OPERATIONS MANUAL CHAPTER 4. PART 1: TITLE I WIOA ADULT PROGRAM ACTIVITIES

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I. INTRODUCTION

The San Diego Workforce Partnership (Workforce Partnership) Operations Manual provides detailed requirements, instructions, and guidelines for managing WIOA: Title I Programs including the Career Center Operator, employers, service providers, and training providers utilizing WIOA: Title I program funding (29 CFR 38.4[zz]). This section is intended for Staff to meet standards and comply with the requirements set forth by the State Employment Development Department (EDD), the U.S. Department of Labor (DOL) and all applicable laws and requirements.

The terms and conditions of the Workforce Partnership Operations Manual are subject to change, and may change, based upon (i) legislation, (ii) additions, modifications, or revisions to federal and/or state laws, regulations, requirements, procedures, or interpretive materials which may affect the workforce development system, (iii) DOL regulations and procedures, (iv) EDD regulations and procedures, and (v) the adoption by the Workforce Partnership's governing board of local direction and procedures. Workforce Partnership staff that oversee WIOA Title I programs shall agree to remain informed of the WIOA and its regulations and requirements.

A. Sources for WIOA: Title I Program Requirements

Guidelines and requirements of the Workforce Partnership's WIOA Title I Programs are based on the DOL and EDD official source documents listed below:

a) *DOL Final Rules and Resources*
WIOA Laws, Regulations, & Guidance | U.S. Department of Labor (dol.gov)

b) *DOL Notices of Proposed Rule-Making (NPRMS)*
https://www.federalregister.gov/documents/2015/04/16/2015-05530/workforce-innovation-and-opportunity-act-notice-of-proposed-rulemaking

c) *DOL Training and Employment Guidance Letters (TEGLS)*
https://wdr.doleta.gov/directives/all_advisories.cfm

d) *The Code of Federal Regulations (CFR)*
https://www.ecfr.gov/ - The Code of Federal Regulations (CFR) is the official legal print publication containing the codification of the general and permanent rules published in the Federal Register by the departments and agencies of the Federal Government.

e) *EDD Directives*
http://www.edd.ca.gov/jobs_and_training/Active_Directives.htm
http://www.edd.ca.gov/jobs_and_training/View_Draft_Directives_Closed_for_Comment.htm
http://www.edd.ca.gov/jobs_and_training/View_and_Comment_Open_Directives.htm
https://www.edd.ca.gov/Jobs_and_Training/Information_Notices.htm

B. Title I WIOA Adult Eligibility

Title I Eligibility The following job seekers are eligible for WIOA: Title I funded services. Specific eligibility requirements within these categories are defined in **Chapter 7. Part 1: WIOA Title I Adult Program Eligibility**.

- Adult – meets required income level, 18 years or older, registered for selective service (for males 18 or older), meets priority of service and demonstrates need for services beyond Basic Career Services to achieve employment.
- DW – Has been terminated or laid off, or has received notice of termination or layoff, 18 years or older, registered for selective service (for males 18 or older), and demonstrates need for services beyond Basic Career Services to achieve employment.
- Incumbent Worker - The incumbent worker needs to be employed, meet the Fair Labor Standards Act requirements for an employer-employee relationship, and have an established employment history with the employer for 6 months or more. An incumbent worker does not have to meet the eligibility requirements for career and training services for

adults and dislocated workers under WIOA unless they are also enrolled in the WIOA: Title I programs, adult, or dislocated worker programs.

1. Program Expenditure Prior to Participation in Individualized Services

There are limited instances where WIOA funds may be expended on costs related to individuals who are not yet participants in the WIOA program. WIOA funds can be expended on outreach and recruitment or basic career services, but they cannot be spent on individualized program services, such as assessment, training, or supportive services prior to eligibility determination.

C. Partner Portal (Salesforce)

The Partner Portal is a required system (Site: https://portal.workforce.org/Partner/s/) during the intake and case management process, which houses the Intake Assessment, the Objective Assessment (OA), Jobs Portal, Training Programs Portal, and additional information and resources for case management and overall program management. Guides and support for the Partner Portal can be found under “Resources.”

D. CalJOBS

CalJOBS is the required system administered in partnership with EDD to document all program activities. For processes and requirements, refer to **Chapter 5: CalJOBS Data Entry Policies and Procedures** and the CalJOBS Forms and Procedures Handbook via workforce.org.

