Workforce Innovation and Opportunity Act Policies & Procedures Manual

2019

FORWARD CAREERS
DEVELOPING A THRIVING WORKFORCE

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Introduction

The **Workforce Innovation and Opportunity Act** (**WIOA**) is a United States public law that replaced the previous Workforce Investment Act of 1998 (WIA) as the primary federal workforce development legislation to bring about increased coordination among federal workforce development and related programs. WIOA includes five titles:

- Title I—Workforce Development Activities—authorizes job training and related services to unemployed or underemployed individuals and establishes the governance and performance accountability system for WIOA;
- Title II—Adult Education and Literacy—authorizes education services to assist adults in improving their basic skills, completing secondary education, and transitioning to postsecondary education;
- Title III—Amendments to the Wagner-Peyser Act—amends the Wagner-Peyser Act of 1933 to integrate the U.S. Employment Service (ES) into the One-Stop system authorized by WIOA;
- Title IV—Amendments to the Rehabilitation Act of 1973—authorizes employment-related vocational rehabilitation services to individuals with disabilities, to integrate vocational rehabilitation into the One-Stop system; and
- Title V—General Provisions—specifies transition provisions from WIA to WIOA.

Title I: Title I of WIOA authorizes programs to provide job search, education, and training activities for individuals seeking to gain or improve their employment prospects, and which establishes the One-Stop delivery system. In addition, Title I of WIOA establishes the governing structure and the performance accountability for all programs authorized under WIOA.

Elements of WIOA that are collectively intended to comprise a "workforce development system" are:

- WIOA is designed to be a *demand driven* workforce development system. This system is supposed to provide employment and training services that are responsive to the demands of local area employers. The demand driven nature of WIOA is manifested in elements such as Workforce Development Boards (WDBs), a majority of whose members must be representatives of business, and in the requirement for local plans to identify existing and emerging in-demand industry sectors and occupations.
- WIOA emphasizes *coordination and alignment of workforce development services*, through provisions such as a required Unified State Plan for core programs and *a common set of performance indicators* across most programs authorized by WIOA. In addition, WIOA requires *regional planning* across local areas.
- The WIOA system provides *central points of service* through its system of *One-Stop centers*. The concept of a One-Stop center is to provide a single location for individuals seeking employment and training services, thus making the process of locating and accessing employment services more efficient and seamless. WIOA requires certain programs to be "partners" in the One-Stop center, either by physical colocation or other accessible arrangements.
- WIOA provides *universal access* to its career services to any individual regardless of age or employment status, but it also provides *priority of service* for career and training services to low-income and skills-deficient individuals.
- WIOA emphasizes *sector partnerships* and *career pathways* workforce development strategies by requiring local WDBs to lead efforts to develop career pathways strategies and to implement industry/sector partnerships with employers.
- WIOA provides *consumer choice* to participants. As explained later in this report, participants determined to be eligible for training services are provided with Individual Training Accounts (ITAs), with which they may choose a type of training and the particular provider from which to receive training.
- WIOA implements a *performance accountability system based on primary indicators with state-adjusted levels of performance* resulting from negotiations between each state and the Secretary of Labor and revised based on a statistical adjustment model. The performance accountability system applies across all titles of WIOA.

Title I programs are administered by the US Department of Labor (DOL), primarily through its Employment and Training Administration (ETA). The State of Wisconsin is the pass-through entity of funds awarded for WIOA Title I Adult, Dislocated Worker, and Youth programs and is responsible for oversight of the operations of the WIOA activities. The State provides funding the local Workforce Development Boards, formed in each of the 11 Workforce Development Areas, who then sub-contract with service providers.

Participant Services

Service Delivery

It is the fundamental role of the WIOA Career Planner to encourage everyone to reach their full potential, focusing on client strengths and learning what motivates each individual, then using that information to accomplish the client's goals. WIOA Career Planners need to understand the importance of breaking goals into smaller, clearer steps, and celebrating the little successes.

Forward Careers, Inc.'s overall approach to service delivery is demand driven and customized to each client. There is a need to be flexible due to varying and unpredicted client needs while working to meet programmatic requirements. Each client must be treated as an individual and there is an acknowledgment that a "one size fits all" model does not serve the client well. Each individual has a unique set of skills, backgrounds, and strengths, and it is those strengths that should be the focus of conversations with the client and WIOA Career Planner. Encouraging clients to focus on strengths makes them better prepared for the job search process and to be their own advocates via their resumes, during interviews and once on the job than those who focus on weaknesses.

The goal with every client must be to provide efficient and quality services and be the provider of choice. This is achieved by meeting clients where they are, identifying roadblocks or barriers to employment and their strengths to then develop a plan which consists of activities that lead to realistic and attainable goals. Each direct service that is provided (workshops, mock interviews, GED/HSED, basic skill instruction, short- and long-term training) and how it is delivered (one-on-one, group setting, at the American Job Centers, off-site, via video conference, or webinar) is all based on individual client needs. Co-enrollment with partner programs are used to enhance service delivery and indirect services are those where we refer clients to local experts normally used with non-work related issues.

Priority of Service

- The State of Wisconsin Priority of Service policy can be found at: 8.3.2 Priority of Service
- The local Workforce Development Board approved policy can be found at: P-01 Priority of Service
- Local Protocol:
    - Priority and service provision:
        - At enrollment, priority must be given to those who meet with criteria. This means they must be given the opportunity to schedule appointments first, have their application screened first and be first for intake appointments.
        - For those receiving training or supportive services, they must be ITA and Supportive Service "holds" in July
        - When funds have been allocated and wait lists are developed, those with priority of service will be placed on the list in order of priority, regardless of when their ITA or Supportive Service request is received.
        - More specific items will be coming in early 2019/2020 program year
    - File documentation
        - At enrollment, there are several ways to indicate who meets the criteria for priority of service: on the Adult Program Checklist and on the Needs Score Form. Checking these boxes informs those entering data into the local ACCESS database who is receiving priority and makes identification for Career Planners easier.
        - On the ITA Checklist and Supportive Service forms, indicate Priority of Service

Applying for Services

WIOA Career Planners may never deny an individual the opportunity to apply to a WIOA Title I Program, meaning all interested individuals must be given the opportunity to complete a WIOA application and be screened for eligibility. Before an individual is provided a "participation causing service," eligibility must be determined and thoroughly documented. DWD guidance states that, while WIOA is not an entitlement program, local WDB's and service providers must offer services to all eligible applicants when funding is available.

- The State of Wisconsin Dislocated Worker Program WIOA Title 1 Application Process Guidance can be found at: WIOA Title I Application Process
- Local protocol/sop for application completion:

WIOA PROGRAM APPLICATION COMPLETION / ELIGIBILITY DETERMINATION STANDARD OPERATING PROCEDURE
Department: Career Planners

1. **Purpose:** To standardize the process for collecting applications and determining eligibility for WIOA

2. **Responsibilities:**
   a. **Career Planner (CP):** The CP is responsible for:
      i. Allowing all interested individuals to apply for the WIOA program
      ii. Providing an overview of WIOA services to everyone who inquires
      iii. Accepting applications without time delays or other requirements
      iv. Processing all completed applications for entry into ASSET
      v. Determining eligibility for the program and completing required ASSET entries

3. **Process:**
   a. Everyone seeking assistance will be given the Application for Employment and Training Services (all 3 pages). The application can be provided via email or handed to applicants and can also be received either way.
   b. For those interested in the youth program and those adult program applicants who need to be screened for basic skills to determine priority of service, they will also be given DWD's Basic Skills Screening Tool.
   c. When applications are turned in, the date of submission must be recorded either on the application or in ASSET case notes.
   d. Completed applications will be handled as they are received, without need to first attend an orientation or intake meeting, with applicant information being entered into ASSET within 10 days of the date of submission, even if they are later found ineligible.
      i. All applications will be kept, with files being created for those who are determined eligible and who start receiving more services
      ii. The Supplement Page of the application which contains medical / disability must be kept in a sealed envelope within with client file
      iii. A copy of the application must be given to the Program Manager, so local reportable individual tracking
   e. CP will complete the following ASSET Entry:
      i. Update or create a record in Manage Customer.
      ii. Manage Programs: For those not being enrolled immediately, check the "Reportable Individual Only" box, which will allow non-participation causing services to be entered without completion of Mng Programs fields.
      i. Manage Services: open eligibility determination with the date of submission being the actual start date.
         1. For those first inquiring and needing to return for eligibility determination, set the planned end date for 30 days after the date of submission.
         2. For those who were determined eligible when submitting the application, open eligibility determination with the actual start/actual end date the date of application/submission and initial appointment.
      ii. Manage Customer Notes: Enter a case note indicating application for services and the date of submission. If meeting happened, note meeting results.
   f. The CP will attempt to complete the eligibility determination process with the applicant. If the process is not completed within 30 days of the date on the application, applicants will soft exit and need to start the process over to enroll.
   g. Those found ineligible must be notified of the finding within 5 days of the determination, with notification being documented in case notes. Acceptable methods of notification include: in-person, email or phone message.
   h. For those who complete the eligibility determination process, see enrollment processes outlined below.

PROGRAM ELIGIBILITY

Adult Program Criteria

- The State of Wisconsin Adult Program eligibility policy can be found at: 8.2.1 Adult Program
- Local protocol: No additional local protocol at this time

Dislocated Worker Program Criteria

- The State of Wisconsin Dislocated Worker Program eligibility policy can be found at: 8.2.2 Dislocated Worker Program
    - Per DWD regarding those who take voluntary earlier retirement: If their options is being laid off or take early retirement, then they can be found eligible for the dislocated worker programs because 1) they would be laid off anyway and 2) by taking the early out they saved another worker from being laid off. Also, sometimes an employer will take "X" number of volunteers; if a person is within that number, they can also be eligible. But remember, the WIA dislocated worker program is not an entitlement program, there is no requirement for you to work with people who are essentially retired and not actively looking for fulltime work. Annette Nekola, 12/21/11
- **Local protocol:**
    - 5.28.19: Criteria #1 and those collecting severance. Individuals must be found eligible to collect UI before enrolling, for those collecting severance, consider enrollment in adult program until UI determines eligibility

Youth Program Criteria

- The State of Wisconsin Youth Program eligibility policy can be found at: 10.3 Eligibility
    - The local definition of "requires additional assistance" (called "needs additional assistance" in ASSET) is a score of 10 or more on the Needs Score Form
- Additional State of Wisconsin Youth eligibility policies:
    - 5% Exception to Income can be found at the following link: 10.3.6 Guidance on Eligibility Barriers
    - 75% Out-of-School Youth: 4.17.1 Expenditure Requirement for Out-of-School Youth
    - 20% Rule: 4.17.2 Expenditure Requirement for Youth Work Experience
- Local protocol:
    - Eligibility: Self-Supporting Guidance (8/2/18): Dependent family members cannot be considered self-supporting, per DWD guidance. A "dependent family member" is a family member who meets the IRS "qualifying child test" that allows an individual or couple to claim a family member as a dependent for tax purposes. Typically, this means that individuals can be claimed as a dependent up to their 19th birthday or be claimed up to their 24th birthday if they are a full-time student.
    - 5% exception - due to the low numbers of low income youth served, this WDA will not be utilizing the 5% exception
    - 75% Rule: Typically enrollments will focus on out-of-school youth. At times, there will be requests from youth and businesses to enroll in-school youth. These requests must be discussed with the Program Manager, who will review the work experience budgets to determine if ISY funding is available. If funding is available, the enrollment/service will be allowed.
    - 20% Rule: When yearly budgets are developed, line items are structured to reflect the 20% requirement. Throughout the year, the fiscal department monitors compliance and provides input to management staff regarding the status. As FCI has a long history of providing Work Experience services to youth, this rule is typically easily met.

DOCUMENT VERIFICATION

Eligibility must be verified before any services are delivered as any costs associated with providing WIOA Title 1 services to non-eligible individuals may be disallowed. Verifying eligibility is completed by reviewing/collecting required documents and by reviewing eligibility criteria both of which are mandatory on a local and state policy basis. The State's WIOA Eligibility Determination and Documentation Guide lists eligibility categories and acceptable documents to use for verification purposes and the locally developed Document Verification Form is used to record that the required documents were examined to verify eligibility. This form and eligibility documentation must remain in the participant file or, for medical and disability information, in a locked file in compliance with the Protected Personally Identifiable Information Policy. More information regarding local protocol and acceptable file documentation can be found in the data validation section of this manual.

Eligible to Work in the United States

- The State of Wisconsin defines Eligible to Work in the United States as:
    - citizens and nationals of the United States;
    - lawfully admitted permanent resident aliens, refugees and asylees (who are authorized to work in the U.S. because of their refugee or asylee status); and
    - other immigrants authorized by the Attorney General to work in the U.S. This includes immigrants covered by Deferred Action for Childhood Arrivals (DACA) who have applied for and received work authorization (TEGL 02-14, p. 2).
- Local Protocol: The Document Verification Form is used to record that the required documents were examined to verify eligibility. For those who are not US citizens, DWD's WIOA Eligibility Determination and Documentation Guide outlines which documents are acceptable forms of verification that must be viewed by the Career Planner and documented prior to enrollment.

Selective Service

- The State of Wisconsin Selective Service policy can be found at: Selective Service Guidance
- Local protocol: The local WDB or the service provider that enrolls individuals in WIOA Title I services is responsible for determining whether services should be provided. Career Planners must follow the steps below to determine whether an individual who was required to register but failed to do so acted knowingly and willfully.
    - Have the individual complete the Certification of Selective Service Act: Non-Compliance form in which he will need to indicate the reason for non-registration. The form further outlines what documentation will be needed to verify the reason.
    - For those who had a disability that continually confined them to a residence, hospital, or institution between the ages of 18 and 26 or were institutionalized or incarcerated continually between the ages of 18 and 26 or did not knowingly and willingly fail to comply with registration requirements Program Manager approval will be needed before enrollment can proceed.
    - If the Career Planner determines that the failure to register was knowing and willful, WIOA services cannot be provided and the individual must be advised of applicable grievance procedures. All costs associated with providing WIOA Title I services to non-eligible individuals may be disallowed.
    - The local WDB's or service provider's determination must be documented in the participant's case file and retained by the local WDB for at least seven years or until all related grievances or legal action are concluded.

