Public Purchasing Official
3.2 Duties
3.3 Purchasing Regulations and Operational Procedures
3.4 Public Access to Procurement Information
3.5 Delegation to Other County Officials
3.5.1 Authority
3.5.2 Procurement Authority
3.5.3 Specific Delegation - Elected Officials
3.5.4 Specific Delegation – Department of Transportation
3.5.5 Purchasing Records

IV. SOURCE SELECTION AND CONTRACT FORMATION

4.1 Purchases Below Simplified Acquisition Threshold
4.1.1 Simplified Acquisition Threshold
4.1.2 Micro Purchases
4.1.3 Small Purchases
4.1.4 Artificial Division of Fragmentation Prohibited
4.2 Competitive Bidding
4.2.1 Conditions for Use
4.2.2 Invitations for Bid
4.2.3 Public Notice
4.2.4 Bid Opening
4.2.5 Late Bids
4.2.6 Acceptance and Evaluation of Bids
4.2.7 Award
4.3 Multi-Step Sealed Bids
4.3.1 Conditions for Use
4.3.2 Invitation to Submit Technical Offers
4.3.3 Public Notice
4.3.4 Public Opening
4.3.5 Amendments to Technical Offers
4.3.6 Acceptance and Evaluation of Technical Offers
4.3.7 Discussions With Vendors
4.3.8 Receipt of Final Technical Offers
4.3.9 Withdrawal of Offers in Phase One
4.3.10 Public Access
4.3.11 Phase Two of Multi-Step Sealed Bidding
4.4 Request for Proposals
4.4.1 Conditions for Use
4.4.2 Request for Proposals
4.4.3 Public Notice
4.4.4 Receipt of Proposals
4.4.5 Evaluation Factors
4.4.6 Discussions With Responsible Offerors and Revisions to Proposals
4.4.7 Award
4.5 Professional Services Selection Process
4.5.1 Requirements for Engagement of Independent Professionals
4.5.2 Procedures for Selection of Independent Professionals Not Subject to the Local Government Professional Services Selection Act
4.5.3 Procedures for Selection of Independent Professionals Subject to the Local Government Professional Services Selection Act, 50 ILCS 510/1 et seq.
4.5.4 Legal Services
4.5.5 Procedures for Purchase of Items Not Suitable for Competitive Bid
4.6 Sole Source Procurement
4.7 Emergency Purchase
4.7.1 Conditions for Use
4.7.2 Emergency Affidavit
4.7.3 Cost or Pricing Data
4.7.4 Negotiations
4.7.5 Contract Documentation File
4.7.6 Board Ratification
4.8 Auction Purchases
4.9 Request for Information
4.10 Change Order(s)
4.11 Cooperative Joint Purchasing
4.12 Solicitation Amendments
4.12.1 Conditions for Use
4.12.2 Distribution
4.12.3 Receipt Acknowledgement
4.12.4 Timeframe for Vendor Evaluation
4.13 Pre-bid Conferences
4.14 Pre-Opening Modification or Withdrawal of Bids/Offers
4.14.1 Invitation for Bid Modification or Withdrawal
4.14.2 Request for Proposal Withdrawal
4.14.3 Document Retention
4.15 Late Bids/Offer(s), Late Withdrawals and Late Modifications
4.15.1 Definition of Late Bid/Offer/Withdrawal/Modification
4.15.2 Conditions for Rejection
4.15.3 Vendor Notification
4.15.4 Document Retention
4.16 Unidentified Bids/Offers
4.17 Mistakes in Bids/Offers
4.17.1 Mistake Discovered Prior to Bid/Offer Opening
4.17.2 Mistake Discovered After Bid/Offer Opening
4.17.3 Mistake Discovered After Award
4.17.4 Written Determination
4.18 Only One Bid/Offer Received
4.19 Tie Bids
4.19.1 Condition for Tie Bids
4.19.2 Award Determination
4.20 Confidential Information
4.21 Cancellation of a Solicitation
4.22 Cancellation of a Solicitation Before the Due Date and Time
4.22.1 Authority for Determining Cancellation
4.22.2 Notification of Cancellation
4.22.3 Handling of Received Bids/Proposals
4.23 Cancellation of a Solicitation After Receipt of Bids or Proposals
4.23.1 Authority for Determining Cancellation
4.23.2 Notification of Cancellation
4.23.3 Document Retention and Public Inspection
4.24 Rejection of Individual Bids or Proposals
4.24.1 Conditions for Rejection
4.24.2 Notification of Rejection
4.24.3 Document Retention and Public Inspection
4.25 Responsibility of Bidders and Offerors
4.25.1 Determination of Vendor Responsibility
4.25.2 Factors in Determining Responsibility
4.25.3 Determination of Non-Responsible Bidder/Offeror
4.25.4 Notification to Non-Responsible Bidder/Offeror
4.25.5 Dissemination of Bidder/Offeror Information
4.25.6 Bidder/Offeror Rights
4.26 Bid Security and Performance/Payment Bonds
4.27 Multi-year Contracts
4.28 Extension of Bid/Offer Acceptance Time
4.29 Electronic Reverse Auction Bidding
4.29.1 Soliciting Reverse Auction Bids

V. SPECIFICATIONS

5.1 Responsibilities for Specifications
5.2 Relationship With Using Agencies
5.3 Maximum Practicable Competition
5.4 Contractors Engaged for Specification Development

VI. APPEALS AND REMEDIES
6.1 Bid Protests
6.1.1 Right to Protest
6.1.2 Stay of Procurement During Protest
6.2 Claims by Contractor After Contract is Awarded
6.3 Authority of Director of Purchasing to Settle Bid Protests and Contract Claims, Subject to Statutory Provisions
6.3.1 Authority
6.3.2 Notice of the Director of Purchasing’s Decision
6.3.3 Finality of the Director of Purchasing’s Decision and Right to Appeal
6.3.4 Failure to Render Timely Decision
6.4 Access to Administrative Forum, Subject to Statutory Provisions
6.4.1 Appeal Process
6.4.2 Decision
6.4.3 Elected Officials

VII. Debarment and Suspension

7.1 Prohibition to Award Contracts to Parties Debarred or Suspended
7.2 Certification Language to be Included in Solicitations and Contracts
ARTICLE I – General Provisions

1.1 Purpose. Pursuant to Kane County’s statutory obligation to provide for the purchase of commodities, equipment and services, the purpose of this Ordinance is to manage the Procurement process in compliance with all applicable laws and ensure that fair and equitable treatment is provided to all parties involved in Kane County’s purchasing activities. The intent is to foster a competitive bidding environment to maximize public procurement funds, thereby increasing public confidence in the County’s purchasing practices.

1.2 Applicability. This Ordinance applies to Procurement of Materials, Services, Supplies, Equipment, Construction, Construction related Services and Professional Services by Kane County. These provisions shall apply to all expenditures of public funds by a County Agency for purchasing regardless of its source, except as otherwise provided by Federal or State law, regulations, Kane County Ordinance or administrative policy. Procurements involving Federal or State funding will be subject to any applicable law, regulation or grant.

1.3 Severability. If any provision of this Ordinance or any application thereof to any Person or circumstances is held invalid, such invalidity shall not affect the validity of the remaining provisions or application of this Ordinance.

1.4 Property Rights. Receipt of a Solicitation or other Procurement document, or submission of any response thereto, or other offer, confers no right to receive an award or Contract, nor does it obligate Kane County in any manner.

1.5 Singular-Plural Gender Rules

1.5.1 Singular-Plural. Words in the singular number include the plural and those in the plural include the singular.

1.5.2 Gender. Words of a particular gender include any gender and the neuter, and when sense so indicates, words of the neuter gender may refer to any gender.

ARTICLE II – Definitions

2.1 Architectural, Engineering and Land Surveying Services. Those Professional Services within the fields of architecture, professional engineering, structural engineering or land surveying as defined by the Local Government Professional Services Selection Act, 50 ILCS 510/1 et seq.

2.2 Bid Security. A guarantee that the bidder will enter into a Contract, if an offer is presented within the specified period of time, otherwise failure on the bidder’s part will result in forfeiture of the Bid Security.

2.3 Change Order. Written authorization directing the Contractor to modify or change an existing purchase order or Contract.