1. CalJOBS Registration

CalJOBS registration begins an information collection process and is used to help manage the individual, create resumes, enroll the individual in programs, and provide services.

2. CalJOBS Activity Codes

CA EDD CalJOBS system frequently updates activity codes. For program services use the most appropriate code available.

3. CalJOBS Case Notes

All case notes related to program activities should be concise, clear, spelled properly, and grammatically correct. Case notes should be specific to each client, professional, ethical, and objective. Case notes are part of the participant’s legal file and may be used to determine the legitimacy of expenditures, complaints, grievances and/or disputes.

4. WIOA Application & Participation Form

Once CalJOBS registration has been completed, a WIOA application and participation form must be created to indicate program eligibility and participation. The participation form will trigger the Objective Assessment (OA) and Individual Employment Plan (IEP) requirements.

5. Tracking Requirements

Timely data collection is required. Entry of applications, objective assessments, Educational Functioning Level, IEP, activities, case notes, measurable skills gains, and closure forms must be entered within seven (7) calendar days after the date of occurrence.

6. CalJOBS Forms and Procedures Handbook

The CalJOBS Forms and Procedures Handbook (user guide) can be found in the Partner Portal under “Resources” and via direct link at https://workforce.org/operations/.

E. Workforce eFile

Various participant documents must be managed electronically through Workforce eFile. The Workforce eFile system is a secure, web-based document management system that provides a process for the Intake and Eligibility Specialist to conduct eligibility and provide file documentation for services remotely or in-person. Participants will be able to acknowledge/sign receipts, as well as upload required documentation from their phone or computer. The Workforce eFile Web Access User Guide is an instruction and guidance manual on how to track supportive services through the Workforce eFile. The user guide is located in the Operations Resources section the Workforce Partnership website (https://workforce.org/operations/).

1. Workforce eFile User Guide

The Workforce eFile Web Access User Guide is an instruction and guidance manual on how to track supportive services through the Workforce eFile. The user guide is located in the Operations Resources section the SDWP website (https://workforce.org/operations/) and under "Resources" in the Partner Portal.

F. Participant File Documentation

All participant files must be kept electronically by following the processes outlined in the Operations Manual and using both CalJOBS and Workforce eFile. Staff must use the "Document Manager" and/or the "Verify" links in CalJOBS to upload proper documentation into the participants CalJOBS case file and/or activities, or to the Workforce eFile system, when applicable. Documents uploaded to CalJOBS and Workforce eFile must be labeled accurately for monitoring purposes. Mislabeling or non-labeling of documentation may result in program monitoring findings.

1. WIOA Application Number

Once enrolled in CalJOBS, the WIOA application number is used across all documentation sites to identify program participation and match documentation with the open application for monitoring and data validation. It is required that staff ensure that the WIOA application number is entered into the Partner Portal and Workforce eFile, once obtained through the CalJOBS Title I WIOA Application.

2. Data and Documentation Change Requests

For changes to participant file documentation or data entry in CalJOBS, staff must follow the Data Change Request process in **Chapter 5: CalJOBS Data Entry Policies and Procedures.**

For data changes to participant file documentation in Workforce eFile, staff must note the reasons for the change in Workforce eFile and submit the change request through the system or email the Compliance Analyst for approval. Changes could result in monitoring findings and/or disallowed costs.

G. Monitoring, Accessibility and Condition of Records

The Workforce Partnership and/or a third-party monitor contracted through the Workforce Partnership, EDD, and in some cases DOL will conduct monitoring of program activities within the participant's records during oversight visits. Refer to **Chapter 8: Oversight and Monitoring** and **ATTACHMENT – Adult and Dislocated Worker Participant File Monitoring Checklist**.

Participant eFiles must be available and easily accessible to federal, state, and local monitors and other authorized persons, including documentation of required corrective actions.

All required forms must be filled in completely and properly signed. White out, correction tape, or correction fluid is not permitted on any of the forms and will not be accepted as valid by the Workforce Partnership or EDD monitors if found on a document.

H. Record Retention

WIOA record-retention requirements dictate that participant hard copy files must be maintained and made available, if requested, by the Workforce Partnership Operations team or state /federal funding sources for a period of four (4) years from the closeout of the program year. If any open findings, grievances, or other claims related to the records exist at the end of the four-year (4) period, the records must be maintained indefinitely, until all findings or other issues are fully resolved. All participant records must be accounted for. Missing records may result in disallowed costs.