ASSET Entry: Situation	**ASSET Entry**
Females	Not required
Males born prior to January 1, 1960	Not required
Male less than 18 years of age	Less than 18 years old
Veteran; full-time active duty military; part-time National Guard or Reservist; and men attending service academies	• Exempted veteran (served in military continually from age 18 to at least age 26), or • Yes (left military service prior to age 26 and is registered) • Waived (left military service prior to age 26, did not register and provides copy of DD-214 or current military ID card) • Explanation in ASSET case notes
Non-US males who came into the country either legally or illegally after their 26th birthday	Not required
Confined (Incarcerated, hospitalized)	Not required
Disabled (physically or mentally)	Not required
Individuals who have had a sex change or are transsexual	• Not required (individual born female and have a sex change) • Yes (individual born a male and have a sex change and are registered) • Waived (individual born a male and have a sex change and provide documentation for non-registration)
Non-registration was not knowing or willful	• Waived • Explanation in ASSET case notes
Refused to register (knowing and willful)	• No – not eligible for services

RECORDING INCOME REQUIREMENTS

- The State of Wisconsin developed a policy on how to record income can be found at: Income Guidance
- The State of Wisconsin's definition of family is: "Family" means two or more persons related by blood, marriage or decree of court, who are living in a single residence, and are included in one or more of the following categories:
  - A married couple, a parent or guardian and dependent children or a married couple. A "married couple" can be either a man and a woman or same-sex individuals.
- The local Workforce Development Board created a policy on how to record income requirements which can be found at the following link: Recording Income Requirements
- Local protocol:
  - All Enrollments:
    - Income information is initially gathered on the WIOA Application with clients signing the back, as this serves as self-attestation. Career Planners must make sure information is filled out completely and includes all family members' information.
    - The information from the application is then entered into the Income Verification Form to determine the income levels for the previous 6 months.
  - Enrollments based on "low income" determination
    - For out-of-school youth or in-school youth where low income is being used as an eligibility criteria, income documentation must be collected for all family members and must be documented on the income verification form. It is not necessary to collect documentation that covers the entire 6 months if the sources and income level remained the same.
    - Note that individuals with a disability are counted as a family of one, only the applicant's income documentation would be required.

#of persons in the family	Fpl 2019 Income level for past 6 months	70% LLSIL 2019 Income level for past 6 months	150% fpl	200% fpl	AP priority for training 300% fpl
	A	B	C	D	E
1	$6,245	$4,829	$8,327	$12,490	$18,735
2	$8,455	$7,915.50	$11,273	$16,910	$25,365
3	$10,665	$10,864	$14,220	$21,330	$31,995
4	$12,875	$13,412	$17,167	$25,750	$38,625
5	$15,085	$15,826.50	$20,113	$30,170	$45,255
6	$17,295	$18,512.50	$23,060	$34,590	$51,885
7	$19,505	$21,198.50	$26007	$39,010	$58,515
8	$21,715	$23,884.50	$28953	$43,430	$65,145
Each additional person	$2,210	$2,686	$2946	$4,420	$6,630

ASSET Manage Programs documentation

Income Previous 6 months field

At or below fpl - use this if 6 month income falls in column A
At or below llsil - use this if 6 month income falls in column B
not low income - use this if income falls in column C-E

Poverty Status field

fpl - use this if 6 month income falls in column A
fpl 150% - use if income falls in column C
fpl 200% - use if income falls in column D
llsil - use this if 6 month income falls in column B
if 300% fpl, leave this field blank

CO-ENROLLMENT

As outlined in the Case Management Services Policy and Procedure Manual, the purpose of co-enrollment is to meet the training and employment needs of program participants and provide as many participants as possible with comprehensive services that may not otherwise be available or allowable under an individual grant or funding source. WIOA legislation emphasizes co-enrollment as way to maximize resources for clients and requires clients to access additional resources for funded services. DWD has also stressed the importance through policy and monitoring, highlighting files where appropriate referrals could have been made but were not ("there were a handful of PINs reviewed where the participant was identified as having a disability, but there was no evidence of referral to the Title IV partner, or co-enrollment with Title IV and there was one PIN identified as basic skills deficient, but no evidence of a referral to Title II.). It is expected that referrals to partner agencies and outside resource are made, following the procedures outlined in the Intake Standard Operating Procedure and the Barrier Screening Standard Operating Procedure.

Trade Readjustment Act – WIOA Dislocated Worker Program Co-Enrollment:
The goal of TAA/WIOA coordination is to provide optimal services and benefits to individuals who qualify for both programs through co-enrollment and collaboration, maximizing both programs' services and funding by creating a successful transition to the next step in a participant's career path while following the rules and regulations required by each program. The expected outcome of the coordination is successful outcomes for participants and for both programs to exceed performance standards.

Local Protocol:
- Coordination and conversations about the benefits of co-enrollment should begin during Rapid Response/Trade Orientations, which should be attended by representatives from both programs
- At enrollment for either program, the benefits of co-enrollment should be discussed, timing should be considered and the Lead Worker should also be determined
- WIOA will usually take the lead in case management during career planning, basic skill building, work readiness, job search/placement and retention
- TAA will usually take the lead in case management during occupational training or RTAA
- The Lead Worker can and should change throughout a person's participation in the program, depending on the service needs. It may make sense to first enroll someone in DW, then switch to TAA for training, then switch back for job placement.
- On-the-job training can be funded by both programs at the same time, allowing for FCI Business Services Group to provide the business outreach, paperwork development and monitoring (human capital) for the development of the training plan (per DWD guidance received on 6/8/18: *"the TAA Program and WIOA can both fund an OJT. The TAA Program can reimburse employers "up to 50 percent" and WIOA can reimburse employers "up to an additional 25 percent" for a total employer reimbursement of 75%."*).
- To comply with the 90 day service rule, participants cannot remain open in the DW program if no services are being provided. Services must be closed and TAA will take the lead. Note: Due to DWD's common exit policy, even if WIOA Title I services are closed during the TAA participation period, the participant remains active.

Local protocol implementation:
- Eight weeks prior to all graduations, TAA Career Planner and Forward Careers Supervisor will meet to coordinate and plan the upcoming "Welcome to the Workforce Development Center" Event for all upcoming TAA and WIOA graduating students. (Meet and Greet Ceremony with TAA, WWDC Staff, Forward Careers Staff, additional vendors, mini workshops, resume review, etc.).
- Eight weeks prior to all graduations TAA Career Planner will notify Forward Careers Supervisor via email of upcoming graduates, with student list and contact information. The TAA Program Enrollment spreadsheet will be used for this data.
- TAA Career Planner will then immediately notify via email, these upcoming TAA graduate students that a Forward Careers staff member will be reaching out to them soon with additional services available through the WIOA Program.
- TAA Career Planner will add case note in ASSET that customer was provided information on additional services available through Forward Careers, the TAA activities/services provided and which TAA activities/services are still available, with timelines.
- TAA Career Planner will enter date onto TAA Program Enrollment spreadsheet this information was shared/passed on to Forward Careers Supervisor, and then complete and attach the "TAA/Forward Career Transfer Form" in client file. Copy of this form is also emailed to Forward Career Supervisor.
- Six weeks prior to graduations, TAA Career Planner will invite TAA students to and give details of the Welcome to the Workforce Development Center Event that will take place prior to their graduation, via email.
- After graduation or date of training completion, the TAA Career Planner will complete/close out TAA Training Contract and file as TAA Training completed – (including the credential in file when received, usually 1-2 months following graduation).

The Intake Process / Enrollment

Any individual who is interested in receiving WIOA services must be allowed to apply for services following the Intake Standard Operating Procedures.

Enrollment Process (see Attachment A and Attachment B: Life Cycle of a Participant)

1. Individuals who are determined eligible for WIOA must be notified within 5 business days of the date eligibility has been determined, with this notification being documented in case note. Acceptable methods of notification include: in-person, email or phone message.
2. Schedule an intake appointment with client to complete all required enrollment paperwork (see Records Management: Required Documentation)
3. Inform of Equal Employment Opportunity Policy and Grievance Procedure
4. Screen for Priority of Service (adult program)
5. ASSET entry:
    a. Enter an actual end date for the eligibility determination service
    b. Uncheck the Reportable Individual Only check box and complete the Manage Programs screens
6. Complete the intake process by sending application/needs score form for entry into ACCESS
7. For adult and dislocated workers: after enrollment, begin initial assessment using the local Work Readiness Assessment to being the conversation. Follow the Assessment Standard Operating Procedure outlined in the Case Management Services Policies and Procedures Manual. Assessment results are then used to develop the Individual Employability Plan.
8. For the youth program: a clear sequencing of services must be provided:
    a. For those who complete the eligibility determination process, CP's will enter an actual end date for the service and will begin objective assessment, which will be used to develop the ISS.
    b. CP's have 120 days from the date on the application to move an applicant through the upfront sequence of services and open one of the 14 youth service elements.
    c. Applicants who do not complete eligibility determination, objective assessment or ISS services will soft exit from the system.
    d. Per DWD, opening one of the 14 youth service elements makes the applicant a participant. For local purposes, opening one the 14 youth service elements will also make the applicant an enrollment. At this point, the enrollment process outlined in the Data Entry Process SOP should be followed (CP's should send the application and other required documents to the IT Manager and Planner).

Economic Self-Sufficiency Screening

- The State of Wisconsin Self-Sufficiency policy can be found at: 8.3.4 Economic Self-Sufficiency
- The process for utilizing the CEPT Tools to complete the calculator can be found in Data Management section of this manual
- Local Protocol:
    - Since training services can only be provided to those who are not self-sufficient, it is sometimes advisable to run a "test" calculation for those enrolling specifically for training services (i.e. ojt reverse referrals). "Test" calculations can be run using the following PIN: 826531. Note the 2 instances in DWD policy in which individuals may be self-sufficient but training would still be allowable and case note if one of these reasons is present.
    - Self-attestation is documentation enough to verify income amounts. Individuals are required to complete the WIOA Application, which includes space for recording income levels for all household members. These numbers should be used for entry in the calculator. Once the calculator is complete, the client can sign in two ways: by "accepting" the results electronically (opening the shared calculation in CEPT and clicking "accept" or by signing a printed copy the Career Planner prints out after running the calculation.
    - As outlined in DWD policy, self-sufficiency is only one criteria used to determine if an individual is eligible for training services. A more complete outline of local training eligibility can be found in the Training Eligibility / Services Standard Operating Procedure.
    - Case note calculation results. For those who are found self-sufficient but their circumstances are going to change, case note the reason why.

Individual Employability Plan Development / Review (Individual Service Strategy for Youth)
Once eligibility has been determined and assessment completed, the results of the assessment and steps needed for the client to reach his/her goals must be outlined on the Individual Employment Plan (called IEP locally for all programs). The IEP must be developed jointly and must be updated as client's progress through the program and services change.

- The State of Wisconsin has provided policy on expectations for the Youth Individual Service Strategy at: 10.2.4 Individual Service Strategy
- The local Workforce Development Board approved policy can be found at: CM-05: Individual Employability Plan
- Local Protocol: Instructions for completion of the IEP can be found in the Paper Work Section of this manual

Program Services

Participant Definition: The U.S. Department of Labor (DOL) issued guidance for WIOA performance measure reporting on 12/19/2016. New definitions for program participation were established based on changes to service definitions and to align program and performance reporting requirements across a number of DOL administered employment and training programs. The designation of a "participant" is important as it places an individual in performance measures. Reporting periods and exit definitions provide clarification on when a participant will be included in the measures.

- **A "reportable individual" is someone who**
  - Engages with the workforce development system on an initial level but does not complete the requirements to become a participant
  - May take part in self-services, receive information-only services or activities, or those do not complete the program requirements for eligibility or for participation
  - Provides identifying information;
  - Only uses the self-service system;
  - Only receives information-only services or activities
  - May take part in self-services, receive information-only services or activities, or those do not complete the program requirements for eligibility or for participation
  - Provides identifying information;
  - Only uses the self-service system;
  - Only receives information-only services or activities

- **A "Participant: is:**
  - For the WIOA title I Adult, title I Dislocated Worker, a participant is a reportable individual who has also received services beyond self-service/ informational services or activities
  - For the title I Youth program, a participant is a reportable individual who has satisfied all applicable program requirements for the provision of services, including eligibility determination, an objective assessment, and development of an individual service strategy, and received one or more of the 14 WIOA Youth program elements

Adult / Dislocated Worker: Career and Training Services
WIOA delineates services into 2 basic categories for adults and dislocated workers: career and training services. Definitions of service types can be found beginning on page 2 of the **Federal Training and Employment Guidance Letter 19-16.** The guidance outlines the 3 types of career services: basic, individualized and follow-up services, and training services. Definitions for specific services can be found in ASSET under Manage Services.

- **Basic Career Services:** Basic career services are universally accessible and must be made available to all individuals seeking employment and training services in at least one comprehensive American Job Center per local area. Generally, these services involve less staff time and involvement and include services such as: eligibility determinations, initial skill assessments, labor exchange services, provision of information on programs and services, and program referrals. These services may be provided by both the Adult and Dislocated Worker programs, as well as by the Employment Service.
- **Individualized Career Services:** Individualized career services must be provided to participants after American Job Center staff determine that such services are required to retain or obtain employment, consistent with any applicable statutory priorities. Generally, these services involve significant staff time and customization to each individual's need. Individualized career services include services such as: specialized assessments, developing an individual employment plan, counseling, work experiences (including transitional jobs), etc.
- **Follow-Up Services:** Further guidance is provided in the Follow-Up / Global Exclusion Section
- **Training Services.** Training services can be critical to the employment success of many adults and dislocated workers. American Job Center staff may determine training services are appropriate, regardless of whether the individual has received basic or individualized career services first, and there is no sequence of service requirement. Further information regarding training services is outlined in the Training Services section.

14 youth service elements

- The State of Wisconsin has provided definitions for the 14 Youth Service Elements, which can be found at: [10.5.3 Descriptions of the 14 Youth Service Elements]
- Local Protocol: To assist Career Planners in correctly naming services provided to clients, the following list has been developed of local resources available for each service. The list is not all inclusive, other options may be available and appropriate.