2.4 Competitive Proposals. Purchases over the Simplified Acquisition Threshold (SAT). Formal solicitation required as well as fixed price cost-reimbursement contracts and is used when sealed bids are not appropriate. The contract should be awarded to the responsible firm whose proposal is most advantageous to the program, with pricing being one of the factors.
2.5 Competitive Selection. A process whereby public Solicitation is used to select the most qualified and responsible provider of Materials, Equipment, Supplies, Services, Construction, and Construction related Services. Methods of Competitive Selection include Invitation for Bids, Requests for Proposals, Requests for Qualifications and Multiple Price Quotations.

2.6 Confidential Information. Any information which is available to an individual, solely due to his/her status as a County employee, and which is not a matter of public knowledge or accessible to the public on request.

2.7 Contract Modification. Any written alteration in the terms or conditions of any Contract accomplished by mutual action of the parties to the Contract.

2.8 Construction. The process of building, altering, repairing, improving, or demolishing any structure or building, or other improvements of any kind to any real property.

2.9 Contract. All types of County agreements, including purchase orders, whether oral or written and regardless of what they may be called, for the Procurement of Materials, Services, Equipment, Supplies, or Construction and Construction related Services that are legally binding promises enforceable by law.

2.10 Contract Renewal. Continuation of the Contract for an additional period of time, under the original terms and conditions, when allowed by provisions for renewal, which were included in the original bid document. If the bid document does not include provisions for renewal, any continuation of the Contract would be considered a new Contract and therefore must be re-bid.

2.11 Contract – Revenue Generating. Revenue generating contracts are agreements under which the County receives from a vendor either a commission or share in the profit generated from the sale of goods or services. Examples include vending machines, food service, and joint-purchasing agreements.

2.12 Contractor. Any Person or entity that is a party to a Contract with the County or a using County Agency thereof.

2.13 Cooperative Joint Purchasing. Procurement conducted by or on behalf of more than one governmental unit.

2.14 County Agency. A County officer, employee, department, division, office, official, commission, board, or agency whose purchasing authority is subject to the provisions of this Ordinance.

2.15 Debarment. Debarment is the process of determining that a contractor is ineligible to receive contract awards based upon a preponderance of evidence, usually a conviction. Debarment is usually three (3) years in length. The name of the debarred contractor may be published as ineligible on the System for Award Management (SAM), which is a website administered by the U.S. General Services Administration, or on the list of sanctioned providers maintained by the State of Illinois Office of Inspector General.

2.16 Discussions. Oral or written negotiations between the County or its agencies and an offeror during which information is exchanged about Specifications, scope of work, terms, conditions and price set forth in the initial proposal. Communication with an offeror for the sole purpose of clarification does not constitute Discussions.
2.17 **Elected Official.** For the purposes of this Ordinance, Elected Official includes; Clerk of the Circuit Court, County Auditor, County Board Chairman, County Board Members, County Clerk, County Coroner, County Treasurer, County Recorder of Deeds, Superintendent of the Regional Office of Education, County Sheriff and State’s Attorney. For purposes of this ordinance, the Chief Judge of the 16th Circuit is deemed an Elected Official.

2.18 **Emergency Purchase.** Procurements obtained in circumstances which include, but are not limited to; situations threatening public health or safety, where immediate repairs required to County property to protect or prevent against further loss or damage, where immediate action is needed to prevent or minimize disruption to County Services, where immediate action is required to ensure integrity of County records, or where immediate action is necessary to avoid a lapse or loss of federal, state or donated funds.

2.19 **Equipment.** Goods that are purchased or used by a County agency that are not Materials or Supplies that are not expendable except through depreciation or wear and tear, and do not lose their identity or become integral parts of other items or installations.

2.20 **Fully Executed Contract.** An agreement is fully executed when it bears the signatures of all parties obligated by the agreement, including the Department Head or County Board Chairman.

2.21 **Governmental Unit.** The State of Illinois, any public authority which has the power to tax, or any other public entity created by Federal or State statute.

2.22 **Invitation for Bids.** A formal request to prospective vendors soliciting price quotations or bids; contains, or incorporates by reference, the specifications or scope of work and all contractual terms and conditions.

2.23 **Materials.** Items or Supplies required in the performance of day-to-day operations.

2.24 **Micro-Purchases.** Purchases that are less than $3,000 ($2,000 for those construction projects subject to the Davis-Bacon Act).

2.25 **Multiple Price Quotation.** Where competitive selection is not required or cannot be utilized because of an emergency, a process of obtaining price information from at least three (3) sources or vendors prior to purchase.

2.26 **Parent Committee.** A standing or ad-hoc committee established by the Kane County Board with specific Using Agency jurisdiction and responsibilities.

2.27 **Person.** Any individual or group of individuals, business, union, firm, corporation, trust, sole proprietorship, joint stock company, partnership, association, joint venture, committee, club, or any entity.

2.28 **Procurement.** The purchasing, renting, leasing or otherwise acquiring of Materials, Supplies, Equipment, Services, Construction and Construction related Services. Includes all functions that pertain to obtaining any Material, Equipment, Supplies, Services, Construction or Construction related Services, including description of requirements, selection and Solicitation of sources, preparation and award of Contract, and all phases of Contract administration. Procurement shall include without limitation the entering into of all Contracts or agreements, whether the same are oral or written.

2.29 **Professional Services.** Those Services requiring special knowledge, education or skill whereby the qualifications of Persons rendering the Services are of primary importance. Professional
Services shall include, but not be limited to, appraisers, attorneys, architects, engineers, accountants, land surveying services, psychologists, physicians and other health professionals and clergy. An essential element distinguishing Professional Services from other Services is confidence, trust, and belief in not only the ability, but also the judgment and talent, of the Person performing the service.

2.30 Purchasing Agent. The Director of Purchasing or any staff member of the Purchasing Department authorized to act as a Purchasing Agent for the county and shall be responsible for the procurement of materials, supplies, equipment, services, construction, construction related services and professional services, and processing contract and purchase orders.

2.31 Purchase Order. A written document signed and issued by the Purchasing Department to a vendor formalizing all terms and conditions of a proposed transaction, such as a description of requested item(s), delivery schedule, terms of payment, and transportation; and directing a business to provide materials, equipment, supplies, services, construction and construction related and professional services to the County.

2.32 Request for Information. All documents issued to vendors for the sole purpose of seeking information about the availability in the commercial marketplace of Materials, Equipment, Supplies, Services, Construction, and Construction related Services.

2.33 Request for Proposals. A formal request to prospective vendors soliciting proposals for professional services contains, or incorporates by reference, the specifications or scope of work and all contractual terms and conditions.

2.34 Request for Qualifications. All documents, whether attached or incorporated by reference, which are used for soliciting qualifications in accordance with procedures defined herein.

2.35 Responsible Bidder or Offeror. A Person who has the capability, in all respects, to fully perform the Contract requirements and who has the facilities, personnel, experience, integrity, reliability, equipment, acceptable past performance, financial strength, credit ranking which will assure good faith performance and is a Responsive Bidder.

2.36 Responsive Bidder. A Person who has submitted a bid that conforms, in all material respects, to the requirements set forth in the Invitation for Bid.

2.37 Reverse Auctions. A reverse auction is a real-time bidding process taking place at a scheduled time and Internet location, in which multiple suppliers, anonymous to each other, submit bids to provide the designated goods and services specified in the Invitation to Bid.

2.38 Sealed Bids. Purchases over the Simplified Acquisition Threshold (SAT). Formal solicitation required and the fixed price is awarded to the responsible bidder who conformed to all material terms and is the lowest in price.

2.39 Services. The furnishing of labor, time, or effort by a Contractor, not involving the delivery of a specific end product other than reports, which are merely incidental to the required performance. This definition shall not apply to employment agreements, collective bargaining agreements or to the definition of “Professional Services” as provided in subsection 2.30 of this section.

2.40 Simplified Acquisition Threshold. The acquisition of supplies and services including construction, research and development and commercial items, the aggregate amount of which does not exceed $30,000 in any one year period.
2.41 **Solicitation.** An Invitation for Bids or Request for Proposals to provide Materials, Services, Equipment, Supplies or Construction and Construction related Services and Professional Services.

2.42 **Small Purchase Threshold.** The threshold established by the County at which public bids are not required.

2.43 **Small Purchases.** Purchases that are at least $3,000 ($2,000 for those construction projects subject to the Davis-Bacon Act) and less than $30,000.

2.44 **Sole Source Procurement.** Award of contract when there is only one source for the required supply, service, or construction item as determined through a competitive selection process.