I. Collection of Medical Information

While collection and data entry of medical information, including disability-related information, may be required, the documentation must be marked as "PII" in Workforce eFile. Staff should enter/select all accurate information in CalJOBS; however, case notes should not include medical information. When asking any question that could lead to the disclosure of a disability (including, but not limited to an individual with a disability requesting an accommodation, headaches, allergies, addiction, etc.) the service provider must follow the following steps to ensure privacy and confidentiality of the information.

Note: Case notes, printed or not, and any documentation cannot include any language that would include medical or disability-related information, including, but not limited to using the following words: "medical file, disability, reasonable accommodation, SSI," or anything related. Any printed materials in the participant's case file, or electronic case notes in CalJOBS that include it will be considered a finding.

Collection of Medical Information Process

- Complete any required forms to document the WIOA program activity;
- If there is medical or disability-related information indicated on any of the forms/documents, those forms/documents must be kept in the secure location in Workforce eFile by checking *"***This document contains Personally Identifiable Information (Medical, SSN, etc.)***"* or if the forms/documents are uploaded into CalJOBS, the PII file would remain secure.

1. Access to Medical Information

The information shall be treated as confidential medical records, and access to the records must be limited, except to the extent of the following:

- *Knowledge of disability status or medical condition and access to information in related files*:
  - **Staff** who are responsible for documenting eligibility, where disability is an eligible criterion for a program or activity.
  - **First aid and safety personnel** who need access to underlying documentation related to a participant's medical condition in an emergency.
  - **Government officials** engaged in enforcing this part
- *Knowledge of disability status or medical condition only.*
  - **Supervisors, managers, and other necessary personnel** may be informed regarding restrictions on the activities of individuals with disabilities and regarding reasonable accommodations for such individuals.

Refer to the **Chapter 7, Part 1: WIOA: Title I Adult Program Eligibility, Chapter 5. CalJOBS Data Entry Policies and Procedures, Chapter 9. Nondiscrimination and Equal Opportunity Policy and Complaint Procedures** for more information regarding collection of medical information.

II. PROGRAM COMPONENTS

A. Access & Locations

Access points to career center services must be made available throughout San Diego County and must include comprehensive office, and affiliate, and/or a specialized site location. **Access and locations should specifically address transportation, technology, and scheduling barriers**. The locations should be easily accessible to members of the community. The career center network should also adapt their services to provide remote and virtual access that is responsive to social distance mandates and virtual services. Staff shall address transportation and other barriers by increasing access points for participants.

1. Orientation and Assessments

The Service Navigators should conduct an orientation to inform customers about the WIOA program. As part of orientation, all customers must receive information on all available services to facilitate a highly effective enrollment process.

Career Center Staff will enhance these strategies by conducting an Objective Assessment (OA) of academic level, skill level, and service needs of each participant to analyze and develop appropriate service strategies to meet individual needs and connect those needs to participant goals on the Individual Employment Plan (IEP).

2. Comprehensive Career Center

A comprehensive Career Center must include all required partners and must make available (on-site, via the use of technology, and/or via trained staff) all the required partners/programs. A comprehensive Career Center must provide career services, workforce, and labor market information, as well as access to training services, other employment and training activities, and programs and services provided by required partners/programs. A comprehensive Career Center must provide meaningful access to all the required partners/programs by one or more of the following:

- Having a program staff member physically present at the Career Center;
- Having a staff member from a different partner program physically present and appropriately trained to provide information to customers about the services available through all partner programs;
- Making a direct linkage to off-site partner program staff who can provide meaningful information or services.

If a direct linkage is utilized, then it must occur at the comprehensive Career Center by phone or through real-time Web based communication. Providing a referral, information, or materials does not constitute a direct linkage.

3. Affiliate Job Center

An affiliate Job Center meets the criteria identified for Comprehensive Job Centers but does not include all required partners. If WIOA Title III Wagner-Peyser Act services are provided at an affiliate Job Center, at least one or more other one-stop partner programs must be located in the

affiliate Job Center, and there must be a physical presence of combined staff from the other program(s) over 50 percent of the time that the site is open.