ASSET Service Name	LOCAL Input/Activities
Tutoring, Study Skills Training, Dropout Prevention	• DVR co-enrollment for tutoring services • Student Support Center at Moraine Park • Disability Benefit Coordinators in each of the colleges for extra supports/tutoring • Khan Academy: www.khanacademy.org • Literacy for All • WCTC's Academic Support: https://www.wctc.edu/academics/academic-resources/academic-support.php includes: Non Credit Pre College Math and Reading, Study Groups, Peer Tutor, Credited Basic Ed Classes and Test Prep
Alternative Secondary School or Dropout Recovery Services	• GED/HSED programs, including 509 programs • Basic education skills training • Individualized academic instruction • English as a Second Language training • Credit recovery • Counseling and educational plan development
Paid and Unpaid Work Experience	• Direct job placement • Job Shadows • Paid Work Experience program • Internship program • On-the-job Training
Occupational Skills Training	• Credentialable programs • Certificate programs • Technical and Associate Degree Programs • BA/BS for those with proven junior standing
Education offered concurrently with and in the same context as workforce preparation and training	• Boot camp training programs • I-Best model and bridge programs • Pre-apprenticeships and apprenticeships • Student getting summer work experience in occupation that matches school program
Leadership Development	• Soft skill development (workshop or one-on-one) • Involvement in post-secondary/school related groups and clubs (i.e. Business Committee, technology club, sorority) • Involvement in community groups or clubs (4-H, church youth groups, AA) • Involvement in Independent Living Program Youth Advisory Committee (YAC) • Volunteer work or work with community groups like Habitat for Humanity or Chosen • Co-enrollment in YouthBuild (both leadership training and community involvement/project) • Job coaching/mentoring of younger youth (service development in process) • Training in decision-making, including determining priorities and problem solving
Supportive Services	See Supportive Services below for more detailed information
Adult Mentoring	• Offered through work experiences by businesses • Boys and Girls Club
Comprehensive Guidance and Counseling	• Guidance in helping youth with mental health, chronic health and/or drug and alcohol issues

	• Suicide prevention resources and referral • Pregnancy assistance referral
Financial Literacy Education	• Referral to a credit workshop, including those offered through the WDC • Assistance with setting up bank accounts • Budgeting • Discussion when starting new job about how to allocate pay checks • Credit Karma • Use of loan calculators @ Landmark to determine/estimate payments/interest rates for car loans https://www.landmarkcu.com/resources
Entrepreneurial Skills Training	• Entrepreneur test (https://www.psychometrictest.org.uk/entrepreneur-test/) • US Small Business Association-30 minute Course (https://www.sba.gov/course/young-entrepreneurs/) this could also be a good education piece for education for work experience • Referral to small business resource center at WCTC, FaSTart Workshop (4 hr workshop, $17.92) • UW Milwaukee small business center • UWEX small business resources
Career Awareness, Career Exploration and Career Counseling	• Work Readiness preparation (gathering documents, appropriate email/voicemail, previous work history info) • Labor marketing information / occupational research • Informational Interviews • Soft Skill training • Training on business expectations • Transferable skills • Development of "why hire me" statements • Knowing how to target skills/experience • Job applications, cover letters, resume, letters of explanation • Interviewing skills / practice
Postsecondary preparation and transition activities	• Service can be used to re-engage clients in training programs • After or during career development, comparing and contrasting occupations within same industry(showing career pathways and career progressions) • How to research and find training providers • Navigating college website • Instruction on completing a financial aid application • Setting up new student orientations and open houses • Learning who the advisor is for specific programs • Teaching how to apply to college, process, forms needed • Registering for classes • Showing how to access account and grades • Study skill training resources • Basic skill building resources (ABE resources) • Connections on campus for support or inclusion (disability resources, foster care coordinators, military programs, groups/clubs information)
Follow-Up Services	Additional information can be found in the Follow-Up / Global Exclusion Section
Incentives	At this time, FCI chooses to not utilize incentives for youth program particpants

Supportive Services

- The State of Wisconsin has developed a supportive service policy which can be found at: 8.6 Supportive Services
- The local Workforce Development Board also has a supportive service policy which can be found at: CM-07: Supportive Services Policy
- Local Protocol:
  - For requesting "other items" for youth program participants is to email the Program Manager with the details surrounding the need and availability of other resources to pay for the requested item. The Program Manager will then submit the request to the Workforce Development Board Director for review/approval. Once a decision is made, the Program Manager will inform the Career Planner.
  - Regarding needs related payments: Due to limited supportive service budgets, FCI does not elect to provide needs-related payments.
  - Additional local protocol has been outlined in the following standard operating procedure:

DETERMINING NEED/ASSET DOCUMENTATION OF SUPPORTIVE SERVICES SOP
Departments: Career Planners, Clients

1. **Purpose:** To standardize the Supportive Service Process.

2. **Responsibilities:**
   a. **Career Planner (CP):** The CP is responsible for:
      i. Letting all clients know about supportive service options in a fair and equitable manner,
      ii. Assessing clients for supportive service needs utilizing the Work Readiness Assessment and informal/formal conversations/resources/tools,
      iii. Documenting needs on client's IEP along with activities to meet needs,
      iv. Referring to other organizations and/or determining eligibility for WIOA funded services,
      v. Submitting Supportive Service Request form and supporting documentation to the Planner BEFORE providing supportive service,
      vi. Once approved, opening the correct service(s) in ASSET and documenting in comments and case notes, and
      vii. Collecting receipts after purchase.

   b. **Client:** The Client is responsible for:
      i. Disclosing and discussing supportive service needs at enrollment and throughout program episode,
      ii. Following through on referrals to outside organizations,
      iii. Providing required documentation for WIOA funded supportive service requests,
      iv. Purchasing needed items and providing receipts for reimbursement.

3. **Process:**
   a. At enrollment and ongoing
      i. CPs will as part of intake process review the Welcome Letter, letting all clients know about availability of supportive services.
      ii. Clients will be asked to complete the Work Readiness Assessment, which can highlight supportive service needs. CPs will also use informal and formal assessment methods to determine if there are additional supportive service needs.
      iii. All needs will be documented on the IEP.
      iv. When completing the IEP, CPs and clients will determine which needs should be met and how best to meet those needs. Referrals will be provided to other organizations (first and whenever possible).
      v. If referrals are not available or are too burdensome, CPs will determine eligibility for WIOA funded supportive services and document on IEP.

vi. CPs will monitor progress of outside referrals and, if needed, apply for WIOA funded supportive services following the Supportive Service SOP

vii. For school related items, CP's will review syllabus or other documentation to verify item(s) is/are required for the program.

viii. CP's will collect required documentation and submit per process

b. ASSET Entry

i. Referrals for non-wioa funded supportive services: AP/DW: open Referral Service (Basic Career – Self/Informational), YP: Case note referrals

ii. **WIOA Funded: Service Name: AP/DW:** Other Supportive Services: everything except transportation and childcare, **YP:** Supportive Service, pick correct type from drop-down

iii. **Dates:**

- **Training related items** (transportation reimbursement, child care assistance, books, fees, exams (when taken during classroom participation), upfront costs, graduation fees, etc.) Use actual start date of training and actual close date of training, so, in most instances, keep open during entire time in school, if needs are ongoing.
- **Work-Related:**
    - Gas card, bus pass, taxi ticket: date when item is handed out
    - Work related items: Date of purchase
    - Exams that are not part of classroom participation (date of exam) or that are taken more than 30 days after classroom training is completed: date of exam (must have a different service open to have client remain open: assisted job search, career development, career guidance, etc.)
- **Comment Section:** From DWD policy: "document in the ASSET "Supportive Service" screen comments field:
    - the reason the supportive service is needed;
    - the specific career or training service supported by the supportive service; AND
    - that the service is not available through other WIOA titles, federal or state public assistance programs, or job center partners in the local WDA.[2]"
- **Samples: Comments field**
    - Joe, who is financially not able to pay on his own at this time and with no other resources available, will be receiving the following supportive services to support his occupational skills training at MATC: entrance fees, testing, school fees, books and required tools.
    - Sue, who is struggling financially, will be receiving a gas card to help her get to her interview. FSET is paying for her training but is unable to also support job placement assistance.
- **Open training service and supportive service** if there is classroom or on-line instruction, regardless of who is paying for the training. **Open supportive service only if** there is no classroom or on-line instruction (no actual training) – exam only cost, license prep and fee, self-guided prep AND for situations where exam is more than 30 days after training completion

4. Additional Resources

a. Paperwork includes: *Work Readiness Assessment, IEP, Supportive Service Request Form, Child Care Assistance Form*

b. See CM-07*: Supportive Services Policy*

c. See *T-00: Training Services Policy*

d. See CM-05*: IEP Policy*

5. Back-up

a. Each CP is responsible to communicate and provide the details of his/her back-up with everyone.

b. For review and signature, the back-up for:

i. The Planner is the Executive Assistant.

ii. The Program Manager is the Planner.

Training Services

Individual Training Accounts

- Federal guidance on training services can be found in TEGL 19-16.
- The State of Wisconsin is in the process of developing policies related to training. A link will be added once that policy is completed.
- The local Workforce Development Board approved ITA policy can be found at: T-00: WIOA Training Services
- The local Workforce Development Board approved training programs list can be found at: 2019 Occupational Training List by Program Name
- The local Workforce Development Board policies on Eligible Training Providers can be found at: T-03: Approved Training Providers and T-04: Eligible Training Provider List
- Local Protocol:
    - In-School Youth are not eligible to receive ITA funded services. Any in-school youth who are interested in training can either co-enroll in the adult program or be exited from the youth program and re-enroll after 90 days, assuming eligibility criteria is met as an out-of-school youth
    - For some positions, even those that pay well, advanced education is not required to obtain employment; the positions require only a high school diploma or businesses are providing their own training. In these instances, WIOA funds should not be used for training.
    - CP's must consider how much education is needed for an individual to reach self-sufficiency, with short term programs being considered as a first option, taking into account self-sufficiency and employment goals. Following this model, for those with previous work experience or skills beyond entry level, conversations should begin with certificate programs.
    - Following the career pathways model, training should be limited to one program/certificate/credential where the one credential would make the individual marketable, except for limited instances where an individual's employment goal requires an additional credential (excluding embedded certificates).
        - Examples of approvable programs: Criminal Justice program then Police Academy for goal of Police Officer, Certified Nursing Assistant Certificate then Nursing Program for goal of Registered Nurse.
        - Examples of not approvable programs: HR Associate Degree then specialized Compensation and Benefits Certificate with goal of Human Resources,
    - For clients who are seeking training in programs that are not on the approved training list, the following steps should be taken to get the program approved: in order to be approved, a program must meet the "occupational" definition ("Occupational" covers programs which are occupation specific, not general in nature, lead to a credential and fall along an approved career path and include programs ranging from short term professional certificates up through Bachelor Degree programs), have an average starting wage of over $12.00 and there needs to be documented growth/positive projected openings. Career Planners can help clients gather information about a program and present it to the Program Manager.
    - Adding training providers to the Eligible Training Provider List: Until DWD releases the new ETPL website, requests to add training providers to the list are handled by the Workforce Development Board Director. Training providers who are interested should be directed to the Director. Career Planners can help clients who wish to have a program added to the list gather school and program information that will help the Director. Helpful information includes: Name of school, location, program, url for program content and contact name for program. This information should be provided to the Program Manager who will route it to the Director.
    - Process for acquiring GED Vouchers: Due to the infrequency of needing vouchers, there will no longer be a stockpile of vouchers. When you have client who needs a voucher, submit a supportive service form and a voucher can be ready within 2 days or so.

TRAINING SERVICE ELIGIBLITY AND ONGOING REQUIREMENTS STANDARD OPERATING PROCEDURE
Departments: Career Planners, Clients

1. **Purpose:** To standardize the process for determining eligibility and ongoing requirements for WIOA training services (occupational classroom, occupational skills training, GED acquisition, and on-the-job training).

2. **Responsibilities:**
   c. **Career Planner (CP):** The CP is responsible for:
      i. Determining eligibility to receive training services,
      ii. Documenting eligibility for priority of service,
      iii. Helping client make informed choices about training program and providers,
      iv. Checking in with client as often as is needed to inquire about issues and what is going well,
      v. Keeping client engaged in the training program.

   d. **Client:** The Client is responsible for:
      i. Being involved in upfront assessment
      ii. Providing needed information for eligibility determination,
      iii. Providing required paperwork and items,
      iv. Studying hard, getting good grades and completing training program.

3. **Process:**
   e. At enrollment
      i. Determine priority of service: CP must screen for Veterans, Adult Program federal criteria and Adult Program local criteria and indicate on the proper paperwork if individual meets the criteria.
      ii. It is important to remember that WIOA is not an entitlement program and careful consideration should take place before beginning conversations about training. CP's must review client's backgrounds to determine if the client already possesses marketable skills, meaning the individual can, with proper coaching and enhancement of resume/interview, probably gain, or has proven to not be able to gain, employment at a level that provides self-sustaining wages or wages comparable to previous positions (if higher than self-sustaining wages were earned in the past).
      iii. When determining appropriateness for an on-the-job training, there needs to be an "extraordinary" training need, so it is not appropriate to provide instruction and marketing tools to someone who is, for example, a welder who wishes to remain a welder or a nurse who wishes to remain a nurse.
      iv. CP's must also consider legislative and budgetary implications. WIOA legislation emphasizes providing training "to those most in need" and with limited local budgets, does the client truly need the training, thereby limiting someone else who may not be able to get beyond entry level positions without training services.

   f. Per TEGL 19-16, training services may be provided if, after interview, evaluation or assessment, the individual meets the required training eligibility criteria.
      i. CP's will complete a thorough interview with clients who are interested in receiving training services to determine if the client already has marketable skills and, if not already marketable, if the client meets the training eligibility criteria.
      ii. Through evaluation and assessment should also be provided, using both informal and formal methods, to determine occupation choice and training provider.

   g. Training Eligibility Criteria 1: Is unlikely or unable to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment through career services alone
      i. Youth Program: Using information gathered when assessing marketable skills, CP's should know the previous wages and training program occupation wage should be along a career path to wages higher than previous employment
      ii. Adult/Dislocated Workers: CP's must complete the self-sufficiency calculator to determine current status. In addition to found not self-sufficient OR being self-sufficient but having an allowable reason why, CP's must also consider if a participant can obtain or retain economic self-sufficiency through career services only. Per DWD, if the individual is marketable, training is not appropriate and should not be provided.