2.45 **Specifications.** Any description of the physical or functional characteristics or nature of Materials, Services, Equipment, Supplies or Construction and Construction related Services. It may include a description of any requirement for inspecting, testing or preparing Materials, Services, Supplies, Equipment, Construction and Construction related Services.

2.46 **Stringing.** Dividing or fragmenting Procurements in order to circumvent Competitive Selection processes and procedures. For purposes of this Ordinance, “Stringing” is the practice of issuing multiple purchase orders or requisitions for purchasing like items or Services, with the willful intent to circumvent purchasing policies.

2.47 **Subcontractor.** A Person who Contracts to perform work or render service to a Contractor or to another Subcontractor as a part of a Contract with the County.

2.48 **Supplies.** Materials or items used in day-to-day operations, which are usually stored and dispensed as required.

2.49 **Surplus Property.** Any tangible County owned property no longer having any use to the County. Surplus property includes obsolete supplies, scrap materials, vehicles, equipment and nonexpendable supplies that have completed their useful life cycle.

2.50 **Suspension.** Suspension is the process of determining that a contractor is ineligible to receive contract awards based upon adequate evidence, usually an indictment. Suspension is a temporary measure having a 12 month limit. It is usually used pending completion of an investigation or legal proceedings. The name of the suspended contractor will be published as ineligible on the System for Award Management (SAM), which is a website administered by the U.S. General Services Administration, or on the list of sanctioned providers maintained by the State of Illinois Office of Inspector General.

2.51 **Using Agency.** Any County Agency which utilizes any Materials, Services, Supplies, Equipment or Construction and Construction Related Services procured under this Ordinance.
ARTICLE III - Procurement Organization

3.1 Principal Public Purchasing Official
The Director of Purchasing shall serve as the Purchasing Agent for the County and shall be responsible for the Procurement of Materials, Supplies, Equipment, Services, Construction, Construction related Services and Professional Services in accordance with this Ordinance.

3.2 Duties
In accordance with this Ordinance and subject to the direction of the Kane County Board, the Finance Committee, and the Director of Finance, the Director of Purchasing shall;

1. Procure or supervise the purchasing of Materials, Services, Supplies, Equipment, Construction, Construction related Services and Professional Services required by the County.


3. Create and maintain programs for Contract administration, specification preparation, inspection, testing and acceptance, in cooperation with the County agencies using the Materials, Supplies, Services, Equipment, Construction, Construction related Services and Professional Services.

4. Make written determinations as required by this Ordinance, specifying the facts supporting the determination, for retention in the permanent Contract file.

5. Sell, trade, transfer, or otherwise dispose of surplus County property.

3.3 Purchasing Regulations and Operational Procedures
Consistent with this Ordinance, in conjunction with the approval of the Finance Committee and Director of Finance, the Director of Purchasing may adopt purchasing regulations and procedures, which relate to the execution of his/her duties. All such regulations and procedures shall be made available for public inspection.

As a matter of accounting procedure to ensure the County has accurate real time accounting records, Department Heads are required to use the purchasing module of the County’s finance system for requisitioning Materials, Supplies, Equipment, Services, Construction, Construction related Services and Professional Services, in order for the Purchasing Department to issue purchase orders for these transactions.

3.4 Public Access to Procurement Information
Procurement information is a public record but is subject to certain exemptions from disclosure under the Illinois Freedom of Information Act.

3.5 Delegation to Other County Officials

3.5.1 Authority
Pursuant to this Ordinance, the Director of Purchasing may delegate authority to a Using Agency to purchase certain Supplies, Equipment, Materials, Services or Construction and Construction related Services, if such delegation is determined to be the most effective means for Procurement of these items.
3.5.2 Procurement Authority
When the Director of Purchasing has delegated Procurement authority to a County Agency, delegation of all duties and responsibilities of the Director of Purchasing under this Ordinance shall transfer to the County official to whom Procurement authority has been delegated.

3.5.3 Specific Delegation- Elected Officials
Elected Officials having “purchasing authority” pursuant to an internal control statute are encouraged to use the support services of the County’s Director of Purchasing wherever possible. In all cases where the County’s Purchasing Department is not a part of the purchasing transaction, and as a part of the County’s duty to provide timely financial information, the duty to follow the provisions of Section 3.3 of this ordinance and all other provisions regarding the requisition of goods and services is hereby delegated to each and every such Elected Official.

As a matter of accounting procedure to ensure the County has accurate real time accounting records, Elected Officials are required to use the purchasing module of the County’s finance system for requisitioning Materials, Supplies, Equipment, Services, Construction, Construction related Services and Professional Services.

3.5.4 Specific Delegation- Department of Transportation
The Procurements as set forth below by the County’s Department of Transportation need not be processed by the Director of Purchasing, but the Department shall be subject to the requirements of this Ordinance and the regulations promulgated hereunder in making these Procurements.

- Road and bridge Construction, Construction related Services, engineering Services, land acquisition, appraisal services and technical Services necessary to meet the operational requirements of the Kane County Engineer

3.5.5 Purchasing Records
All records relating to a purchase shall be maintained by the County Agency to which Procurement authority has been delegated and a copy of all such records shall be provided to the Purchasing Department upon selection of a vendor.

ARTICLE IV – Source Selection and Contract Formation

4.1 Purchases Below Simplified Acquisition Threshold

4.1.1 Simplified Acquisition Threshold (SAT)
The Simplified Acquisition Threshold (SAT) for the purpose of this Ordinance is established at the level of thirty thousand dollars ($30,000).

4.1.2 Micro Purchases
Procurement of Materials, Services, Supplies, Equipment, Construction or Construction Related Services that are less than $3,000 ($2,000 for those construction projects subject to the Davis-Bacon Act). There is no requirement to obtain competitive quotes but efforts should be made to distribute purchases equitably among qualified providers.

4.1.3 Small Purchases
Procurement of Materials, Services, Supplies, Equipment, Construction or Construction Related Services that are at least $3,000 ($2,000 for those construction projects subject to the Davis-Bacon Act) and less than the Simplified Acquisition Threshold of $30,000 may be awarded by Department Heads and/or the Director of Purchasing where there has been a Competitive Price Quotation process and at least three quotations have been obtained prior to selection.
4.1.4 Artificial Division or Fragmentation Prohibited
Procurements shall not be artificially divided or fragmented (Stringing) so as to fall below the Simplified Acquisition Threshold (SAT) in order to circumvent any bidding or Competitive Selection process and procedures described in this Ordinance.

4.2 Competitive Bidding

4.2.1 Conditions for Use
All Procurements whose value equals or exceeds the Simplified Acquisition Threshold (SAT) of $30,000 shall be awarded either by competitive sealed bidding or electronic reverse auction in accordance with section 4.29 (Electronic Reverse Auction), except as otherwise provided in section 4.4 (Request for Proposals), 4.5 (Professional Services), 4.6 (Emergency Procurements), 4.11 (Cooperative Joint Purchasing) or as provided by State statute.

4.2.2 Invitation for Bids
An Invitation for Bids shall be issued and include all Specifications, terms and conditions applicable to the Procurement.

4.2.3 Public Notice
Reasonable time for the required public notice of the Invitation for Bids shall be given of not less than ten (10) calendar days excluding County holidays prior to the date set forth therein for the submittal and opening of bids. For bids requiring a mandatory pre-bid conference, the public notice must be published at least five (5) calendar days prior to the conference date. Such notice shall include publication in a newspaper of general circulation within Kane County. The public notice shall state the project, place, submittal date and time of bid opening.

4.2.4 Bid Opening
Bids shall be opened publicly in the presence of one or more witnesses at the time and place designated in the Invitation for Bids. The name of each bidder, bid amount and the relevant information the Director of Purchasing deems appropriate shall be read aloud and recorded on an abstract. The abstract shall be available to public inspection in accordance with Section 3.4 (Public Access to Procurement Information).

4.2.5 Late Bids
No bids received after the time specified in the Invitation for Bids will be considered, as it is the responsibility of the bidder to ensure the bid is delivered according to the requirements stated in the Solicitation. All bids received after the specified time will be returned unopened to the bidder.