4. Specialized Job Center

A specialized Job Center is a service location that may or may not meet the criteria listed above, but that is designed to serve as an access and/or outreach site for a specialized group of the population (i.e., youth, dislocated workers from a particular company, incarcerated individuals in a correctional facility, etc.). Specialized center may be housed in an alternative location (i.e., on-site at an employer facility, in a correctional facility, etc.) hours and access may be determined by the facility, not by a One-Stop Operator or local WDB.

5. Virtual Access

Career Services Provider may provide program services over the phone (e.g., conference call number) or through a visual-virtual conference (e.g., Zoom, FaceTime). For services that require attendance be noted, the career center staff must document the start and end times and the application used to provide the service in the attached case note. Case notes must be descriptive when documenting all program services.

B. Partnership & Referrals

The operator must demonstrate partnerships with required partners which include:

- WIOA Title I-B (Adult, Dislocated Workers, and Youth);
- WIOA Title II (Adult Education and Literacy);
- WIOA Title III (Wagner-Peyser); and
- WIOA Title IV (Vocational Rehabilitation).

Other partners may include:

- Carl Perkins Career Technical Education
- Career & Technical Education
- Title V Older Americans Act
- Job Corps
- Native American Programs
- Migrant Seasonal Farmworkers
- Second Chance
- Veterans
- Youth Build
- Trade Adjustment Assistance Act
- Community Services Block Grant (CSBG)
- Housing and Urban Development (HUD)
- Unemployment Compensation
- Temporary Assistance for Needy Families/CalWORKs

1. Referral Tracking

Staff will be required to track both in-network (internal) and out-of-network (external) referrals through a combination of platforms, including CalJOBS and the Partner Portal.

2. Braiding of Funds

Braiding of funds is the process of using different funding streams to support diverse needs for the same participant while maintaining documentation to support the charging and allocations of cost to the separate funds. Braiding of funds will provide more comprehensive services to participants and maximize partner resources available to assist job seekers. Braiding of funds must meet the following criteria:

- The cost of each funding stream is tracked, documented, and allocated based on the proportional benefit.
- The cost benefits two or more programs in proportions that can be determined without undue effort or cost.

- The job seeker meets the eligibility requirements for each program from which they are receiving funds.

Example: A participant is enrolled in a WIOA Title I Adult/DW program and a WIOA Title II adult education program. The WIOA Title I resources can provide career guidance, occupational training, and job placement, while the WIOA Title II resources can provide adult education.

Job seekers who do not enroll in WIOA: Title I programs should be provided information regarding other applicable and appropriate services available through other local community programs. In some cases, job seekers may be given referrals that facilitate further assessment or securing of basic needs to prepare them for eventual program participation.

C. Required Staff Positions

Career Center's must staff the following positions and corresponding functions. All staff must be trained to recognize trauma and mental health needs, incorporate trauma informed approaches in case management, and make appropriate emergent referrals when necessary.

1. Intake and Eligibility Specialist

The specialist should be the main staff assigned to conduct and verify eligibility in Workforce eFile, conduct internal monitoring and ensure compliance with the Workforce Partnership Operations Manual.

2. Career Navigator

The Career Navigator will provide case management for participants to facilitate the growth and development, participation in core program activities, and support achievement of performance outcomes. The Career Navigator will work in partnership with the Peer Mentors and the Business Service Representative to provide a supportive and comprehensive case management strategy. Responsibilities will include, but are not limited to:

- Assisting with Eligibility, Registration, Orientation, Assessments, and Program Goals.
- Coordinating Core Program Activities (WIOA Adult Program Tracks) to prepare participants for occupational training, and/or employment.
- Case Management Documentation.
- Coordinating Follow Up Services and Documentation of Performance Outcomes.
- Career Navigators will build relationships and create referral strategies with MOU partner staff.

3. Business Service Representative (BSR)

BSRs primary functions are to engage industries and employers with both the program and participants and to coordinate all work-related activities. BSRs will secure internships, job shadow opportunities, employer driven occupational skills trainings, apprenticeships, and job placements. The BSR will work with the Career Navigator as part of a comprehensive case management system. The BSR will coordinate the employer driven performance outcomes of Effectiveness in Serving Employers and Retention with the Same Employer. They will also function as the main liaison for the Career and Partner Portal system requirements.