- ♦ Example from DWD: a registered nurse has no earnings after voluntarily leaving (or being fired from) a job and is determined to be not self-sufficient. However, if the individual is qualified for available jobs that pay a self-sufficient wage in his or her area, training is not approvable, even if the individual may be interested in a career change.
- ♦ INTERPRETATION: Does the person have marketable skills for a position that pays a self-sufficient wage? If yes, training is not allowed.

h. Training Eligibility Criteria #2: Is in need of training services to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from previous employment, through career services alone.

  i. CP's should investigate if the occupation choice requires advanced training beyond high school or if businesses provide on-the-job training.
  ii. CP's should consider the shortest program option available.

i. Training Eligibility Criteria #3: Has the skills and qualifications to successfully participate in the selected program of training.

  i. CP's should assess and review training related assessments to determine if clients possess the requisite basic skill levels to be successful in programs and provide funding based on the school's recommendations for basic skill upgrades. And, assess if the client possess the ability to be successful with the fast paced nature of training programs.
  ii. CP's should follow the school's recommendations or review occupational information to determine if the client's previous experience and education would make the individual eligible for training and marketable after the training is completed.

j. Training Eligibility Criteria #4: Is unable to obtain grant assistance from other sources to pay the costs of such training or requires WIOA assistance in addition to other sources of grant assistance, including Federal Pell Grants

  i. Clients are required to apply for federal financial aid and turn in proof of application / award letters.
  ii. CP's, as part of intake, should also screen for other possible funding resources and make referrals as appropriate.

k. Training Eligibility Criteria #5: Have selected a training program that is directly linked to in-demand occupations and employment opportunities in the local area or in another area to which the individual is willing to commute or relocate.

  i. CP's must make sure that client's desired training programs are listed on the Approved Training List. If not, CP's should, as part of the process for getting programs approved, determine the employment outlook for the local area, or ask about client's plans to move to areas where jobs are more plentiful.

l. Once training eligibility has been determined, CP's should help client choose a specific program and a training provider, allowing for consumer choice for both.

m. In instances where a client is unsure of direction or CP believes client does not have a full understanding of either the program or the provider, CP can assign additional assessment/research/activities, such as a job shadow or informational interview to learn more about an occupation or College 101 as a first class.

n. CP's should recommend resources and/or supports available for those who may need them; tutoring services, disability resources, or any others offered at the training location.

o. Ongoing, CP's must be checking in regularly and reviewing grades (or timesheet progress reports) each semester with clients to problem solve any issues that may arise.

p. CP's should be encouraging continued attendance and providing support for program completion.

6. Additional Resources

a. Paperwork includes: *Work Readiness Assessment, IEP, Supportive Service Request Form, Youth Training Assessment*

b. See *T-00: Training Services Policy*

c. See CM-05: *IEP Policy for documentation of training eligibility*

7. Back-up

a. Each CP is responsible to communicate and provide the details of his/her back-up with everyone.

For those found eligible to receive training services, the following standard operating procedure has been developed to assist with ITA completion.

INDIVIDUAL TRAINING ACCOUNT (ITA) DEVELOPMENT PROCESS STANDARD OPERATING PROCEDURES
Department: Career Planners, Data and Planning

1. **Purpose:** To standardize the Individual Training Account (ITA) Development Process.
2. **Responsibilities:**
    a. **Career Planner (CP):** The CP is responsible for:
        i. Determining the client's eligibility for programs and training services,
        ii. Working with the client to select a school and training program based on approved lists,
        iii. Working with the client to apply for Financial Aid,
        iv. Collecting necessary paperwork,
        v. Reviewing school schedule of classes for compliance with policy,
        vi. Submitting the ITA Packet to the Planner,
        vii. Submitting any revisions or reimbursement requests to the EA, and
        viii. Maintaining contact with the client to ensure the training is successful.

    b. **Planner:** The Planner is responsible for:
        i. Reviewing the ITA Packet that is submitted by the CP to ensure the training meets requirements,
        ii. Tracking ITA estimated amounts,
        iii. Pulling reports as needed,
        iv. Signing the ITA and Supportive Service Request Form(s), and
        v. Entering approved ITA information into ASSET/Google ITA & Supportive Service Spreadsheet ,
        vi. Submitting the training packet to the Program Manager with any recommendations.

    c. **Program Manager (PM):** The PM is responsible for:
        i. Final review and approval, and
        ii. Signing the ITA and Supportive Service Request Form(s).
        iii. Submitting the approved forms to the Executive Assistant (ITA's).

    d. **Executive Assistant (EA):** The EA is responsible for:
        i. Creating a cover letter with policies - Sending a copy of the ITA training plan and cover letter to the client, CP, and school,
        ii. Making adjustment in the Google ITA & Supportive Service Spreadsheet and sending the updated form to the school, and
        iii. Processing school billing and reimbursements.
3. **Process:**
    a. ITA Development:
        i. After the CP determines the client is eligible to receive training services and that the training program meets local eligibility, the client will need to register for classes and apply for financial aid.
        ii. The CP will meet with the client to develop a training plan with estimated ITA and supportive services costs. Both the client and CP will sign off on the form(s).
        iii. CP will review the student's class schedule to make sure all classes to be paid through the ITA are required (for the program or to meet required electives)
        iv. The CP will open the appropriate training service in ASSET, Manage Services, with planned start/end dates
        v. The ITA Packet will be submitted to the Planner for review and signature.
        vi. The ITA Packet will be given to the Program Manager for final review and signature.
    b. For Approvals:
        i. PM will give approved ITA to the EA
            1. EA will:
                a. Create a cover letter with policies,
                b. Send a copy of the ITA letter, policies and request form to the client, CP, and school

c. Enter information into ASSET under Manage Employability Plan

2. Client starts school
   - The client is responsible for notifying the CP and school of any changes such as adding or dropping classes

b. For Waitlisted ITAs:

i. Planner will complete section on ITA checklist and will hold on to ITA packet until approved.

ii. ITA and supportive service requests that are received after an announcement has been made that there is a freeze on funds will be placed on a wait list in the order received and based on priority of service. There is one wait list that records all requests.

iii. If only one program is "frozen" at a time and if funds are available in other programs, co-enrollment can happen (after eligibility determination). Consideration should be given to performance implications.

iv. If more than one program is "frozen", when/if funds become available, people will be removed from the list based on priority and date received. CP's will be asked if the person is eligible for other programs.

c. For Denied ITAs:

i. Planner will complete section on ITA checklist and return to the CP.

d. For Revisions:

i. CP will submit a revision to the EA for review at the beginning of semesters when:
   1. A client drops out of school,
   2. A client needs more money,
   3. Financial aid is awarded and it impacts the amount needed through WIOA, or
   4. A client drops a class.

ii. Revisions requests from the EA to the CP may be made but will be infrequent and only for unusual costs.

iii. Once reviewed and signed, the revision will be given to the PM for final approval.

iv. Once approved, the form will be given to the EA who will make the adjustment in the Google ITA & Supportive Service Spreadsheet and send the updated form to the school and client.

v. If a revision is requested by the school, the EA will make the revision and enter the amounts on the Google ITA & Supportive Service Spreadsheet,

vi. The Google ITA & Supportive Service Spreadsheet will be emailed to CPs during the semester to show revisions / request revisions

e. For Billing – WCTC, MPTC, or MATC:

i. About six weeks into the semester, the EA will contact the school with a list of students to request an account summary by term and bookstore receipts
   1. Requests to the schools must include Names, Date of Birth, and Student ID number.

ii. The Google ITA & Supportive Service Spreadsheet will be sent to CPs to verify amounts for review and release of additional funds.

iii. Based upon CP responses, the committed totals will be adjusted to actual amounts.
   1. If needed, any remaining funds will be added to the following semester.

f. For Reimbursement:

i. For any items that a client purchases on their own, a receipt will need to be submitted to the Accounting Clerk.

ii. Reimbursement for items purchased through the school bookstores will be completed at the time of billing and payment, which is typically four to six months after the start of the semester.

iii. Reimbursements for items purchased elsewhere will be completed after proper receipts are received. CPs must attach receipts to the original supportive service request and clearly indicate reimbursement is needed.

4. Additional Resources

a. ITA Packet includes:

i. ITA Checklist

ii. Financial Aid information must be one of the below:

1. Award/ Denial Letter
2. Student Aid Report (SAR)
3. FAFSA application
4. Statement from FA Office

b. See *T-01: ITA Process, T-02: Board Approved Training Lists, T-03: Approved Training Providers, and T-04: Eligible Training Provider List*

5. **Back-up**
   a. Each CP is responsible to communicate and provide the details of his/her back-up with everyone.
   b. For review and signature, the back-up for:
      i. The Planner is the Executive Assistant.
      ii. The Program Manager is the Executive Assistant

On-the-Job Training

- The local Workforce Development Board policy can be found at: On-the-Job Training Contracts
- Local protocol:
  - On-the-job training is reserved for individuals who have extraordinary training needs. While Career Planners are not fully responsible for determining the training needs or if a gap exists, Career Planners should take caution when handed out ojt cards/information. Individuals who are just completing training programs, those who have entry level skills or advanced training or those who are changing careers should be targeted for ojt card distribution. Individuals are seeking a position that is similar/the same as their previous occupation should probably not receive cards.
  - Those enrolled due to a reverse referral still need to complete all required steps for enrollment: eligibility determination, assessment, informing of supportive services, IEP development, monthly contact, and follow-up. Individuals should be made aware of requirements during the initial appointment and told about requirements if ojt position does not work out.
  - OJT's cannot be completed if an offer of employment has already been made, so never document that a job offer has been extended. Also need to include that there is a skills gap and training is needed.
  - Case note examples:
    - Initial: John is a reverse referral from ABC Company from BSR-DB. She will be working with ABC Company to determine if there is a skills gap to justify an OJT. John is eligible for the DW program as he was laid off from XYZ Company.
    - Contract: The BSR-DB and ABC Company determined that John has a skills gap and developed a training plan for John. John is scheduled to start his OJT on July 9-August 1 with ABC Company he will be trained for 330 hours. We discussed the items on the training plan that he will be learning at ABC Company which includes Fanuc, micrometer/calipers, running and setting up lasers. John said that he didn't have any questions related to the items being trained.
    - Case note start and end dates for ojt

To assist with the ojt process, a standard operating procedure has been developed.

Departments: Business Solutions Team, Career Planners, Data & Planning

1. **Purpose:** To standardize the On-the-Job Training Contract Development Process.

2. **Responsibilities:**

   g. **Business Solutions Representative (BSR):** The BSR is responsible for:

      i. Working with a business to develop a training plan that is comprehensive and fills the identified skills gap for a client,

      ii. Submitting a complete OJT proposal packet to the Planner,

      iii. Working with businesses to have necessary forms signed,

      iv. Collecting outstanding timesheets,

      v. Providing a midway monitoring, and

      vi. Maintaining contact with the business to ensure the training is successful.

   h. **Career Planner (CP):** The CP is responsible for:

      i. Meeting with clients to determine if they are eligible for training and if there is a skills gap,

      ii. Providing required forms to the BSR,

      iii. Working with clients to set up and support services (if applicable), and

      iv. Maintaining contact with the client to ensure the training is successful.

   i. **Planner:** The Planner is responsible for:

      i. Reviewing the OJT proposal packet that is submitted by the BSR to ensure the training meets requirements,

      ii. Submitting the OJT proposal packet to the President with any recommendations,

      iii. Developing the contract, timesheets, and welcome letter,

      iv. Collecting timesheets and midway monitoring,

      v. Processing reimbursement to the business, and

      vi. Tracking the OJT for funding report purposes.

j. **President:** The President is responsible for:
    i. Determining the appropriate funding source and hours for training, and
    ii. Signing the training plan and contract.

4. **Process:**
    a. Regular On-the-Job Training
        i. CPs will meet with clients to determine if they have a skills gap and are in need of training. Once a client is determined Job Ready, they will be added to the Referral list.
        ii. BSRs will job develop with Businesses and refer Job Ready Clients for OJTs.
        iii. Once a business is interested in setting up an OJT, the CP and BSR will connect to discuss the interview process and skills gap. The training plan will be developed between the BSR and employer, and the CP will be responsible for discussing the plan with the client.

    b. Reverse Referral On-the-Job Training
        i. BSRs will job develop with Businesses. If a business has an individual they are interested in hiring through an OJT, the BSR will reach out to the primary CP to screen the individual within 24 hours.
        ii. Based upon eligibility, the CP will enroll the individual.
        iii. The CP and BSR will connect to discuss the interview process and skills gap. The training plan will be developed between the BSR and employer, and the CP will be responsible for discussing the plan with the client.

    c. Training Approval
        i. Once all paperwork is completed, the OJT proposal packet will be submitted to the Planner for review and approval. The Planner will provide the OJT proposal packet to the President for final review and approval.
        ii. Once the President has approved the OJT, the OJT proposal packet will be submitted to the Planner to develop the contract.
        iii. Once the OJT contract is developed, the President will sign the cover sheet.
        iv. The Planner will send the contract, welcome letter, and timesheet to the BSR.
        v. The contract and OJT proposal packet will be signed by the business and client on the start date of the OJT.
        vi. All signed forms will be submitted to the Planner and kept in a central file.
        vii. Once the OJT is complete, the Planner will provide reimbursement to the business. All final forms will be submitted to the fiscal department to process payment.

5. **Additional Resources**
    a. See *T-05: On-the-Job Training Contracts*

6. **Back-up**
    a. Each BSR and CP is responsible to communicate and provide the details of his/her back-up with everyone.
    b. For review and signature, the back-up for:
        i. The Planner is the Executive Assistant/ HR Coordinator.
        ii. The President is the Planner.
    c. If the Planner is out of the office, the OJT proposal packet will go to the IT Manager who will develop the contract.

Youth Work Experience Services

- Youth Work Experiences are broken into 5 categories:
    - Employment opportunities (paid work experiences for out-of-school youth),
    - Internships (paid work experiences for in-school youth)
    - Pre-apprenticeship programs (definition in DWD policy),
    - Job shadowing and
    - On-the-job training (outlined in preceding section)
- Work Experience services can consist of Employment Opportunities or Internships, with the only difference between the two being the enrollment status of the WIOA participants. Employment Opportunities are restricted to out-of-school youth and Internships are restricted to in-school youth.
- The State of Wisconsin has developed definitions for youth Work Experience which can be found at: 10.5.3 Descriptions of the 14 Youth Program Elements
- The local Workforce Development Board policy can be found at the following link: Work Experience
- Local Protocol:
    - Work experiences and internship must be occupation related and match the occupation listed on the IEP.

Youth Work Experience and Internship Standard Operating Procedure
Department: Business Solutions Team, Career Planners, Fiscal & Management

1. **Purpose:** To standardize the Work Experience/Internship Contract Development Process.