4.2.6 Acceptance and Evaluation of Bids
Bids shall be unconditionally accepted without alteration or correction, except as authorized by this Ordinance. Bids shall be evaluated to determine which bidder offers the lowest cost to the County in accordance with the evaluation criteria set forth in the Solicitation. Only objectively measurable criteria set forth in the Invitation for Bids shall be applied in determining the lowest Responsive Bidder. Examples of such criteria include, but are not limited to, quality of the product supplied, the product’s conformity with the Specifications, suitability of the product to the requirements of the County, availability of support services, uniqueness of the Service, Materials, Equipment or Supplies as it applies to networked integrated computer systems, compatibility to existing equipment, delivery terms, discounts, transportation costs, and total or life cycle costs. The Invitation for Bids shall set forth the evaluation criteria to be used and no other criteria, not stated in the Specifications, shall be used. Alternative bids may be considered and accepted, only if provisions authorizing such offers are specifically stated in the Invitation for Bids and fulfill the required evaluation criteria set forth therein.
4.2.7 Award
Upon submittal and approval from the Using Agency’s Parent Committee and Executive Committee or County Board, whichever is appropriate, the Contract shall be awarded by appropriate notice to the lowest Responsible Bidder whose bid meets the requirements and criteria set forth in the Invitation for Bids. All contractually required documentation will be required prior to any notice to proceed.

4.3 Multi-Step Sealed Bids

4.3.1 Conditions for Use
The multi-step sealed bid method may be used if the Purchasing Director determines;
- Available Specifications or purchase descriptions are not sufficiently complete to permit full competition without technical evaluations and Discussions to ensure mutual understanding between the bidder and the County
- Definite criteria exists for evaluation of technical offers
- More than one technically qualified source is expected to be available
- A fixed-price Contract will be utilized

4.3.2 Invitation to Submit Technical Offers
In Phase One, multi-step bidding shall be initiated by the issuance of an Invitation to Submit Technical Offers and shall be prepared in a format approved by the Director of Purchasing. The Invitation to Submit Technical Offers shall contain the following information:
- Notice that the Procurement will be conducted in two phases and priced bids shall be considered only in the second phase from bidders whose un-priced technical offers are found acceptable in the first phase
- Instructions and information concerning submission requirements, due date and time, submittal address, time period the offer shall remain open and any other special information
- The best description of the Materials, Equipment or Services requested
- The requirements of the technical offers, such as drawings, descriptive literature, samples, technical data and inspection or testing of a product before award

4.3.3 Public Notice
Reasonable time for the required public notice of the Invitation to Submit Technical Offers shall be given of not less than ten (10) calendar days excluding County holidays prior to the date set forth therein for the submittal and opening of bids. For offers requiring a mandatory pre-proposal conference, the public notice must be published at least five (5) calendar days prior to the conference date. Such notice shall include publication in a newspaper of general circulation within Kane County. The public notice shall state the project, place, submittal date and time of bid opening.

4.3.4 Public Opening
The name of each offeror and other information deemed appropriate by the Director of Purchasing shall be read aloud and recorded on an abstract, which will be available for public inspection. The abstract and each technical offer shall be open to public inspection in accordance with Section 3.4 (Public Access to Procurement Information).

4.3.5 Amendments to Technical Offers
The Invitation to Submit Technical Offers may be amended after the submission of the un-priced technical offers and shall only be distributed to bidders who submitted un-priced technical offers. These bidders will be permitted to submit new un-priced technical offers or to amend the offers.
previously submitted. If an amendment materially changes the Procurement, the Invitation to Submit Technical Offers shall be cancelled in accordance with section 4.21.

4.3.6 Acceptance and Evaluation of Technical Offers
Un-priced technical offers shall be evaluated solely in accordance with the criteria set forth in the Invitation to Submit Technical Offers and shall be determined to be either acceptable or potentially acceptable for further consideration or unacceptable. A determination that an un-priced technical proposal is unacceptable shall be in writing, state the basis of the determination and be retained in the Procurement file. If the Director of Purchasing determines a bidder’s un-priced technical offer is unacceptable, the Director of Purchasing shall notify the bidder of this determination and that the bidder shall not be afforded an opportunity to amend its technical offer.

4.3.7 Discussions with Vendors
The Director of Purchasing may hold Discussions with any bidder who submits an acceptable or potentially acceptable technical offer, before submission or at any time during the evaluation of the un-priced technical offers. During Discussions, the Director of Purchasing shall not disclose any information derived from one un-priced technical offer to any other bidder. After Discussions, the Director of Purchasing shall establish a closing date for receipt of final technical offers and shall notify, in writing, bidders submitting acceptable or potentially acceptable offers of the closing date. The Director of Purchasing shall keep a record of all Discussions.

4.3.8 Receipt of Final Technical Offers
After receipt of final technical offers, the Director of Purchasing shall determine whether the technical offers are acceptable for consideration in Phase Two or are unacceptable.

4.3.9 Withdrawal of Offers in Phase One
At any time during Phase One, offers may be withdrawn.

4.3.10 Public Access
Technical offers received shall be open to public inspection after the execution of a Contract except to the extent set forth in Section 3.4 (Public Access to Procurement Information).

4.3.11 Phase Two of Multi-step Sealed Bidding
Upon completion of Phase One, the Director of Purchasing shall conduct Phase Two by issuing an Invitation for Bids under Section 4.2 (Competitive Bidding), except that the Invitation for Bids shall be issued only to bidders whose technical offers were determined to be acceptable in Phase One.

4.4 Request for Proposals

4.4.1 Conditions for Use
In cases where the County seeks to contract for a project or service whose goals, tasks or results are known, but for which the procedure or method of accomplishing same either may not be specified or is otherwise undetermined, a Contract may be entered into by use of the Request for Proposal procedure. Reasons for using the Request for Proposal procedure shall be approved by the Director of Purchasing prior to the commencement of this procedure. Professional Service contracts that equal or exceed $30,000 shall be subject to a request for proposal according to the selection process set forth in Section 4.5 of this Ordinance (Professional Services Selection Process).

4.4.2 Request for Proposals
A Request for Proposals shall be issued and include all Specifications, terms and conditions applicable to the Procurement.
4.4.3 Public Notice
Reasonable time for the required public notice of the Invitation to Submit Proposals shall be given of not less than ten (10) calendar days excluding County holidays prior to the date set forth therein for the submittal and opening of the proposals. For offers requiring a mandatory pre-proposal conference, the public notice must be published at least five (5) calendar days prior to the conference date. Such notice shall include publication in a newspaper of general circulation within Kane County. The public notice shall state the project, place, submittal date and time of bid opening.

4.4.4 Receipt of Proposals
Names of offerors will be read aloud in the presence of one or more witnesses and recorded on an abstract. Contents of the sealed proposals shall not be disclosed to any of the competition or offerors during the negotiation process. The abstract shall be open for public inspection only after the Contract is awarded in accordance with Section 3.4 (Public Access to Procurement Information).

4.4.5 Evaluation Factors
The Request for Proposals shall state the relative importance of price and other evaluation factors.

4.4.6 Discussions with Responsible Offerors and Revisions to Proposals
As provided in the Request for Proposals, Discussions may be conducted with the Responsible Offerors, who submitted proposals determined to be susceptible of being selected for award, for the purpose of clarification to assure full understanding and responsiveness to the Solicitation requirements. Offerors shall be accorded fair and equal treatment with respect to any opportunity for Discussions and revision of proposals and such revision may be permitted after submissions and prior to award for the purpose of obtaining best and final offers.

4.4.7 Award
After submission and approval by the Using Agency’s Parent Committee and Executive Committee or County Board, whichever is appropriate, award will be made to the Responsible Offeror whose proposal conforms to the Solicitation and is determined, in writing, to be in the best interests of the County based on the evaluation factors set forth in the Request for Proposals. The Contract file shall contain the basis on which the award is made.

4.5 Professional Services Selection Process
There will be circumstances where it will be necessary or advisable for Kane County to engage the services of independent professionals because of the County’s requirement or need for such services determined on a project-specific basis. In such cases, it shall be the goal of the County to negotiate the lowest reasonable fees consistent with obtaining the highest possible quality of service and professional expertise from the service providers. Independent professional service providers shall be selected on the basis of their demonstrated competence and expertise relative to the services to be rendered, the cost of the services, and their demonstrated or perceived ability to work with County staff, elected officials, and, where applicable, other units of government and members of the public.