4. Career Center Supervisor

Supervisors should understand CalJOBS system requirements, run CalJOBS reports and verify CalJOBS performance data. This person would also be the first point of contact for coordinating trainings with the Workforce Partnership, data change requests, and additional programmatic requirements in partnership with the Career Navigator and Management team.

D. Business Services

The Business Services team consists of Business Services Representatives ("BSRs"). The BSRs are to serve businesses and job seekers, building long-term relationships with employers and defining business services based on their needs. BSRs serve as the bridge between job seekers pursuing employment and employers looking to fill positions. BSRs should understand San Diego's labor market and foster relationships with employers who are recruiting for in-demand jobs with potential for growth. The BSRs should inform job seekers of the region's priority sectors, and source positions whose skills match the job seekers. BSRs must be knowledgeable of eligibility and performance requirements.

These Business Services teams will function in collaboration with the Career Center encourage integrated services, eliminate duplication of efforts, and share best practices. The Business Services team shall have representation at the Workforce Partnership's Regional Business Services meetings and join the collective conversation for an effective strategy across the region. Refer to **Chapter 11, Business Services Policy and Procedures** for more information.

E. Mental Health Services

Staff shall participate in trainings regarding understanding, recognizing, and responding to the effects of trauma and mental health needs. Additional trainings will be offered on how to identify and access additional mental health resources for staff and participants.

F. Meetings, Trainings & Reports

WIOA Title I Staff shall send designated staff to attend and participate in all scheduled meetings and trainings for WIOA Adult Programs. Trainings will be posted on the **Partner Resources Website** and sent to the Career Center Supervisors for distribution to Career Center staff via Outlook Calendar or email. It is the Supervisors responsibility to ensure their staff have access to applicable trainings, meetings, and reports (including Operations Manual Issuances).

1. Quarterly Narrative Report

Supervisors shall be required to submit a **Quarterly Narrative Report (QNR)** documenting progress on program and performance measures, and/or obstacles, and provide additional requests for technical assistance. WIOA Title I Staff will include assistance provided and any internal or external monitoring's noting trends in observations and/or findings. QNR's are due on the 10th of each month following the end of the most recent reporting period (quarter). A direct link to the QNR form is available in the Partner Portal.

2. Faces of Workforce

Subrecipient shall be required, at minimum, to submit a **Faces of Workforce** participant story on a quarterly basis documenting any successful milestone or outcome. Additional submissions can be sent at any time throughout the year. If a story is not available, the subrecipient must indicate the reason on the QNR. A Faces of Workforce story can feature an active participant and/or participant in follow up. Stories are featured in social media, newsletters, print material, etc. A direct link to the Faces of Workforce form is available in the Partner Portal.

G. Customer Inquiry and Management Tools

1. VosGreeter

Service Navigators are required to use the VOSGreeter module at the Career Centers which is designed to assist Adult and DW programs (Title I) and Wagner-Peyser (Title III) career center

visits electronically in-lieu of a paper sign-in sheet. The module allows offices to track the number of individuals visiting the career centers and the purpose of their visit. All in-person visits to the San Diego Career Centers shall be tracked using VOSGreeter.

2. Zendesk

The Workforce Partnership implemented Zendesk to document all inbound calls to the carter center front desks using the (619) 319-WORK call queue. Service Navigators are not required to use VOSGreeter to log inbound calls received in the (619) 319-WORK call queue as long as those same calls are documented in Zendesk.

III. PROGRAM ENROLLMENT AND SERVICE STRATEGY

Career Navigators have the discretion to determine what specific program services a participant receives, based on each participant's OA and IEP. Career center staff are not required to provide every program service to each participant. However, individualized services are available through their program or referral to another entity that provides that service.

A. Outreach, Recruitment & Orientation

Outreach and recruitment include, but is not limited to, identifying potentially eligible job seekers, and working closely with other governmental and community organizations to identify and recruit job seekers. As part of orientation, all job seekers must receive information on all services available through the Career Center.