2. **Responsibilities:**

    a. **Business Solutions Representative (BSR):** The BSR is responsible for:
        ii. Outreach to businesses,
        iii. Worksite development,
        iv. Assistance with job matching and interviews,
        v. Employer contract signing and review of supervisors manual,
        vi. Worksite monitoring, and
        vii. Submitting the signed contract and all paperwork to fiscal for payroll processing.

    d. **Career Planner (CP):** The CP is responsible for:
        i. Meeting with clients to determine if they are eligible for a Work Experience,
        ii. Providing required forms to the BSR,
        iii. Working with clients to set up and support services (if applicable),
        iv. Reviewing timesheets for hours and performance, and
        v. Maintaining contact with the client to ensure the training is successful.

    e. **Development Manager (DM):** The DM is responsible for:
        i. Reviewing the work experience/internship packet that is submitted by the BSR to ensure the training meets requirements,
        ii. Reviewing and approving job requests,
        iii. Signing the checklist,
        iv. Submitting the training packet to the PM with any recommendations,
        v. Developing the work experience/ internship contract, and submitting packet to the BSR.
        vi. Payroll review.

    f. **Program Manager (PM):** The PM is responsible for:
        i. Final review and approval,
        ii. Signing the checklist and contract, and

    g. **Fiscal (FS):** FS is responsible for:
        i. Initial payroll set-up for participants;
        ii. Sending timesheet reminder emails to businesses;
        iii. Collecting and reviewing timesheets from businesses; and
        iv. Paying participants on FCI's payroll schedule.

b. Process:

b. CPs will meet with clients to determine if they are in need of a Work Experience. Once a client is determined Job Ready, they will be added to the Referral list.
c. BSRs will job develop with Businesses and refer Job Ready Clients for Work Experience services.
d. Once a business is interested in setting up Work Experience, the BSR will develop a job request. The DM will review for completeness.
e. The CP and BSR will connect to discuss the interview process. The CP will submit the required paperwork to the BSR.
f. Once all paperwork is completed, the training packet will be submitted to the DM by the BSR for review and approval. The DM will provide the training packet to the PM for final review and approval.
g. Once the PM has approved the training, the training packet will be submitted to the DM to develop the contract.
h. Once the contract is developed, the PM will sign the cover sheet.
i. The DM will send the contract and training packet to the BSR.
j. The contract will be signed by the business and all signed forms will be submitted to FS for payroll processing.
k. For timesheets,
    i. Once a timesheet is received by FS, a copy will be distributed to the BSR and CP.
l. Once payroll is processed, the DM will be responsible for reviewing all work experience/ internship totals.

c. Back-up

m. Each BSR and CP is responsible to communicate and provide the details of his/her back-up with everyone.
n. For review and signature, the back-up for:
    i. The DM is the Executive Assistant/ HR Coordinator.
    ii. The PM is the Executive Assistant/ HR Coordinator.
o. If the DM is out of the office, the work experience proposal packet will go to the IT Manager who will develop the contract.

Academic and Occupational Education Component to Work Experience Services

- The State of Wisconsin provides guidance on the academic and occupational education component in the following policy: 10.5.3 Descriptions of the 14 Youth Program Elements (Work Experience section)
- The local Workforce Development Board policy for Education Component can be found as part of the Work Experience policy: T-11: Work Experience
- Local Protocol: The updated T-11 policy allows flexibility for the service provider to determine the appropriate type of academic and occupational education necessary for a specific work experience. The Job Request form has been modified and contains detail about what skills the client will be gaining through a work experience as defined by the businesses. As part of the review and contract development process, the academic and occupational education pieces will be reviewed to make sure the suggested education is in compliance with WIOA legislation.

Ongoing Case Management Requirements

Monthly contact requirements: Frequent contact with participants is expected and essential to continued engagement in the program. Forward Careers, Inc. has a policy establishing at least monthly two-way contact with each participants, although this is only a minimum and it is expected that the number of contacts equals what is needed by each individual, meaning contact could be monthly, weekly, or even daily and completed using the form that is most convenient for the individual, including face-to-face interactions, phone calls, text messages, Facebook messages, or through email.

90 days with no services: Per the State of Wisconsin, the definition of exit is the last date of service and no plans of future services (excluding follow-up). Simply contacting or unsuccessfully attempting to contact a participant does not, in and of itself, constitute providing a service. Contact needs to be "meaningful."

Most services are fairly straight forward and have clear start and end dates: resume development, initial assessment, on-the-job training, work experience, and occupational training. ASSET services, employment plans, documentation in the paper file and case notes can and should clearly reflect provision of these services. For those who are receiving a paid service (occupational training, ojt's, work experience, etc.) data validation is applied to these services and training start/end date should match paperwork. If the participant is employed at the end of training, use training end date as exit date (assuming no other type of service is needed). If the participant is not employed, open career awareness or assisted job search and assist with job search.

- **Career Awareness and Assisted Job Search and Placement guidance:** As long as there is forward progress and not just "still looking for work," services can remain open. Case notes should clearly reflect this forward progress by including information on: talking about job search status, keeping participant motivated and on track, tracking progress on job search items like applications, interviews, etc. Additional services that could be opened during this time include:
    - Adult/Dislocated: Job Referral (Staff assisted referral to a known job opening – BSR leads), Referral to an employer (Staff assisted referral to an employer – BSR recommends an employer for this participant), Workshop
    - Youth: No additional service options exist, so just document all career awareness activities in case notes.
- **Case notes related to 90 days with no service:** More thorough case notes will be necessary to establish argument for "forward progress" during a work search. The following are examples of how to properly document "meaningful" contact.
    - Not meaningful: "Joe called, he continues looking for work"
    - Meaningful: "Joe called, we talked about where he has been applying for work, types of positions, talked about changes he made to his resume and if those are bearing results, talked about job lead to Spiros – he applied but hasn't heard back yet. Asked if he wanted us to follow up." We'll check back in next week to see if he's heard anything
    - Not meaningful: "Joe started his new job"
    - Meaningful: "Joe started his new job and all is going well. We talked about the plan he has in place for better attendance – his second alarm clock is working to get him up on time. Let him know I was available if any issues came up - will check back in with him next month to make sure all is still going well before closing services."
- **Local Protocol:**
    - Monthly contact requirements – it will be much more important to maintain monthly contact and to adequately document what is going on.
    - 60 days with no contact – review and start looking to see if person is employed, plan on exiting at 90 days.
    - Exit dates will need to be last date of service. We can use our standard process for those who are following through and you are providing an actual service up through exit.
    - Job retention is also a necessary service component for those who may need it. As long as there continues to be meaningful contact, participants can remain open beyond placement. Case notes must reflect ongoing service provision.
    - If employed: temp jobs or maintenance jobs – if person clearly indicates they want to remain open, give them 90 days and see how active they are in their job search. If not active, exit. If still actively looking for another job, keep open and record services.

Exiting
20 CFR 677.150(c) provides the definition of 'Exit,' stating that the exit date is the last date of service, determined when 90 days have elapsed since the participant last received services and when there are no plans to provide future services, and clarifies that services do not include self-service, information-only services or activities, or follow-up services.

Exiter:
- Participant who has not received a service funded by U.S. DOL programs or funded by a partner program for 90 consecutive calendar days and has no additional services scheduled. The date of exit will be the last date of service
- Self-service, information only or follow-up services do not delay, postpone or affect the date of exit
- Co-enrollment in Title 3, TAA or Veteran's Programs will create a common exit date, which is defined as the last date of service for all programs. If exiting someone in a partner program, ask the partner staff person to also close that program's services so common exit can occur.
- Because the date of exit is retroactive to the last date of service, follow-up services may begin immediately following the last date of service if it is expected that the participant will not receive any future services other than follow-up services.

Follow-Up Services / Global Exclusions
- The local Workforce Development Board policy on conducting follow-up can be found at the following link: Follow-Up Services and Global Exclusions
- Local Protocol:
    - Follow-up must be attempted according to policy every quarter with those attempts being documented in case notes
    - Employment information should be documented on Manage Follow-Up Status screens
    - Follow-up must be conducted related to a participant's common exit, meaning if the individual is co-enrolled in other ASSET using programs, follow-up will not begin until 90 days has passed since all program services have ended (not just WIOA and excluding only self-service services – see the State of Wisconsin's 11.4 Common Exit policy)
    - See paper work section for follow-up form and script
    - Follow-Up does not need to be completed for those who were exited with a global exclusion
    - Although global exclusions can be reported at exit and during follow-up, global exclusions reported after exit no longer remove individuals from the performance measures.
    - Global Exclusion – Institutionalized: although DOL has removed the time frame related to institutionalized, Career Planners should use their best judgment when weighing the decision to exit someone who is going to be in a facility only for a short period of time. If the individual, after serving a short sentence or being in-patient for less than 90 days, will still be engaged in the program and is working towards goals outlined on the IEP, Career Planners have the discretion to keep the individual open in the program.
    - Global Exclusion – Institutionalized: For individuals who commit serious crimes and pre-trial documentation indicates a possible lengthy prison/jail sentence, Career Planners can exit before sentencing using the "institutionalized" exclusion, especially if the individual will be held in jail through the trial.

Performance Measures

DWD has fully developed resources regarding performance measures. Some of the resources are located in policy and are outlined below. Other resources include:

- DWD Performance Technical Assistance Guide
- DWD Performance Measures 101: power point developed for new Career Planners
- DWD Performance Friday webinars: the last 2 weeks of every month, webinars are conducted
- Quarterly performance reports: emailed to Directors and posted on the SharePoint site, these reports provide a quarterly snapshot of each local area's results

Local Resources

- Credential spreadsheet: spreadsheet used to track exits and their impact on the credential measure
- Follow-Up Spreadsheets: Career Planners are to use their follow-up spreadsheets as a way to track 2nd and 4th quarter placements. Additionally, follow-up webi reports are emailed to Career Planners as a way to track placements and to look for records that need supplemental data.

Placement in Employment or Education

- The State of Wisconsin has provided guidance for this performance measure: 11.5.2 Unsubsidized Employment during the 2nd Quarter after Exit (Adult and Dislocated Worker Programs) and 11.5.3 Unsubsidized Employment or Education during the 2nd Quarter after Exit (Youth)
  - Local Protocol: Youth Career Planners must report all education related information on Follow-Up Status screens, seek information from Program Manager from National Student Clearinghouse for attendance documentation if not able to collect from client or school

Median Earnings

- The State of Wisconsin has provided guidance for this performance measure: 11.5.6 Median Earnings
  - Local Protocol: When using supplemental data, Career Planners must report all earnings during the 2nd quarter after exit on Manage Programs Follow-Up Status.

Credential Measure

- The State of Wisconsin has provided guidance for this performance measure: 11.5.7 Credential Attainment Rate
  - Local Protocol:
    - All participants who are attending school must be opened in a training service
    - Career Planners must indicate the actual fund source for the training, "other" must be chosen for funders other than WIOA Title 1, with the fund source being typed in the appropriate box
      - Adult and Dislocated Workers: anyone with other as the only fund source will be removed from the credential measure
      - Youth Program: other does not remove the individual from performance
    - Career Planners should enter all credentials earned, including embedded certificates
    - Types of items not accepted as credentials
      - Certificates awarded by workforce development boards (WDBs)
      - Work readiness certificates
      - Certificates of attendance
    - If questions arise on a local basis about whether or not training will qualify in the performance measure based on the new definition, the following procedure should be followed:
      - Career Planners should discuss the training with Program Management staff
      - Program Management staff will review and analyze the request and make a determination or request review and input from DWD;
      - Program Management staff will communicate the determination with all service providers so that everyone benefits from the information.

Measurable Skills Gain

- The State of Wisconsin has provided guidance for this performance measure: 11.5.8 Measurable Skill Gain
  - Local Protocol:
    - DWD Clarification (from Bryan Huebsch email 9/22/17) in reference to boot camp programs/MSG: Certificates of completion could be a measurable skill gain by method #4 (progress report) if there was additional documentation demonstrating the "substantive skill". The certificate of completion demonstrated

satisfactory progress, while documentation such as a course syllabus documents the substantive skill. Together they document "Other documented substantive skill achievements".

- Career Planners should never delay enrollment or services to participants until a new program year even if there is insufficient time for the participant to make any type of measurable skill gain by the end of that program year.

Documenting Progress for Types of Measurable Skill Gains	Used When	Measureable Skills Gain Attained - ASSET Entry
1. EFL	English Language Learner or Basic Skills Deficient	Training Milestone
2. Secondary school diploma or its recognized equivalent	Participants who have not completed HS Diploma/Equivalent at program entry	Secondary transcript or report card
3. Secondary or postsecondary transcript or report card	12 credits in a semester for full time students. 12 credits within 2 consecutive semesters within in the same program year for part time students	Secondary transcript or report card OR Post-secondary transcript or report card
4. Satisfactory or better progress report towards established milestones	Participant must be in OJT, Apprenticeship and Work Experience	Training Milestone
5. Successful passage of an exam	Just taking industry exam	Skills Progression

Supplemental Data

- The State of Wisconsin has provided guidance for this performance measure: Supplemental Data Collection Recommended and Proven Practices
- The local Workforce Development Board also has a policy on supplemental data collection which can be found at the following link: Supplemental Earnings - Required Documentation
- Local Protocol: For those instances where a participant's employer does not report to UI, supplemental data can be collected. Best practice is to collect "official" documentation; a check stub, verification from the business on the company letterhead, tax records, but the use of the follow-up form can be used. Wage information is required as the definition for placement is: "earnings greater than 0." Information gathered is to be entered on the follow-up status screen(s) under supplemental data fields. Career Planners must indicate on the Supplemental Data Verification Status fields other than Not Verified or Not Employed to receive performance credit.
- Website to Verify Military Personnel on Active Duty: https://scra.dmdc.osd.mil/scra/#/single-record

Performance Benchmarks

Measure	PY17 Benchmark	PY18 Benchmark	Timeframes Measured
Adult Q2 Unsubsidized Employment	80%	80%	July – June 1 yr ago
Adult Q4 Unsubsidized Employment	75%	75%	Jan – Dec 1 yr ago
Adult Median Earnings	$5,500	$5,500	July – June 1 yr ago
Adult Credential Measure	60%	60%	Jan – Dec 1 yr ago
Adult Measureable Skills Gain	Baseline year	Baseline year	July – June current yr
Dislocated Worker Q2 Unsubsidized Employment	85%	85%	July – June 1 yr ago
Dislocated Worker Q4 Unsubsidized Employment	83%	83%	Jan – Dec 1 yr ago
Dislocated Worker Median Earnings	$7,500	$7,500	July – June 1 yr ago
Dislocated Worker Credential Measure	60%	60%	Jan – Dec 1 yr ago
Dislocated Worker Measureable Skills Gain	Baseline year	Baseline year	July – June current yr
Youth Q2 Unsubsidized Employment/Education	67%	67%	July – June 1 yr ago
Youth Q4 Unsubsidized Employment/Education	70%	70%	Jan – Dec 1 yr ago
Youth Median Earnings	Baseline year	Baseline year	July – June 1 yr ago
Youth Credential Measure	60%	60%	Jan – Dec 1 yr ago
Youth Measureable Skills Gain	Baseline year	Baseline year	July – June current yr

Statistical Adjustment Model

Required by WIOA, the statistical adjustment model is used to make adjustments to negotiated levels of performance based on actual economic conditions and the characteristics of participants served at the end of the program year. The model uses a formula which reviews over 50 client characteristics and adjusts or raises/lowers the benchmark based on those characteristics. DWD is currently working on the system to be able to accurately report to the local areas.