The services may require mandatory or essential technical skills as well as, in some cases, professional licenses or certifications and are provided by accredited professionals in connection with defined assignments, which may result in the preparation of a report, the review and analysis of reports prepared by others, preparation of plans or specifications, recommendations of a particular course of action or policy, and include supervision of an activity (such as construction).
4.5.1 Requirements for Engagement of Independent Professionals
The need or requirement of the County for the engagement of independent professional services shall be based on a determination that one or more of the following circumstances exist:

A. The project requires an independent professional as a condition of Federal, State or local law or regulation, or as a condition of a Federal, State or other grant or intergovernmental agreement;

B. The project requires specialized expertise or multiple areas of expertise not available from existing staff;

C. County staff is not available for the project due to present or anticipated workload or other time constraints;

D. The project requires a limited engagement where it is not cost-effective to hire new full-time staff to provide the necessary services or expertise;

E. An actual emergency exists where existing staff cannot effectively be deployed or mobilized due to the nature of the occurrence or time constraints.

4.5.2 Procedures for Selection of Independent Professionals Not Subject To The Local Government Professional Services Selection Act.
Contracts for professional services that are less than $3,000 may be awarded by Department Heads pursuant to rules promulgated by the Director of Purchasing.

Contracts for professional services that are at least $3,000 and less than $30,000 may be awarded by Department Heads and/or the Director of Purchasing where there has been a Competitive Price Quotation process and at least three quotations for the services have been obtained prior to selection.

Contracts for professional services that equal or exceed $30,000 shall be awarded after a competitive selection process that includes a Request for Proposal to provide the services, except in cases of actual emergency as set forth in Section 4.7 (Emergency Purchase) of this Ordinance. The County may require a uniform Request for Proposal process to be employed in the case of all contracts subject to the jurisdiction of the Kane County Board and such other cases where it can be made applicable.

Contracts for professional services shall include or be accompanied by documentation from the appropriate Department Head or Parent Committee referencing the specific provision(s) of Section 4.5.1 (Requirements for Engagement of Independent Professionals) of this Ordinance applicable to the particular project.

4.5.3 Procedures for Selection of Independent Professionals Subject To The Local Government Professional Services Selection Act, 50 ILCS 510/1 et seq.
Professional services of architects, engineers and land surveyors are governed by the requirements of the Local Government Professional Services Selection Act, 50 ILCS 510 et seq (the “Act”), and by local policy, rules and regulations, including where applicable, the Qualification Based Selection process of the Kane County Division of Transportation. All Professional Service Contracts or agreements for professional services for architectural, engineering or land surveying purposes, which equal or exceed $5,000, shall be subject to the Act.
4.5.4 Legal Services
Legal services are subject to the supervision and control of the Kane County State’s Attorney.

4.5.5 Procedures for Purchase of Items Not Suitable for Competitive Bid, 50 ILCS 5/5-1022(c)
The purchase of used computer hardware, used computer hardware maintenance, and used computer hardware support services shall not be required to be competitively procured. Purchases over $30,000 must be authorized for purchase by the County Board.

The purchase of computer software, computer hardware, and computer databases that have been competitively procured and that require additional proprietary licensing, software integrations, software development, software maintenance, computer hardware maintenance, database maintenance, software support services, database support services and computer hardware support services are not suitable for competitive procurement and may be authorized for purchase. Purchases over $30,000 must be authorized by the County Board.

4.6. Sole Source Procurement
With the exception of Micro Purchases (Section 4.1.2), no contract may be awarded without complying with the competitive selection process appropriate for the type of procurement as determined by one of the following sections of this Ordinance: Small Purchases (Section 4.1.3), Competitive Bidding (Section 4.2), Multi-Step Sealed Bids (Section 4.3), Request for Proposals (Section 4.4), Professional Services (Section 4.5), Emergency Purchase (Section 4.7), Auction Purchases (Section 4.8), or Cooperative Joint Purchases (Section 4.11).

- Purchases below the Simplified Acquisition Threshold ($30,000): If after conducting a good faith review of available sources, there is only one source for the required supply, service, or construction item, both the Purchasing Director and the Department Head must approve of the negotiated price, delivery and terms.

- Purchases at or above the Simplified Acquisition Threshold ($30,000): If after complying with the appropriate competitive selection process only one responsive bid or offer is received, the procurement shall comply with the procedures stated in Section 4.18 (Only One Bid/Offer is Received) of this Ordinance.

4.7 Emergency Purchase

4.7.1 Conditions for Use
An Emergency purchase equaling or exceeding $30,000 may be authorized without bidding in certain situations including, but not limited to, situations threatening public health or safety, where immediate repairs are required to County property to protect or prevent against further loss or damage, where immediate action is needed to prevent or minimize disruption to County Services, where immediate action is required to ensure integrity of County records and where immediate action is necessary to avoid the lapse or loss of federal, state or donated funds. An Emergency Purchase shall be limited to those Materials, Supplies, Equipment, Services, Construction and Construction related Services necessary to satisfy the emergency and these purchases shall be made with such competitive evaluation as is practicable under the circumstances.

4.7.2 Emergency Affidavit
A department seeking an Emergency Purchase shall prepare an emergency affidavit documenting both the existence of an emergency condition and the nature of the emergency. The Department Head shall sign the affidavit and submit to the County Board Chairman the emergency affidavit requesting authorization to make the emergency purchase. If the County Board Chairman is unavailable, then the signature authorizing approval shall be obtained from the Board Vice Chairman. If the Board Vice Chairman is unavailable, then the signature
authorizing approval shall be obtained from the Using Agency’s Parent Committee Chairman and the Finance Committee Chairman.

**4.7.3 Cost or Pricing Data**
The Director of Purchasing may require from the requesting County Agency the submission of cost or pricing data in connection with an award under this section.

**4.7.4 Negotiations**
The Director of Purchasing shall negotiate with the supplier, to the extent practical, a Contract in the best interest of the County. The price being paid must be reasonable considering the circumstances.

**4.7.5 Contract Documentation**
The emergency affidavit must be submitted to the Director of Purchasing as soon as practicable and shall be included in the Contract file.

**4.7.6 Board Ratification**
Any Emergency Purchase equaling or exceeding $30,000 under this section shall be placed on the agenda for ratification at the next regularly scheduled Parent Committee, Executive Committee and County Board meeting.

**4.8 Auction Purchases**
Purchases may be made at auction in accordance with the procedures and requirements applicable to that particular auction. Notice and Competitive Selection is not a requirement and the amount paid shall be the amount bid and accepted, plus any required buyer’s premium. Prior to the auction, the County’s Finance Director must authorize in writing an upper expenditure limit for the item(s) under consideration at auction. Auction purchases shall be treated as an Emergency Purchase and shall comply with the procedures stated in Sections 4.7.2 and 4.7.6 (Emergency Purchase) of this Ordinance.

**4.9 Request for Information**
The Director of Purchasing may issue a Request for Information to obtain data about Services, Equipment, Materials, Supplies, or Construction and Construction related Services to meet a specific County requirement. Sufficient public notice shall be provided in the same manner as stipulated in Section 4.2.3 (Competitive Bidding, Public Notice).

**4.10 Change Order(s)**
Change Orders for a Contract obtained pursuant to this Ordinance shall be processed under the following guidelines:

- A Change Order(s) where the cost equals or exceeds $30,000, either singularly or in the aggregate requires approval from the authorized official of the Using Agency, the Parent Committee of the Using Agency and the County Board.
- In situations where the time required for processing approval of a Change Order necessitated by field conditions, whose total purchase cost exceeds $30,000, would unreasonably interrupt project schedules to the financial detriment of the County, the Change Order may be processed by an authorized official of the County’s Using Agency after written notification to the Using Agency’s Parent Committee Chairman. Change Orders made under these conditions shall be placed on the agenda for ratification at the next regularly scheduled Executive Committee or County Board meeting, whichever is appropriate.
4.11 Cooperative Joint Purchasing
The Director of Purchasing may procure Materials, Services, Supplies, Equipment, Construction or Construction related Services, through any governmental agency without complying with the requirements of Section 4.2 (Competitive Sealed Bidding), provided;

- Such Procurements are made pursuant to a written agreement between the governmental agency and the Kane County Board.
- Competitive Selection procedures, similar to the requirements of Section 4.2 (Competitive Bidding), were used in the applicable Procurement
- This type of Procurement is not employed as a means for circumventing the general intent of this Ordinance
- The County is authorized by Illinois law or regulation to contract with such governmental agency

Prior to entering into any such written agreement, the Director of Purchasing shall obtain a written opinion from the Kane County State’s Attorney that such agreement is authorized by law.