B. Intake, Eligibility Determination & Registration

The Intake and Eligibility Specialist is responsible for determining WIOA: Title I Eligibility of all job seeker applicants recruited into the program, determining the job seekers suitability for program services, and collecting and verifying all necessary eligibility source documents. WIOA: Title I Eligibility requires all job seekers to meet certain eligibility criteria and be determined eligible prior to enrollment and receipt of WIOA funded services. Refer to the **Chapter 7, Part 1: WIOA: Title I Adult Program Eligibility.**

1. Re-Enrollment

Approval for re-enrollment will be on a case-by case basis for individuals who are in follow-up or within 6 months from completing follow-up services. Re-enrollment criteria, process, exceptions, and limitations can be found in the **Chapter 7, Part 1. WIOA Title: I Adult and Dislocated Worker Program Eligibility.**

a) Re-Enrollment Activity Limitations

Participants may not receive duplicate services if received in previous participation, unless those services are documented in the IEP as a continuation of services. It is the responsibility of the staff to review past participation to ensure that repeated services are part of the participants goals/objectives on the IEP.

C. WIOA Program Tracks

The Workforce Partnership has developed WIOA Program Tracks (**ATTACHMENT – PROGRAM TRACKS (ADULT & DW**) that each participant must enroll into as part of their program participation. All tracks include required core program services and outcomes based on the results of the Intake Assessment on the needs and interests of the participant. Participants may switch tracks at any time based on updates to their Individual Employment Plan (IEP). Tracks are as follows:

- Track A: Employment Only
- Track B: Employment & Experience
- Track C: Employment & Training
- Track D: Employment & Education

D. Objective Assessment (OA)

Staff are required to provide an Objective Assessment (OA) of the academic levels, skills levels, and service needs of each participant, which shall include a review of:

- program expectations,
- educational history and expectations,
- basic skills,
- occupational skills,
- prior work experience,
- employability & work readiness,
- interests,
- aptitudes (including interests and aptitudes for nontraditional jobs),
- supportive service needs and barriers to employment,
- mental health services, and
- developmental needs.

1. Objective Assessment Guidelines

The Career Navigators mark **all** applicable barriers on the OA. The OA should inform eligibility, WIOA Program Tracks enrollment, and the Individual Employment Plan (IEP) development.

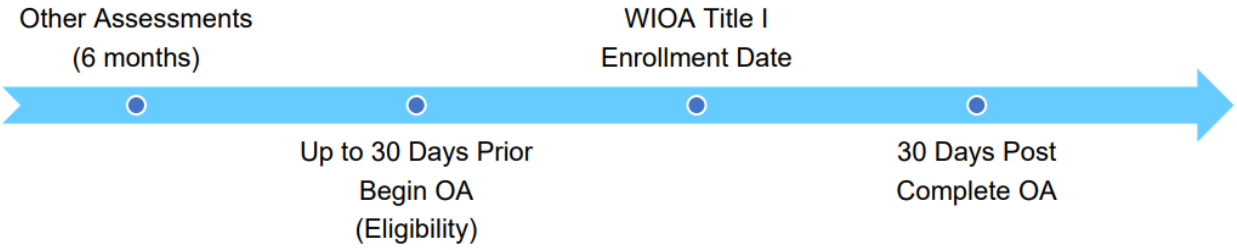
The OA must be conducted within 30 days prior or post enrollment and must be completed prior to providing program services. Career Navigators should use:

- Intake Assessment;
- Basic skills assessments; if applicable
- Career interest assessments; – SDWP encourages the use of Career Coach and/or My Next Move/Mi Proximo Paso (Spanish version) to identify occupations of interest
- Aptitude tests; and/or
- Personality tests

Additional assessments must have been conducted within the past six months. The OA should not be updated once completed and should correspond to the active WIOA application.

If a participant is dual-enrolled in CalJOBS, the original enrolling service provider is responsible for creating and completing an Objective Assessment within the timeframe above. The requesting (dual-enrolled) provider may update the OA as deemed necessary for program assessment and enrollment. There should only be one OA per WIOA application.

If the participant is re-enrolled, a new OA must be created that corresponds with the new WIOA application. Any previous OA should not be updated.