Records Management

To assist with the data entry process for WIOA, the following standard operating procedure has been created.

DATA ENTRY STANDARD OPERATING PROCEDURE
Department: Career Planners, Data and Planning

4. **Purpose:** To standardize the Data Entry, Filing, and Reporting Process.

5. **Responsibilities:**
    a. **Career Planner (CP):** The CP is responsible for:
        i. At enrollment into ASSET, must send Applications and Need Score forms to the IT Manager and Planner,
            1. Note: For those with Moraine Park emails, it must be sent to the IT Manager and Planner's Moraine Park email addresses. Same with WCTC emails.
            2. For those clients who are not U.S. citizens, send copy of Document Verification Form.
        ii. Submit Change Name/ Address forms to IT Manager and Planner as they happen,
        iii. Submit Training Terminations to the IT Manager for all completed Occupational or Prevocational Services at training completion and program exit,
        iv. Open and enter the Occupational or Prevocational Service in ASSET,
        v. Enter the program and employment outcome information under the Occupational or Prevocational Service in ASSET (at the bottom of the screen),
        vi. For ITA services, verify school start with the participant and enter actual start date within 2 weeks,
        vii. Close the Occupational or Prevocational Service in ASSET,
        viii. At exit from ASSET, send IT Manager and Planner exit forms as they happen (preferred) but must be before the last day of the month.

    b. **IT Manager:** The IT Manager is responsible for:
        i. Enter all Application and Need Scores, Exit, Change Name/Address, and Training Termination forms into Access and verify correctness in ASSET,
        ii. Submit all Application and Need Score and Exit forms to the Planner for reporting,
        iii. Provide the Training Termination and Change of Name/Address forms to the Planner,
        iv. Notify the Planner when all monthly information is entered, and
        v. Review monthly and quarterly reports for accuracy.

    c. **Executive Assistant (EA):** The EA is responsible for:
        i. Check the ITA Central File for previous ITA files or create a new folder,
        ii. Open ITA services in ASSET,
        iii. Add Occupational or Prevocational Service into Access,
        iv. Upon receiving the Training Termination form, verify if billing is complete,
        v. File ITAs that have a training termination or have reached their lifetime limits in the exit drawer, and
        vi. Verify ASSET and Access information is correct.

    d. **Planner:** The Planner is responsible for:
        i. Verify Need Scores and Exits match the database,
        ii. Pull the monthly Enrollment/ Exit report for the Program Manager/ CPs to verify all exits and enrollments for the month are entered,
        iii. Pull monthly and quarterly reports,
        iv. File Application and Need Score and Exits in the Central File, and
        v. Pull program leverage on a monthly basis.

6. **Process:**
    a. Enrollments/ Exits
        i. Within three (3) business days of entering or exiting a client in ASSET, the CP will submit the client's Application and Need Score or Exit form to the IT Manager.

ii. The IT Manager will enter all data in Access to match ASSET.
iii. The IT Manager will submit the Need Score and Exit forms to the Planner by the 3rd business day of the following month.
iv. The Planner will pull the monthly Enrollment/ Exit report and submit to the Program Manager who will verify with CPs that the data is correct through the end of the month.
v. Once verified, the Planner will pull the monthly report and submit to the IT Manager for review.
vi. Once approved, the Planner will send the monthly report to the management team.

b. ITA
i. For new enrollments, the CPs will be responsible for sending the Application and Needs Form or Application with the ITA packet if the Needs Form has not already been submitted to the IT Manager.
ii. CPs will need to open an Occupational or Prevocational service in ASSET,
iii. Upon receiving the approved ITA, the EA will check the Central File for previous ITA files or create a new folder.
iv. The EA will be responsible to adding the ITA service in ASSET, Manage Employability Plan and entering the Occupational or Prevocational Service into Access.
v. As billing and revision paperwork comes in, the EA will be responsible for updating and adding this information to the ITA file and Access database.
vi. Once the training is complete, the CP is responsible for updating the program and employment outcome information under the Occupational or Prevocational Service and closing the service in ASSET. Once closed, the CP is responsible for submitting the Training Termination form to the IT Manager within three (3) business days.
1. NOTE: If upon program exit, the training or employment outcome information has changed, the CP is responsible for updating this information in ASSET and resubmitting the Training Termination form to the IT Manager.
vii. The IT Manager will verify the training information in ASSET and entering the termination data into the Access database. Once complete the form will be provided to the EA. The EA will be responsible for verifying if billing is complete, adding the form to the file, and moving the file to the ITA exit drawer.

7. Additional Resources
a. See: *Contract, ITA Data Entry Process, etc.*

8. Back-up
a. Each BSR and CP is responsible to communicate and provide the details of his/her back-up with everyone.
b. If the IT Manager is out of the office, the Planner will be back-up.
c. If the Planner is out of the office, the IT Manager will be back-up.
d. If the EA is out of the office, the Planner will be back-up.

Required Documentation

- Enrollment Paperwork
  - WIOA Application and Supplemental Form
    - source documentation is needed to verify the following items and must be included in the paper file
      - Veteran / Spouse of Veteran / Spouse of Deployed Veteran
      - Homeless (can use client statement)
      - Disability and felony/misdemeanor (yp – must get documentation, other programs should get documentation)
      - Income – documentation is required for OSY and ISY when using low income as an eligibility criteria
      - Food Share, SSI, W-2 recipient (can use data verification form)
      - Free or reduced lunch (yes only if the participant receives this)
      - UI (must collect documentation from dislocated workers, elig criteria 1)
  - Acknowledgement / Publicity Release
  - Consent and Release of Information
  - Document Verification Form
    - Signed by Career Planner acknowledging review of forms
    - Driver's license can be from out of state
    - Items cannot be expired, except passport
    - SSN document # if found on the back of the card – this is not the security code
  - Individual Employment Plan / Individual Service Strategy
    - CEPT option or paper version
  - Income Verification Worksheet: used to determine if individual and family are low income
    - The State of Wisconsin policy on family can be found at: family
    - Self-attestation is acceptable for all situations except when low income is used as an eligibility criteria
    - Make sure to check the appropriate item in the DOL reporting box
  - Selective Service Non-Compliance (when applicable)
  - Program Checklist
  - Needs Score Form (score of 10 for youth program participants = needs additional assistance "yes")
  - Items to hand out to participants (mandatory)
    - Equal Opportunity Policy Statement
    - Welcome Letter / Appeals Procedure
    - Priority of Service Letter (when applicable)
- During program participation
  - Work Readiness Assessment (completed after determining eligibility but during initial/objective assessment)
  - Referral form for placement opportunities (BSR referral form)
  - Change of Address (used to verify a change of address, new phone number or new name)
  - Data Verification Form
    - Used to verify data from telephone calls, external databases (IRIS, work number, UI, national student clearinghouse, CARES) or from client reporting
    - Used to verify previous income, if someone is receiving UI benefits at enrollment, previous employment, employment for exit and follow-up employment
    - Documents used to verify the data cannot be kept in the paper file
  - Progress documentation / service documentation (paperwork to verify ongoing service provision, such as resume, job leads, informational flyers, etc.)
  - Exit Checklist
    - Exit date must match date of last service
- Service Specific Forms (ITA's, Supportive Service forms and Work Experience forms are covered in the service standard operating procedures)

Transfer of Cases
It is allowable to transfer cases within the Workforce Development Area (WDA), when requested by a client. With Program Manager approval, it is also allowable when requested by a Career Planner, although transfers are typically limited. For transfers within the WDA, Career Planners should update ASSET: enter an case note explaining the situation, change the Career Planner under Manage Programs, and close services. The new Career Planner should re-open services, arrange to meet the client and create a new Individual Employment Plan, establishing a new baseline of services/responsibilities. Agency data entry staff should be informed as the Career Planner name will also need to be changed in ACCESS.

It is not required that clients be transferred if they are moving out of the WDA. For those who are moving and want to transfer or those who otherwise request a transfer of services to another WDA, the following local protocol applies:

- The local Career Planner will contact the appropriate WIOA agency where the participant will be residing to get the contact information for a new Career Planner. The participant will then contact the new Career Planner to begin the transfer process.
- The local Career Planner should close out all service components in ASSET and contact the new Career Planner before mailing a copy of the file to him/her.
- It is the local Career Planner's responsibility to ensure that the case is successfully moved to the other county by checking if new service components are open within 30-calendar days after case is transferred. Because the case remains open for the transfer, new services need to be added or the case will soft exit in 90 days.
- Before closing a participant in a training component, the Career Planner should also enter the proper credential and/or measurable skills gain, if applicable, for any training that was completed. If applicable, the Career Planner should terminate any ITA that is approved for a future semester.
- If the participant has moved and left no forwarding information or does not follow-through on contacting the WIOA agency where the participant will be residing, the participant must be exited.
- NOTE: When multiple Workforce Development Areas provide services to a participant, the WDA that enters the first staff-assisted service or its equivalent will be the area that receives performance credit for all applicable program performance measures.

Record Retention
Completed WIOA applications from those who did not enroll or were determined in-eligible for services must be retained for three years.

All program participant files for those enrolled in programs must be retained for seven consecutive years after the participant exits from U.S. DOL funded programs. The retention period includes files pertaining to:

- WIA/WIOA Title 1 Adults, Dislocated Workers and Youth ages 14-24, including Special Response Grant recipients;
- WIA/WIOA Title 3 participants, including Veterans;
- Trade Assistance Adjustment participants;
- National Emergency Grant (NEG) participants.

Participant records that are subject to data element validation or in litigation may need to be retained longer. This policy does not apply to the retention of records associated with grant management, fiscal reporting, audits or records pertinent to applicants determined ineligible, or otherwise not served–- all of which continue to have a three-year retention requirement. In the case of those determined ineligible or otherwise not served, the records should indicate the reason for ineligibility/refusal.

Monitoring / Records Reviews

State Monitoring and Data Validation
The State is the pass-through entity of funds awarded for WIOA Title I Adult, Dislocated Worker, and Youth programs. It is responsible for oversight of the operations of the WIOA activities. DWD-DET will monitor its activities under the Federal awards to assure compliance with applicable WIOA requirements and that performance expectations are being achieved. Monitoring by DWD-DET must cover each program, function, or activity.

DWD-DET monitors for compliance in the areas of equal opportunity and civil rights, program delivery, and fiscal, as well as performance of local areas to ensure proper systems are not only in place, but that they are being followed and meet the requirements of the law on a yearly basis. Policies and guides related to DWD monitoring can be found at: 1.2 Oversight and Monitoring. The guides provide an outline of which program areas will be emphasized each year and inform Career Planners of areas to focus on during preparation for the site visit. The policy also outlines the terms used and sanctions imposed for poor performance.

Data Validation: Data validation tests whether the information provided in the ASSET database is actually valid and reliable. Meaning, it is accurate as evidenced by matching paper documentation which has been collected. The State of Wisconsin has released a policy on data validation: 11.23 Data Validation, which is currently in draft form. The new policy creates a process where data validation is conducted as part of the yearly coordinated monitoring process, outlined in the section above. DWD monitors will be comparing the paper file source documentation to determine if it matches the recorded information in ASSET. The following 24 data elements are subject to review:

ASSET Field	Source Documentation
Participation Date	• IEP • Electronic Records • Program intake documents
Exit Date	• Electronic records • Exit form • Letter sent informing client of exit date
Other reasons for exit (globals)	• Info from institution or facility • Electronic records • WIOA status/exit form • Information from partner services • File documentation with notes from program staff
Type of training service #1, #2 or #3	• Copy of enrollment record • Cross match between dates of service and vendor training info • Vendor training information • ITA • Attendance records
School Participation • Participated in Postsecondary Education during program participation • Enrolled in Secondary Education • Date enrolled in post exit education or training	• Transcript or report card • School records • Copy of enrollment record • Data match with postsecondary data system
Employment Related • Employed in 1st quarter after exit • Employed in 2nd quarter • Employed in 3rd quarter • Employed in 4th quarter	• UI Wage match • Follow-up survey from participants • Pay check stubs, tax records • Document from employer • Self-employment worksheet
Type of recognized credential and Date attained recognized credential	• Copy of credential • Copy of school record • Data match • Follow-up survey from program participants • Case notes documenting information obtained from education or training provider

Date of most recent MSG (EFL)	• Pre- and post-test results • Adult high school transcript showing gain • Postsecondary ed or training enrollment determined through data match, survey documentation or program notes
Date of most recent MSG :post-secondary transcript or report card and MSG (Secondary transcript or report card)	• Transcript • Report card
MSG (training milestone)	• OJT or registered apprenticeship • Contract and/or evaluation from employer or training provider
MSG (skills progression)	• Results of knowledge-based exam or certificate of completion • Documentation demonstrating progress in attaining technical or occupational skills • Documentation from training provider or employer • Copy of a credential that is required for a particular occupation and only is earned after the passage of an exam
Date enrolled during program participation in and education or training program	• Copy of enrollment record • School records • Transcript or report card • Data match with postsecondary data system • File documentation with notes from program staff
Youth placement in education • Youth 2nd quarter placement • Youth 4th quarter placement	• Cross match with other agencies • Copy of enrollment record • File documentation with notes from program staff • School records • Transcript or report card • Vendor/training provider training documentation

Other acceptable types of source documentation are outlined in the following documented provided by DOL: TEGL 7-18 Attachment 1, Source Documentation for WIOA Core Programs

Local Protocol for DWD Monitoring:

- PIN's for file reviews are sent to FCI typically one week before the site visit. Career Planners are required to be available during that week to review and organize files.
- Since it is part of DWD policy that ASSET records cannot be altered once PIN's are provided, it is essential that Career Planners keep ASSET and files up to date at all times. There is also typically more emphasis placed on reviewing file during the week leading up to monitoring, Career Planners are expected to take part in this process.