4.12 Solicitation Amendments

4.12.1 Conditions for Use
If necessary, an amendment to a Solicitation shall be issued to:

- Make changes in the Solicitation
- Correct defects or ambiguities
- To furnish other bidders information provided one bidder if the information will assist the other bidders in submitting bids or the lack of information will prejudice the other bidders.

4.12.2 Distribution
Amendments to Solicitations will be identified as such and shall be sent to all Persons to whom the solicitation was originally sent.

4.12.3 Receipt Acknowledgement
Amendments shall require the bidder to acknowledge receipt of the amendment by signing and returning the Offer to Contract page with their bid response on or before the scheduled date and time of the opening.

4.12.4 Timeframe for Vendor Evaluation
Amendments shall be issued a reasonable period before the due date to allow prospective bidders sufficient time to consider the amendment in preparing their bids. If the due date does not allow the bidder sufficient time to review the amendment, the due date may be extended.

4.13 Pre-Bid Conferences
The County may conduct a pre-bid conference within a reasonable time, but not less than five (5) days before the scheduled bid opening date, to explain the Procurement requirements. Verbal statements made at the pre-bid conference which are not consistent with the written Solicitation shall not be binding upon the County unless a written amendment is issued.

4.14 Pre-Opening Modification or Withdrawal of Bids/Offer

4.14.1 Invitation for Bid Modification or Withdrawal
A bidder may modify or withdraw its bid at any time before the bid opening, if the sealed modification or withdrawal is received in writing before the due date. A bidder or the bidder’s authorized representative may withdraw the bid in person if, before the scheduled opening date,
the identity of the individual requesting withdrawal is established and that person signs a receipt for the bid. A bid may not be withdrawn if the bid opening has begun.

4.14.2 Request for Proposal Withdrawal
A proposal may be withdrawn at any time before the scheduled opening date and time. An offeror or the offeror’s authorized representative may withdraw the proposal in person if, before the scheduled opening date, the identity of the individual requesting withdrawal is established and that person signs a receipt for the proposal. A proposal may not be withdrawn if the offer opening has begun.

4.14.3 Document Retention
All documents concerning a modification or withdrawal of a bid/offer shall be retained in the appropriate Procurement file.

4.15 Late Bids/Offer, Late Withdrawals and Late Modifications

4.15.1 Definition of Late Bid/Offer/Withdrawal/Modification
A bid, offer, withdrawal, or modification is considered late by the County if it is received after the date and time set for the submission of such bids/offers.

4.15.2 Conditions for Rejection
A late bid, late offer, late withdrawal, or late modification shall be rejected unless it would have been received on time but for the action or inaction of County personnel.

4.15.3 Vendor Notification
Bidders submitting late bids, late offers, late withdrawals, or late modifications shall be notified of the rejection as soon as practicable.

4.15.4 Document Retention
Documentation regarding a late bid, late offer, late withdrawal, or late modification shall be retained in the appropriate procurement file.

4.16 Unidentified Bids/Offer
An unmarked envelope that does not identify a bid or bidder may be opened for the purpose of identification. Record shall be made on the envelope regarding the reason for its opening, date and time it was opened, the Solicitation to which the bid applies and the signature of the individual who opened the envelope. The envelope shall then be resealed and retained in the Procurement file until the scheduled bid date.

4.17 Mistakes in Bids/Offer

4.17.1 Mistake Discovered Prior to Bid/Offer Opening
A bidder/offeror may correct mistakes discovered before the scheduled date and time for the bid/offer opening by withdrawing or correcting the bid/offer as provided in Section 4.14 (Pre-Opening Modification or Withdrawal of Bids/Offer).

4.17.2 Mistake Discovered After Bid/Offer Opening
After bid/offer opening, a bid/offer mistake may not be corrected or withdrawn except in the following situations:
- In the case of a mathematical error, the unit cost shall prevail and any corrections required due to an error of this nature shall be done by the County.
- The Director of Purchasing may waive any minor (non-price) informalities in a bid/offer or allow the bidder/offeror to correct them if the revision is in the best interests of the County.
• Corrections to a bid/offer shall be permitted only to the extent the bidder/offeror can show by clear and convincing evidence that a mistake of nonjudgmental character was made, the nature of the mistake and the bid/offer price actually intended. The Director of Purchasing shall consult with the Using Agency and Parent Committee chairman prior to allowing the correction.

• In lieu of bid/offer correction, a bidder/offeror alleging a material mistake of fact may be permitted to withdraw its bid if:
  o The mistake is clearly evident on the face of the bid document but the intended correct bid is not similarly evident or:
  o The bidder submits evidence that clearly and convincingly demonstrates that a mistake was made.
  o The Director of Purchasing consults with the Using Agency and Parent Committee chairman prior to allowing the bid withdrawal.

4.17.3 Mistake Discovered After Award
Mistakes shall not be corrected after award of a Contract except in cases where the Director of Purchasing makes a written determination that it would be unconscionable in not allowing correction to the error and upon approval from the Using Agency, Parent Committee, and County Board.

4.17.4 Written Determination
If a correction or withdrawal of a bid/offer after bid/offer opening is permitted or denied under this section, the Director of Purchasing shall prepare a written determination indicating the basis of the decision to approve or deny the correction or withdrawal.

This section shall not preclude any offer modifications requested or allowed as part of a Request for Proposal process.

4.18 Only One Bid/Offer is received
If only one responsive bid/offer is received to a Solicitation, an award may be made to the single bidder/offeror if the Director of Purchasing determines in writing that the price submitted is fair and reasonable and that other prospective bidders/offerors had reasonable opportunity to respond or that there is not sufficient time for initiating another Solicitation. Otherwise the Director of Purchasing may exercise the option to reject the bid/offer and seek bids/offers through a new Solicitation.

4.19 Tie Bids

4.19.1 Conditions for Tie Bids
Tie bids are the lowest cost bids from Responsive and Responsible Bidders that are identical in price.

4.19.2 Award Determination
Award of tie bids will be determined as follows:

• If the bids are equal in all respects, the award shall be made by a coin toss by the Director of Purchasing with one or more witnesses upon three days written notice to the bidders. Tie bidders will be afforded the opportunity to witness the coin toss, however, attendance is voluntary.

4.20 Confidential Information
If a Person believes a bid, proposal, offer, specification or protest submitted to the County contains either trade secrets or proprietary property, a statement should be included in the submission, which describes and supports their claim. The trade secrets or proprietary property must be specifically
identified as the information considered confidential. Entire bid submissions shall not be eligible for consideration as confidential material. Trade secrets or proprietary property are exempt from inspection and copying under the Illinois Freedom of Information Act (the “Act”).

The County does not represent, warrant or guarantee that any information designated as trade secrets or proprietary property will in fact be so deemed by any Court, and all bidders assume the risk that any and all information contained in a bid or proposal may not be exempt from disclosure under the Act. The County expressly disclaims all liability for such disclosure.

4.21 Cancellation of a Solicitation
A Solicitation may be cancelled or submitted bids or proposals may be rejected in whole or part as may be specified in the Solicitation if it is in the best interests of the County. The reasons for such cancellation or rejection shall be included in the procurement file. Every Solicitation issued by the County shall contain language stating the County’s right to cancel the Solicitation and to reject submitted bids or proposals.

4.22 Cancellation of a Solicitation Before The Due Date and Time

4.22.1 Authority for Determining Cancellation
The Director of Purchasing has the authority to cancel a Solicitation, in whole or part, before the due date and time if a determination is made that cancellation is in the best interests of the County.

4.22.2 Notification of Cancellation
If a Solicitation is cancelled before the required submittal date and time, notice of the cancellation shall be sent to all Persons to whom the Solicitation had been distributed. The notice shall identify the Solicitation and the reason for cancellation.

4.22.3 Handling of Received Bids/Proposals
Any received bids/proposals shall be returned unopened to the vendors.

4.23 Cancellation of a Solicitation After Receipt of Bids or Proposals

4.23.1 Authority for Determining Cancellation
The Director of Purchasing has the authority to cancel a Solicitation after receipt of bids or proposals, but before award, if a determination is made that cancellation is in the best interests of the County.

4.23.2 Notification of Cancellation
A notice of cancellation shall be sent to all bidders or offerors submitting bids or proposals.

4.23.3 Document Retention and Public Inspection
Bids or proposals received for the cancelled Solicitation shall be retained in the appropriate procurement file. If, within a reasonable time, the Director of Purchasing intends to issue a new Solicitation for the same Materials, Services, Equipment, Supplies, Construction or Construction related Services the proposals submitted under the cancelled Solicitation may be withheld from public inspection upon written determination that this action is in the County’s best interest. After award of the second Solicitation, bids or proposals submitted in response to both Solicitations shall be open for public inspection to the extent set forth in Section 3.4 (Public Access to Procurement Information).
4.24 Rejection of Individual Bids or Proposals

4.24.1 Conditions for Rejection
A bid or proposal may be rejected if:
- The bidder is determined to be non-responsible in accordance with Section 4.25
- The bid is non-responsive pursuant to Section 2.36
- The proposed price is unreasonable
- The bid or proposal is not in the best interests of the County

4.24.2 Notification of Rejection
Bidders or offerors will be notified in writing of the rejection of their bids or proposals with a copy retained in the appropriate procurement file.

4.24.3 Document Retention and Public Inspection
The determination for rejection will be retained in the Procurement file and shall be available for public inspection to the extent set forth in Section 3.4 (Public Access to Procurement Information).

4.25 Responsibility of Bidders and Offerors

4.25.1 Determination of Vendor Responsibility
Before awarding a Contract to a bidder or offeror, the Director of Purchasing will determine whether that bidder or offeror is responsible. The signature of the appropriate official authorized to execute the Contract award signifies the bidder or offeror is responsible.

4.25.2 Factors in Determining Responsibility
Factors considered in determining whether a bidder or offeror is responsible are:
- The bidder’s or offeror’s resources in terms of financial, physical and personnel
- The bidder’s or offeror’s record in terms of past performance and integrity, such as a recent record of failure to perform or of unsatisfactory performance in accordance with the terms of one or more contracts; a violation of the County’s Ethics Ordinance; a debt owed by the contractor to the County; or suspension or debarment by another governmental entity
- Whether the bidder or offeror is legally qualified to do business with the County
- Whether the bidder or offeror complied with requirements for submitting information regarding their responsibility
- Whether the bidder or offeror met specific responsibility criteria established within the Solicitation for a particular Procurement
- Where a bidder or offeror fails to promptly supply information in connection with any inquiries concerning responsibility
- The qualities of the products supplied, their conformity with the Specifications and their suitability to the requirements of the County
- Availability of support services
- Uniqueness of the Services, Materials, Equipment or Supplies as it applies to networked, integrated computer systems
- Compatibility to existing Equipment
- Delivery terms

4.25.3 Determination of a Non-Responsible Bidder/Offeror
A determination of a non-Responsible Bidder or Offeror shall be in writing by the Director of Purchasing outlining the basis of the determination and a copy shall be included in the procurement file.
4.25.4 Notification to Non-Responsible Bidder/Offeror
A notice shall be sent to the non-Responsible Bidder or Offeror stating the basis of the determination. The decision may be appealed as provided in Article Six of this Ordinance.

4.25.5 Dissemination of Bidder/Offeror Information
Information furnished by a bidder or offeror pursuant to this section shall not be disclosed outside of the Purchasing Department without the prior written consent by the bidder or offeror except in accordance with Section 3.4 (Public Access to Procurement Information).

4.25.6 Bidder/Offeror Rights
A finding of non-responsibility shall not be construed as a violation of the rights of any Person.

4.26 Bid Security and Performance/Payment Bonds
Bid Security may be required for Contracts when provided by statute or when the Director of Purchasing determines it is in the best interests of the County.

Acceptable forms of security which may be submitted are: an executed surety bond issued by a firm licensed and registered to transact such business with the State of Illinois; cash, certified check or cashier’s check payable to Kane County (personal or company checks are not acceptable); an irrevocable letter of credit; or any other form of deposit issued by a financial institution and acceptable to the County.

Bid Security shall be in an amount not to exceed ten (10) percent of the amount of the bid/offer.

Contract Performance and Payment Bonds: When a Contract is awarded the required performance bonds or payment bonds, in the amount stated in the bid document, shall be delivered to the County and shall become binding on the parties upon the execution of the Contract. Bid Security, performance bonds or payment bonds shall not serve as a substitute for determining bidder responsibility.

4.27 Multi-year Contracts
The County’s policy on multi-year Contracts includes the following:
- All multi-year Contracts presented for approval shall contain the total value of the award for the multi-year period.
- Multi-year Contracts shall not be presented to a Parent Committee or County Board where the terms of the contract exceeds two (2) years without prior approval by the Director of Purchasing and Director of Finance.
- All Multi-year contracts will include a non-appropriations clause stating that continuation of the contract is based on the appropriation of funding approved by the County Board.
- The Resolution authorizing the Chairman to execute the multi-year contract shall include the following, or substantially similar language: “Whereas, the Contract calls for the use of funds beyond the present budget year and the County of Kane acknowledges the necessity of the appropriation of such funds”

4.28 Extension of Bid/Offer Acceptance Time
After opening of bids or offers, the Director of Purchasing may request, in writing, an extension of time during which the County may accept the bids or offers only from bidders or offerors meeting the stipulated submission date and time requirements of the Solicitation.

Subsequent to receipt of the County’s extension request the bidder or offeror may withdraw their bid or offer, without penalty, through written notification to the Director of Purchasing. No other modifications shall be allowed.
4.29 Electronic Reverse Auction Bidding
The Purchasing Director may procure materials, services supplies, equipment, construction, construction related services and professional services with an electronic reverse auction company, in accordance with the Illinois Procurement Code, when deemed to provide the best value or all purchasing methods provide equal value to the County.

4.29.1 Soliciting Reverse Auction Bids
Reverse auction bids will be solicited in the same manner as other Invitation for Bids in section 4.2 (Competitive Bidding) with the exception that the bids will be done electronically with an Internet company. During the auction, a bidder’s price shall be disclosed to other bidders. Bidders shall have an opportunity to reduce their bid prices during the auction. At the conclusion of the auction, the record of bid prices received and the name of each bidder shall be open to public inspection.

4.30 Communication During the Procurement Process
In an effort to create a more competitive and unbiased procurement process, the County desires to establish a single point of contact throughout the solicitation process. Therefore, from the issue date of any solicitation until the due date of the solicitation, all requests for clarification or additional information regarding the solicitation, or contact with County personnel concerning this solicitation or the evaluation process must only be through the Purchasing Department staff. Inquiries will be collected by Purchasing Department staff who will then submit the inquiries to the Department Head responsible for the procurement. Responses by the Department Head to the inquiries will be submitted to the Purchasing Department staff who will then distribute the responses to all vendors responding to the solicitation. In this way it will be assured that all vendors participating in the process will be receiving the same information. No contact regarding this solicitation with other County employees, agents of the County or elected officials is permitted unless expressly authorized by the Purchasing Director. A violation of this provision is cause for the County to reject the Bidder’s proposal. If it is later discovered that a violation has occurred, the County may reject any proposal or terminate any contract awarded pursuant to this solicitation.

4.31 Revenue Generating Contracts
Revenue generating contracts are agreements under which the County receives a commission from a vendor or other public entity for goods or services sold, such as a joint-purchasing agreement or vending contract. Departments should ensure that an agreement has been fully executed between the County and the vendor or public entity. The Purchasing Director and/or State’s Attorney’s Office is required to be notified of any revenue generating agreements that are executed by Department Heads or Elected Officials.

ARTICLE V – Specifications

5.1 Responsibility for Specifications
The Director of Purchasing or delegated Using Agency shall prepare, revise, maintain and monitor Specifications for Materials, Supplies, Services, Equipment and Construction or Construction related Services required by the County.

5.2 Relationship with Using Agencies
The Director of Purchasing shall obtain expert advice and assistance from personnel of Using Agencies in the development of Specifications and may delegate in writing to a Using Agency the authority to submit its own Specifications. The Director of Purchasing shall retain authority to approve or disapprove all Specifications.
5.3 Maximum Practicable Competition
All Specifications shall be drafted so as to promote overall economy for the purposes intended and encourage competition in satisfying the County’s requirements and shall not be unduly restrictive. This policy applies to all Specifications including but not limited to, those prepared for the County by architects, engineers, designers, and draftsmen.

5.4 Contractors Engaged for Specification Development
In order to ensure objective contractor performance and eliminate unfair competitive advantage when procuring property and services under a Federal award, contractors that develop or draft specifications, requirements, statements of work, and invitations for bids or requests for proposals must be excluded from competing for such procurements.