Workforce Development Board Monitoring

Once per year as required by legislation, the sub-contractor is also monitored by the local Workforce Development Board. The review will typically consist of a site visit, files reviews and interviews. Typically interviewed are program management, business solutions reps and career planners. PIN's are typically provided one week before monitoring. Once completed, the local Workforce Development Board will provide feedback that is similar in structure to DWD's monitoring: findings, areas of concern, opportunities for improvement. Corrective action plans might be needed and FCI is expected to train on areas needing improvement and to monitor locally any areas needing improvement.

Local Protocol for WDB monitoring: Career Planners are expected to comply with requirements of local monitoring: to provide up-to-date files and to take part, when needed, in the career planner interviews.

Local Reviews and Expectations

Due to the level of scrutiny placed on the local service provider, it is important for Career Planners to maintain up-to-date files. Many items depend on timely and accurate data entry and collection of paperwork: enrollment, training, closing training service / entering credentials and skills gains, provision of services, case notes and many other instances. And DOL, DWD, WDB and SOP requirements, mandate timeframes for file upkeep and data entry completion. To aid in the complexities of WIOA processes, file reviews have been set up to serve as another set of eyes for Career Planners. At enrollment, the Data Entry Specialist reviews ASSET entries to make sure they match with the application and to make sure required services are opened. At exit, a more intensive review is conducted by program management staff to make sure all fields are accurate and no items are missing before closing services.

Data Management

There are several resources for documenting participant and program information. The required systems do not always provide accessibly reporting mechanisms, so local databases have also been developed to aid the program management.

Automated Support System for Employment and Training
ASSET supports the Workforce Investment Act (WIA) programs - encompassing the Adult, Dislocated Worker, and Youth programs under WIA Title 1 and the Wagner-Peyser funded labor exchange services (WIA Title 3) including case-managed services to Veterans, Migrant Seasonal Farm Workers (MSFWs), Unemployment Insurance (UI) Claimants, and Older Workers. ASSET also supports reporting for specialized Dislocated Worker programs such as Trade Adjustment Assistance (TAA), Special Rapid Response (SRR) and National Emergency Grants (NEG).

ASSET provides statewide, comprehensive data collection for job seeker registration, case management, and eligibility screening for program and provider services. It is web-based and can be accessed wherever an Internet connection is available. This web site is designed and tested for use with Internet Explorer, using other versions may yield unpredictable results. ASSET is not available through other browsers.

The ASSET record should provide an accurate overview of every client's demographics, eligibility, assessment results, service needs, services received, test results, employment history, skill goals, case notes and follow-up. Creating a thorough record for each client is expected by grant holders and is the only way of assuring case transfer cohesion should Career Planners leave or a case gets transferred.

- The State of Wisconsin's ASSET User Manual can be found at the following link: ASSET User Manual (a newer version of this manual is in development by DWD).
- Although sometimes allowable by the system, DWD requires data entry to be completed within 15 days.
- Each time new or modified functionality is released in the production ASSET system, information about the changes included in the given release is posted in a technical bulletin, which users can locate via the ASSET Infoline. Upon hire, Career Planners register to receive these notices. Previous updates and service descriptions can be found in the history section of the technical bulletin website.
- The local Workforce Development Board requires data entry into ASSET within 10 days.
- Local Protocol: "If it isn't in ASSET, it didn't happen."
- A cheat sheet has been developed to provide tips to Career Planners on ASSET entry for each case management section of the site and can be found in the attachment section of this manual.

ASSET Data Correction Requests
- The State of Wisconsin's guidance on completing ASSET data requests can be found at the following link: How to Submit Staff Requests
- Local Protocol:
    - Check with Program Manager before submitting a new kind of request as some items can be changed locally and other items will not be changed by DWD.
    - Local approvers are Lisa Maylen and Anita Gorham

Comprehensive Employment Planning Toolkit (CEPT)
The State of Wisconsin Department of Workforce Development received a grant to create tools to aid job seekers with their job search process. What has been developed is CEPT (Comprehensive Employment Planning Tools), which are a series of widgets available to those who are registered on Job Center of Wisconsin and to Career Planners who case manage those on JCW. The CEPT tools are intended to be used as a compliment to case management in ASSET, allowing career planner and job seeker to utilize the tools remotely to allowing for ongoing communication on the job search process. The 5 tools that have been developed include: Self-Sufficiency Calculator, Employment Plan, Budget Planner, Action Steps List and UI Benefits Dashboard, with all the tools available to both Career Planners in ASSET/CEPT and to job seekers in Job Center of Wisconsin. The use of the Self-Sufficiency Calculator in CEPT has been made mandatory and it is the intention of DWD that all tools be used with clients.

- Reference / User Guide materials can be found at the following link: CEPT Tutorials and Reference Manual
- YouTube Video for clients: Action Steps

Local Spreadsheets and ACCESS Database
To assist with case management and local oversight of WIOA, other resources have been developed. A local ACCESS database tracks enrollments, placements, client demographics, services provided, supportive services, training services and exit information. Reports generated from this database are used to report to DWD, the Workforce Development Board, FCI. The need for this additional database, while creating duplicative processes/data entry, at times is essential to the oversight and management of the WIOA program.

Career Planners also find developing caseload and follow-up spreadsheets to be helpful when managing their caseloads. These spreadsheets do not have to follow a standard format but most find it helpful to include the following information:

Caseload Spreadsheets

- Client name
- PIN
- Enrollment date
- Selective Service registration date for those under 18 (youth)
- IEP review date
- Case notes / 2 way contacts
- Occupational goal / training program type
- Job search or training status

Follow-Up Spreadsheets

- Client name
- PIN
- Exit Date
- Contact information
- Employment status at exit
- Follow-up attempts per quarter
- Follow-up results per quarter

Life Cycle of a WIOA Participant

Adults / Dislocated Workers / Youth

Symbol	Function
(rounded box)	Start/end
(box)	Process
(dashed box)	Instruction
Teal text	Timeframes/ limits
Red text	Services

No time delays on applying for services
Must: Screen for Veteran's Priority of Service, screen for other programs/services, let everyone interested complete a WIOA application, even if not eligible, inform of Social Security number items

Initial Contact

Every client must be given the opportunity to apply if interested

Applicant returns the application?

Yes → Using the application, create/update the applicant's ASSET record **within 10 days of submission** and determine eligibility for WIOA. Mark "reportable individual" in mng programs, open eligibility service for 30 days from submit date, and enter a case note w/submission date

No → Nothing else is needed

Within 5 business days,
notify applicant of eligibility status and document in case notes.

Applicant is eligible for WIOA?

Yes → Intake Appointment: Follow Intake SOP, complete required paperwork, verify documents, complete ASSET data entry

No → Refer to other services using Intake Screening Guide

30 days to complete eligibility determination
Must: Gather all required documents and verify Selective Service BEFORE opening other services in ASSET. Determine priority of service, inform of EEOC/ grievance and supportive services. If person does not follow-through at any point up to this point, allow to soft exit

"Participant" Causing Services

Providing a staff assisted service or beyond for ap/dw or providing one of the 14 youth service elements, makes the person a participant

AP/DW

Initial Assessment: Assessment SOP, screen for marketable skills, gaps in skills and supportive service needs

MUST: Use formal and informal tools

Following Enrollment: Complete ESS Calculator using CEPT. Have client accept or print out and have client sign. Keep print out in file

MUST: Be completed **within 30 days** of the close date of eligibility determination. CP's have **24 hours** to edit the calculator after saving it

Within 3 days after opening a participant causing service: enrollment paperwork to Anita/Kimberly following Data Entry SOP

Enrollment: Follow Data Entry SOP, uncheck "reportable individual only", complete ASSET fields and case notes

Services provided must be based on assessment results, therefore, assessment results MUST point to services to be provided.

Youth Sequence of Services

Must be completed within 120 days of app submission

After determining eligibility, begin Objective Assessment: Assess all areas in the Assessment SOP using formal and informal tools. Screen for marketable skills, gaps in skills and supportive service needs

Must: administer formal assessments for basic skills, occ skills, interests/aptitudes and service needs

Based on assessment results, develop IEP: Develop jointly, outline plan of action to reach client's goals, list next steps

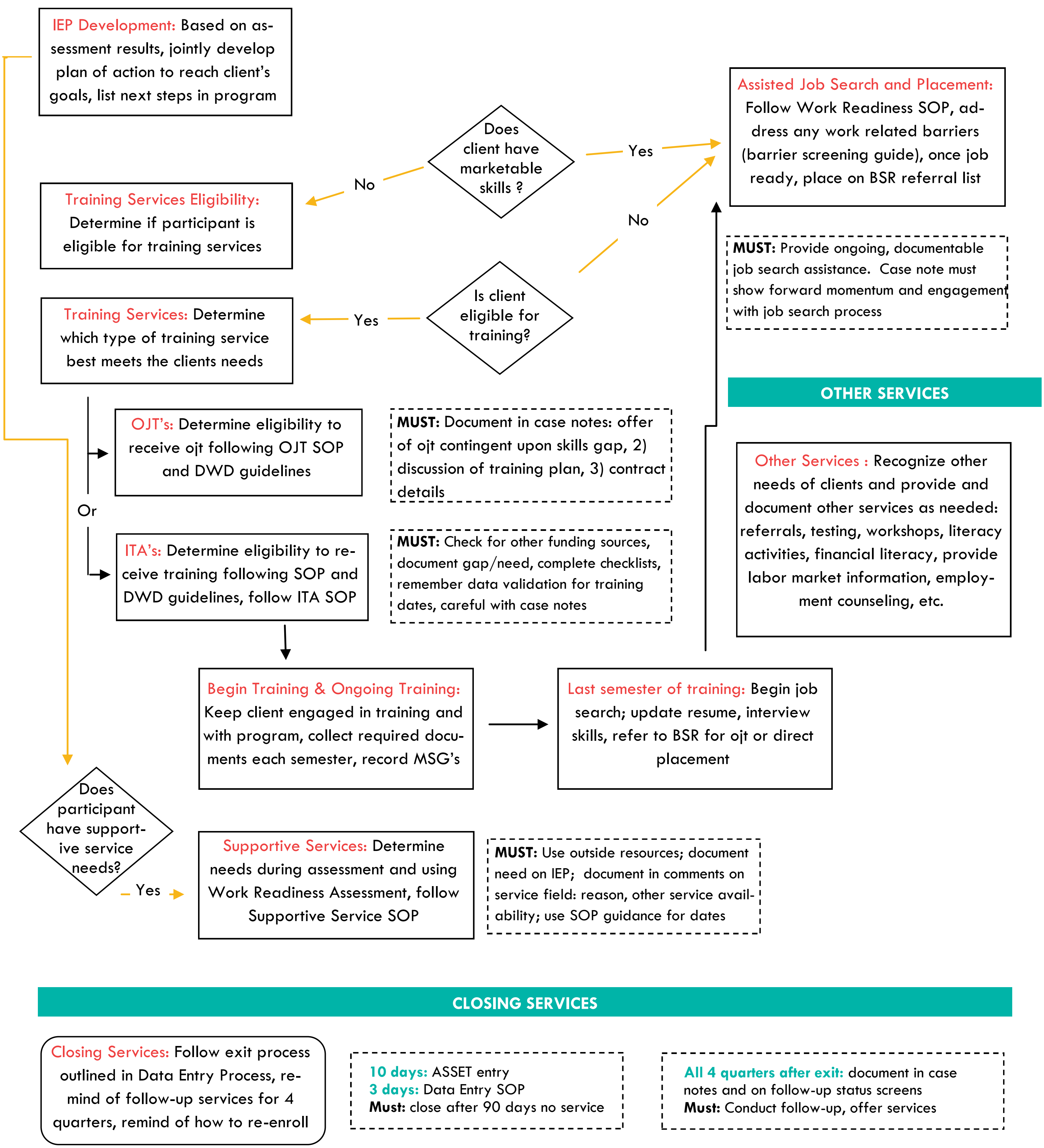
Must: be based on assessment results and reflect actual ASSET service names

Service Provision: Based on IEP action items, provide 1 or more of the 14 youth service elements

ASSET SERVICES

-Open/close services as you provide them
-90 days with no service/activity and you MUST exit
-Case note progress/what you did for services, using service name as case note subject

Life Cycle of a WIOA Participant - Adult / Dislocated Worker Services



Life Cycle of a WIOA Participant - Youth Services

14 YOUTH SERVICE ELEMENTS: "PARTICIPANT" CAUSING SERVICES

Service Provision: Based on action items outlined in the IEP, provide 1 or more of the 14 youth service elements

Career Awareness, Career Exploration: Follow Work Readiness SOP, address any work related barriers (barrier screening guide), once job ready, place on BSR referral list

MUST: Provide ongoing, documentable job search assistance. Case note must show forward momentum and engagement with job search process

Youth Service Elements:
Tutoring, Drop Out Prevention (hs)
Alternative Secondary School
Education offered concurrently
Leadership Development
Adult Mentoring
Comprehensive Guidance
Financial Literacy
Entrepreneurial Skills Training

Work Experience: Use before school starts and if person drops to re-engage in training

Employment Opportunities: OSY, follow WE SOP, up to 240 hrs., paid prevailing wage or $10/hr.