ARTICLE VI – Appeals and Remedies

6.1 Bid Protests

6.1.1 Right to Protest
Any actual or prospective bidder, offeror, or Contractor who is aggrieved in connection with any Solicitation or award of a Contract may protest to the Director of Purchasing. Any protest must be submitted in writing within seven (7) calendar days from the issuance of the Solicitation, addendum, notice of award, or other decision by the Director of Purchasing or authorized official of the Using Agency.

6.1.2 Stay of Procurement During Protest
In the event of a timely protest under section 6.1.1, the Director of Purchasing or the authorized official of the Using Agency or the Using Agency’s Parent Committee, after consulting with the State’s Attorney, shall determine whether it is in the best interests of the County to proceed with the Solicitation or award of the Contract.

6.2 Claims By Contractor After Contract is Awarded
Unless otherwise provided by the terms of the Contract, all claims by a Contractor against the County relating to a Contract shall be submitted in writing to the Director of Purchasing. The Contractor may request a conference with the Director of Purchasing on the claim. Claims include, without limitation, disputes arising under a Contract and based upon breach of Contract, mistake, or misrepresentation. In the case of a contract-based dispute, the provisions of this ordinance shall prevail over any inconsistent provision in the contract, unless the County Board has expressly waived such protection.

6.3 Authority of the Director of Purchasing to Settle Bid Protests and Contract Claims, Subject to Statutory Provisions

6.3.1 Authority
The Director of Purchasing is authorized to settle any procedural protest regarding the Solicitation or award of a County Contract prior to an appeal to the appropriate Parent Committee thereof so long as all affected or interested parties are in agreement. The Director of Purchasing, after consulting with the State’s Attorney, shall make recommendations on the resolution of any unresolved protest or claim to the appropriate Parent Committee of the Kane County Board for their consideration.

6.3.2 Notice of the Director of Purchasing’s Decision
If the protest or claim is not resolved by mutual agreement, the Director of Purchasing shall issue a decision in writing within seven (7) business days of receipt of the protest or claim, and such
decision shall be mailed or otherwise furnished to the aggrieved party. The decision shall state the reasons for the decision reached and shall inform the aggrieved party of its appeal rights under section 6.4.

6.3.3 Finality of the Director of Purchasing’s Decision and Right to Appeal
The Director of Purchasing’s decision shall be final and conclusive unless, within seven (7) business days from the date of receipt of the decision, the Chairman of the Using Agency’s Parent Committee receives a written appeal from the aggrieved party.

6.3.4 Failure to Render Timely Decision
If the Director of Purchasing does not issue a written decision regarding any protest or claim within seven (7) business days of receipt of such protest or claim, or within such longer period as may be agreed upon between the parties, then the aggrieved party may proceed as if an adverse decision had been received.

6.4 Access to Administrative Forum, Subject to Statutory Provisions

6.4.1 Appeal Process
Any actual or prospective bidder, offeror, or Contractor may appeal a decision by the Director of Purchasing regarding bid protests or Contract claims to the Chairman of the Using Agency’s Parent Committee. Said appeal shall be made in writing within seven (7) business days from the date of receipt of the decision by the Director of Purchasing. The protestor shall be notified of the time and date when the appeal shall be considered and afforded a reasonable opportunity to state its position. Any party whose interests may be adversely affected by a protest or appeal shall also be notified and have the right to appear for the purpose of protecting those interests.

6.4.2 Decision
The Using Agency’s Parent Committee shall issue a decision:
- Prior to award, said decision shall be referred with the Resolution for award of the Contract for consideration by the County Board.
- After award, the decision of the Using Agency’s Parent Committee shall be scheduled for discussion and decision at the next regularly scheduled Executive Committee or County Board meeting, whichever is appropriate.
- The decision of the County Board is final.

6.4.3 Elected Officials
Decisions and determinations made under this Section and Section 6.3 (Authority of the Director of Purchasing to Settle Bid Protests and Contract Claims, Subject to Statutory Provisions) are subject to the review and prior approval of the appropriate Elected County Official as provided by the internal control statues or as otherwise provided by law.

ARTICLE VII – Debarment and Suspension

7.1 Prohibition to Award Contracts to Parties Debarred or Suspended
No contract may be awarded to parties listed on the federal government’s Excluded Parties List System in the System for Award Management (SAM), on the state of Illinois’ list of sanctioned persons maintained by the Agency’s Office of Inspector General, or on the County’s own list of parties suspended or debarred from doing business with the County.

7.2 Certification Language to be Included in Solicitations and Contracts
All solicitations and related contracts that may be paid in whole or in part by federal funds shall include the following, or substantially similar certification language:
“Vendor certifies that during the last five (5) years no order, judgment or decree of any Federal authority has been issued debarring, suspending or otherwise limiting its right to contract with any governmental entity, including school districts, or to engage in any business practice or activity. Vendor further certifies that it will include this certification within every subcontract related to performance of this contract.”
INTRODUCTION
This policy addresses the guidelines for the procurement of goods or services when using Workforce Innovation and Opportunity Act funding and addresses the standard of conduct for any individuals or entities involved in competitive procurement. This policy is supplemental to the requirements of the Kane County Purchasing Ordinance and will be made available to the public in accordance with federal guidelines.

GENERAL GUIDELINES
Locally adopted policies and procedures codified in the most recent version of the Kane County Purchasing Ordinance will be followed when procuring goods or services. All procurement transactions must be conducted in accordance with the Uniform Guidance at 2 CFR Part 200. Proposed costs must be allowable, meaning that they are reasonable, necessary, and allocable.

FULL AND OPEN COMPETITION
Procurement processes must provide for full and open competition. Entities carrying out procurement will avoid requirements that have the effect of limiting competition, such as requiring unnecessary experience, excessive bonding, or unreasonable qualifications. Noncompetitive pricing or retainer contracts are prohibited. Entities may not specify only “brand name” products in solicitations. Arbitrary actions taken in the procurement process may be considered restrictive to competition and may require review and/or re-solicitation.

Individuals or entities involved in the development or drafting of specifications, requirements, scopes of work, invitations for bids or requests for proposals are to be excluded from competing in such procurements. Information contained in proposals submitted is to be maintained in a manner that is confidential, to avoid the misuse of said information by a competitor and to prevent collusive bidding.

CONFLICT OF INTEREST
In general, a conflict of interest can be real, apparent, or organizational. A real conflict arises when an individual or member of the individual’s immediate family has a financial or personal benefit from a firm considered for a funding contract. An apparent conflict may arise due to a perceived lack of impartiality. An organizational conflict of interest may be present when an entity is unable to carry out business in an impartial or objective manner, when an unfair competitive advantage is present due to access to information through relationships or activities, or when insufficient firewalls are present within an organization serving multiple roles or administrative functions of the local workforce development system.

Immediate family is defined in the Kane County Code of Ethics Ordinance as father, mother, son, daughter, brother, sister and spouse.

Workforce Development Board members must recuse themselves from participation in activities where a conflict of interest exists, whether real, apparent or organizational. This includes, for example, participation in any/all phases of a competitive procurement or non-competitive selection of goods and services, one-stop operator, eligible training providers, etc.
In instances where an entity acts in more than one role in the One-Stop delivery system or performs more than one function in the procurement process, internal controls shall be established to mitigate and prevent conflict of interest. This may include recusal of the affected party from specific activities or business related to procurement, or the use of an outside independent entity to facilitate or review procurement. Firewalls will be established in a manner appropriate to each situation and documented thoroughly.

Additional firewalls may be required in situations where a sole source selection process is utilized.

**OPERATOR PROCUREMENT**

The Workforce Development Board will authorize the selection of a One-Stop Operator not less often than every four years through a competitive procurement process. In accordance with TEGL 15-16, individuals and entities involved in the competitive selection of an Operator must be free of apparent or real conflicts of interest.

The Board will make available to the public the procurement solicitation, a listing of entities that have submitted bids or proposals, an abstract of bids or proposals received, the identity of the selected One-Stop Operator, and the total award amount and contract duration. Should it be determined that sole source procurement is necessary and reasonable, thorough documentation of the decision-making process will be prepared, consistent with the policies outlined in the Uniform Guidance at 2 CFR Part 200.320.

**PROCUREMENT CYCLES**

Providers or subcontractors for Adult, Dislocated Worker and Youth Title IB funding will generally be procured every three years.

**REFERENCES:**

*WIOA Section 121(d)*

*WIOA Final Rule 20 CFR 678.600-635*

*Uniform Administrative Requirements; 2 CFR 200.317-326*

*TEGL 15-16*