Internship: ISY only, follow WE SOP, up to 240 hrs., paid prevailing wage or $10/hr

MUST: Document in case notes: 1) discussion of training plan, 2) contract details

MUST: Be occupation specific

OJT's: Determine eligibility to receive ojt following OJT SOP and DWD guidelines

MUST: Document in case notes: offer of ojt contingent upon skills gap, 2) discussion of training plan, 3) contract details

Postsecondary Prep: Use before school starts and if person drops to re-engage in training

ITA's: Determine eligibility to receive training following SOP and DWD guidelines, follow ITA SOP

MUST: Check for other funding sources, document gap/need, complete checklists, remember data validation for training dates, careful with case notes

Occupational Skills Training: Determine which type of training service best meets client needs

Begin Training & Ongoing Training: Keep client engaged in training and with program, collect required documents each semester, record MSG's

Last semester of training: Begin job search; update resume, interview skills, refer to BSR for ojt or direct placement

Supportive Services: Determine needs during assessment and using Work Readiness Assessment, follow Supportive Service SOP

MUST: Use outside resources; document need on IEP; document in comments on service field: reason, other service availability; use SOP guidance for dates

CLOSING SERVICES

Closing Services: Follow exit process outlined in Data Entry Process, remind of follow-up services for 4 quarters, remind of how to re-enroll

10 days: ASSET entry

3 days: Data Entry SOP

All 4 quarters after exit: document in case notes and on follow-up status screens

Must: Conduct follow-up, offer services

SOP Cliff Notes for	Career Planner SOP Steps / Responsibilities

Applicant Process	• All interested individuals must be provided an application and allowed to apply
	• Complete all 3 pages of application, 3rd page to be kept separate (sealed envelope in client file)
	• CP's complete entry into ASSET within 10 days of date of submission
	• Eligibility Determination should be opened for 30 days, if client continues, enter new end date
	• AP/DW: begin and open initial assessment, which makes the person a participant
	• YP: Complete objective assessment using formal and informal tools
	  ○ Use assessment results to develop IEP
	  ○ Provide one of the 14 youth service elements based on IEP action steps
	  ○ Opening 1 of the 14 elements makes applicant a participant/enrollment
	• Once a participant, forward enrollment paperwork ***to Anita/Kimberly***

Data Entry Anita: agorham@ morainepark.edu or agorham@wctc.edu Kimberly: wdc_ktrinko@ morainepark.edu or ktrinko@wctc.edu	**Enrollment:** Email Application and Needs Score form ***to Anita/Kimberly*** on date of enrollment **Changes:** Submit name/address change form ***to Anita*** **Training (data entry piece):** • Open proper service when submitting ITA / before start of ojt/work experience • For ITA's, verify participant actually started, then enter actual start date • Close training services timely, update bottom portion of screen (ita and employment outcomes) – when closing service • Submit ITA Termination ***to Anita*** at end of training program **Exit:** • Update training service screens (ita and employment outcomes), if needed, at exit • Submit exit information ***to Anita and Kimberly*** as they happen (preferred) and for sure by the end of the month include training term info if not previously submitted **Monthly Reports:** Respond timely to verify enrollments and exits spreadsheet
ITA Submission / Billing / Reimbursements mpool@wctc.edu or mpool@ morainepark.edu	**Before School Starts:** Fill out ITA documenting estimated tuition costs **Submit training packet *to Kimberly*:** ITA Checklist and ITA w/ required docs (proof of fafsa and costs) **Beginning/during semester:** • Submit revisions for drop-outs, drop of classes, or if client needs more money ***to Maureen*** • Review ITA report routed mid-semester to rebalance amounts for each person to free up funds
Supportive Services – Requesting Funds	**Requests <u>MUST</u> be approved before providing service or incurring costs** • Submit Supportive Service Request form **at least 2 days before** an item is needed • **Emergency purchases** (something needed within 2 days): all approvals must be in writing, CP contact PM, PM contacts President. If PM not available, CP call, text or email President directly for approval. Must get approval before proceeding. • for upfront school costs, books, exams, license fee, tools, background checks, etc. ***to Kimberly*** using Supportive Service Request form. • **Include a Purchase Request** when payment will be made by credit card or check (excluding client reimbursements or WIOA school - third party payments) • CP will secure client signatures when making the request or when handing out item to client • **Non-School Related without purchase req:** PM will notify CP when approved, once CP receives receipts, CP will provide approved request form and receipts to fiscal **within 15 days** following the end of the month to be processed • **Non-School Related with a purchase req (credit card or check):** Fiscal will notify CP when approved. If CP purchases, CP will submit approved forms with receipt back to fiscal. If FISCAL purchases, forms will be held until FISCAL payment has been made • **School-Related:** PM will notify FISCAL when approved, FISCAL will send approved requests to school, copying CP. • **Transportation, Bus Passes, Gas Cards, Gift Cards, Taxi Tickets:** PM will notify CP, CP will hand out item, indicate voucher info on form, have client sign and submit completed form to FISCAL. • **Transportation Reimbursement:** PM will notify CP by email, asking CP to forward forms to client. Client will complete monthly attendance forms, turn those in to CP, who will submit to PM for processing. • **Revisions for school costs:** when client drops a class or out of school or client needs more money submit to Fiscal

Determining need/ASSET documentation of Supportive Services	**At enrollment:**
	• **Review Welcome Letter:** All enrollments must be told about supportive services
	• **IEP** must list need for supportive services, types needed and informal/program referrals
	• Determine if outside resources are available and make referrals to other organizations for supports
	ASSET Services - Referrals for non-wioa funded supportive services
	• AP/DW: open Referral Service (Basic Career – Self/Informational)
	• YP: Case note referrals
	• **WIOA Funded Service Name: AP/DW:** Other Supportive Services: everything except transportation and childcare, **YP:** Supportive Service, pick correct type from drop-down
	• **Dates:**
	  ○ **Training related items** Use actual start date of training and actual close date of training, if needs are ongoing.
	  ○ **Work-Related:** just specific date needed/used/handed out
	• **Document** reason/items/service supported in **service comments box**
	• **Open training service and supportive service** if there is classroom or on-line instruction, regardless of who is paying for the training.
	Open supportive service only if there is no classroom or on-line instruction (no actual training) – exam only cost, license prep and fee, self-guided prep AND for situations where exam is more than 30 days after training completion

Training Eligibility	• Participants MUST be found eligible before receiving a training service • Does client have marketable skills and employable without training? If yes, training isn't allowed • Consider all training eligibility criteria: 1) Is client unlikely or unable to obtain or retain employment that leads to economic self-sufficiency through career services alone? 2) Is client in need of training services to obtain or retain employment? 3) Does the client have the skills and qualifications to participant in selected training program? 4) Is the client unable to obtain grant assistance from other sources? 5) Is the training program on the local approved list and the ETPL?

OJT	• For those with extraordinary training needs, only discuss with those who are appropriate
	• Cannot be provided after a job offer has been made unless the job offer is contingent upon the ojt
	• **Existing Caseload**
	  ○ CP meets with client to determine eligibility and appropriateness
	  ○ Add client to BSR referral list
	  ○ Work with BSR once ojt "clicks" and provide required paperwork
	• **Reverse referrals**
	  ○ Contact person asap to screen for eligibility, enroll asap
	  ○ Still need to complete all requirements (assessment, determine elig for training services)
	  ○ Complete enrollment, provided needed paperwork to BSR
	  ○ CP/BSR connect to discuss interview process and skills gap. CP discusses plan with client
	• CP will stay in contact with client once ojt begins and problem solve any issues that might come up
	• **Case note:** no job offer before ojt developed, discussion of contract before ojt start, contract details, start / end date

Work Experience	• For those eligible and appropriate, add to BSR referral list once determined job ready, indicating need for Work Experience • Work Experience: Employment Opportunities are restricted to out-of-school youth and Work Experience: Internships are restricted to in-school youth. • BSR will work with businesses and those that are interested will complete a job request form • CP/BSR will coordinate to find an appropriate placement setting for each client based on their <u>occupational</u> goals outlined on the IEP • CP will discuss job requirements / contract with client to make sure and document conversation • If business and client are interested, work experience will begin • CP monitors ongoing and helps problem solve any issues that might come up

Intake	**Determine:** • Client needs and what brought them to FCI • Eligibility for program and, using intake screening guide, screen for all FCI programs • Veterans status for priority of service • Appropriateness for WIOA and other services/resources **Provide:** • Overview of programs/services, Referrals to other services, programs, providers, Value in first visit and Clear expectations and clear list of next steps
Assessment	• Using Work Readiness Assessment as a starting point, conduct formal and informal assessment(s) of client's academic levels, basic skills levels, occupational skills, prior work experience, employability, interests, aptitudes, areas of strength, developmental needs and service needs, including supportive services (all areas required for yp) • Determine gaps in work and education related areas and provide services to address those gaps • Utilize "check it, prove it" model • Reassess throughout program for ongoing needs • Copies of formal assessment results must be kept in client file and documented in services and case notes
Barrier Screening / Dealing with Barriers	• Help client deal with barriers when they impact the person's ability to get and maintain employment • Employ active listening and conduct informal and formal assessments to determine needs • Document results and create action steps to deal with barriers
Work Readiness	• Enrolling in a FCI program should entitle clients to a consist level of work readiness and job preparedness and all clients should possess more than basic work readiness skills by programs end (see SOP for complete list of required items) • Provide work readiness training in multiple formats based on how client will learn best • Problem solve ways to address gaps in knowledge/practice • Review soft skill / core competencies to determine areas of improvement
BSR Referral List	**Adding participants to the list** • Once participant meets job ready definition, input participant's info in google docs, uploading resume and referral form • Input client's info in the tab named "Active Talent Data Input", with specific attention to "Referral Date" (used to filter new additions to the top of the list) • Upload and link current referral form and current resume • See Google Doc (how to and definitions tab) for definitions and specifics on how to upload files, link files, and develop folders **Removing participants from the list** • Move client from the referral list once employed and/or no longer job searching and add to tab named "Archive" in real time • Update archive date and reason for being archived
WOW Factor	• Place active job seekers on BSR Referral list (see above) • Each month, choose up to 2 active job seekers – update resume on referral list, if needed • By **1st Wed of the month**, ***email Maureen*** both job seekers (both in same email) info using email template • Proof template when emailed to you and forward edits ***to Maureen*** (no group messages) WOW Factor Email Template **SUBJECT:** WOW Factor Feature: [Month Year] **BODY:** • First Name | Occupation Title • Wage Range • Preferred Location (maximum of 3 cities) • Travel Radius • WOW Factor Statement • (CP's Initial)

ENROLLMENT ASSET ENTRY		
Fields	**Step**	**What**
Manage Customer	1	Client could enter information by registering on JCW or could be completed by career planner
		Using information from WIOA application, complete all fields, must be entered within 15 days of application submission
		DOB & SSN must match app
		Skip: Case Management Screen: DAI project fields, disability resource fields & JCW screen
Manage Job Seeker		Skip this screen - it's for Wagner-Peyser services only
Manage Employment	2	Using information from paper application, enter last 2 positions or past 10 years
		Include name and city of business, wages, start/end dates and all required fields
		Reason for leaving: match app and prog eligiblity
Manage Assessment	3	Complete assessment for all clients and enter test results in ASSET, when applicable
Manage Employ. Plan		For those in YP and 18 or under, cm enters and updates Skill Attainment goals
		Pewaukee Data Entry Position enters Employability information from ITA
Manage Programs	5	Make sure auto-populated information is accurate: Program Manager can update 1st tab
		Using information from application, IEP and assessments, complete all fields
		Registration/Begin date means enrollment date, date of first WIOA service
		Youth program: Youth tab, check all that apply (except faces serious barriers) more than 1 is good
		Cash public assistance: Federal SSI, State W-2 & FoodShare, County Refugee Assistance
Manage Services	6	Eligibility determination should be set for 30 days for those not immediately enrolled, update when enrolling
		For one-day and ongoing services, enter actual start date, planned end date, fund source, contract ID, provider
		For training services, enter actual start date after you've verified person actually started
		Make sure office is correct (only for staff who cover more than 1 office), update at bottom of service screen
		Distance Learning field is required for all training services: "yes" for out of state programs (on-line)
		Pay for Perf: always no, Program Operated by Private Sector: Aurora, Schneider trucking, etc.
		Provider Name: FCI for most services or the schools or just leave blank
		Skip: Provider text, failed to attend WPRS, weekly participation hours, location of service provision
	Fund Source	AP and YP: WIOA Title 1B unless "other" funded/provided
		Other: use when service is paid by other resources, list resource (pell, Work IT, DVR, FSET, etc.)
		Dislocated Worker: Use WIOA Title 1B for regular dw's
		if rapid response, select appropriate business
		If other, list resource (pell, Work IT, DVR, FSET, etc.)
		Rapid Response Grant: grant identifier will be listed under O-05 on staff-side
		o Qualifying employer is company they worked at
		Open Partner Program Participation if funded or co-enrolled in other programs
		SERVICES MUST REMAIN ACTIVE - NO SERVICES FOR 90 DAYS - YOU MUST EXIT
CEPT	ESS	Required for all AP/DW/SR after determining eligibility,determines training elig, update if needed
		Current household income (on application), have client "accept" online or print and sign to have client self-attest to income
	IEP	Create with client, needs to be "approved" to be used as program IEP
	Action Steps	Update as needed with client, needs to be "approved"
	Budget	Helpful to determine wage needs and ability to afford going to school

Office Codes
1210: PW
1220: MQ
1230: WB

Contract ID
031501: PW
035001: MQ
036301: WB

DURING PROGRAM PARTICIPATION	
Manage Customer	Update demographic information as needed (address, phone, etc.)
Manage Assessment	Update MSG before end of yr (June) and/or as milestones are reached or when training is completed
Manage Emp Plan	Update skill goals, as needed, for YP participants (aged 18 or under)
Manage Programs	To change Career Planner: Manage Programs, program tab (3rd), scroll all the way down to the bottom, change staff Updating this will change/update cm on all screens for this client
Manage Services	Enter Actual Start Date for training services after verifying client's attendance Open/close services as client progresses through program Services must be opened when first provided, especially funded services OJT's: Mng Svc (distance learning "no", provider-leave blank, close date should match time sheets & invoice date) Enter a comment if completion code is "did not complete this service" or to clarify will never start this service
Manage Follow-Ups	Enter credential(s) as they are earned
Mange Customer Notes	Keep case notes current
Manage Employment	Update at exit with placement information, if applicable At exit, include co name, full address and phone
Manage Assessment	Update Measurable Skills Gains, if not already entered
Manage Emp Plan	Close skill goals, for YP participants
Manage Services	Close services, using correct completion code and enter comments when client did not complete Update ITA Program Outcome and ITA Employment Outcome fields (bottom of screen) You have to close services before you enter an end date in Manage Programs
Manage Programs	Review all fields for accuracy at enrollment Update Education Status on first tab For any new required fields added after enrollment, if question isn't asked, indicate no or no response Enter program end date - match service end date
Manage Exits	Complete Planned Episode Exit Enter global exclusion, if exit is for exclusion reasons
Manage Follow-Ups	Make sure credential is entered, when applicable
Manage Customer Notes	Enter an exit case note
TO RE-ENROLL WITHIN 90 DAYS OF EXIT	
ASSET & ACCESS	Remove Mng Prog end date, extend Mng Svcs dates for svcs you want open, email Anita re: re-open
INFORMATION TO SUBMIT TO PW FOR ACCESS ENTRY	
At Enrollment	Using correct email, scan/send WIOA Application and Needs Score form to Anita and Kimberly
During Program	If services change, email Change form to Anita Email training termination notice after graduation
At Exit	Submit file for review - for exits more than 90 days old, do not close all services before file review Once exit information has been entered in ASSET (date it happens), scan/email exit checklist to Anita and Kimberly