Objective Assessment Process

Partner Portal

- Create and complete an OA prior to providing program services - including issuing supportive services and training services. The OA can be started during the eligibility process, no more than 30 days prior to enrollment.
  - The OA must include the information from the Intake Assessment
  - Ensure that the OA has a corresponding WIOA application number and CalJOBS ID number
  - Ensure that all fields in the OA are completed within 30 days post-enrollment

CalJOBS

- On the WIOA participation form in CalJOBS select the appropriate OA code as the first activity.
  - Select the begin date as “Today.”
  - Select the projected end date as “Today.”
- Close the OA activity code and mark the completion status.
  - Case note must include the status of the OA in the Partner Portal, (Complete/in progress)
  - Include any additional assessment results provided in the attached case note, if applicable
  - **If the OA is closed as “In progress,” additional OA activity codes must be created and closed on each day the OA is updated until completion in the Partner Portal. The final activity code must indicate the day the OA was completed in the Partner Portal and included in the attached case note.**

E. Individual Employment Plan (IEP)

The IEP, also known as the Individual Employment Plan, is an age appropriate, individualized, written plan of short and long-term goals that include career pathways, education and employment goals, involvement in WIOA individualized services, support services, and training. For all participants, the IEP will identify the timeframe in which each participant will be expected to complete all activities related to each of the goal(s) specified in the IEP. The IEP will clearly connect the services to be provided to each participant, identifying the outcomes to be achieved between WIOA enrollment and exit. The IEP must demonstrate the participant’s progress in the program and provide written documentation of how the goals and objectives are tied to the services and activities provided.

The Career Navigator must develop an Individual Employment Plan (IEP) for each participant that:

- Considers the results of the Objective Assessment;
- Is directly linked to WIOA Program Tracks;
- Is directly linked to Program Services; and
- Is directly linked to one or more of the indicators of performance that include training, and/or employment goals (including, in appropriate circumstances, nontraditional employment)

The Career Navigator must utilize the IEP to update strategies and activities as they occur. When reviewing the IEP, Career Navigator must document the participant's progress, goals and/or objectives completed, benchmarks reached and any other accomplishments. The IEP must be updated every 60 days, or sooner if necessary to document any progress made on the goals/objectives or to include a new goal, service, or activity.

IEP Process

At enrollment:

- The IEP should be the second activity opened, either concurrently or sequentially with the Objective Assessment.
  - Open an IEP activity code.
  - Select the begin date as "Today." Enter the projected end date as "Today."
- Create and complete an Individual Employment Plan/Service Strategy in CalJOBS **(Staff Profiles - Case Management Profile – Plan)** prior to providing program services - including issuing training and/or supportive services.
- Close the IEP activity code and mark the completion status.
  - *The case note should include that the participant's goals and objectives were completed in the Individual Employment Plan/Service Strategy section of CalJOBS.*

Updates to the IEP:

- Staff must update the IEP **at minimum every 60 days**, or as needed
  - Open a new IEP Activity Code each time the IEP is updated
  - Update the IEP in CalJOBS **(Staff Profiles - Case Management Profile – Plan)**
    - Enter the date of the IEP Activity Code on the IEP comment box and provide a summary of the update (*Examples include, Successful completion of a goal, update/change to a goal, adding a new goal, etc.*)
  - Close the new IEP activity on the date the IEP was revised and update the case note.
    - The case note must include the goals/objectives that were added, completed, and/or updated

F. Verification of Right to Work

Based on the OA and IEP, Career Navigators must determine if the participant will be receiving employment services. Prior to providing any service that triggers coordination with any employer, or any employment related service, staff must verify the participant's right to work in the United States and keep the documentation in the participant's case file. Right to work cannot be verified at eligibility, therefore it must be verified during participation. This requirement includes assistance with, but not limited to, paid and unpaid work experience and placement in employment. If no employment services will be provided to the participant, right to work verification is not required.

See table below for guidance on verification of authorization to work documents, including which services require verification.

Authorization to Work Service Flow Chart		
Services	**Triggers Participation**	**Authorization to Work**
Basic Career Services: • Self-service • Information only activities • Program referrals • Outreach • Intake • Orientation • Eligibility determination	No	Cannot Verify
Basic Career Services: • Staff-Assisted • Initial assessment • Job placement • Career counseling	Yes	May verify for activities such as initial assessment and career counseling
		Must verify for job placement assistance (referrals to jobs/employers, recruitments etc.)
Individualized Career Services	Yes	May verify for activities such as occupational career counseling, aptitude testing, mentoring, and group counseling
		Must verify for employment activities such as work experience, transitional jobs, internships, and pre-apprenticeship training (referrals to jobs/employers, recruitments etc.)
Training Services	Yes	May verify for classroom training
		Must verify for employment activities (On-the-job training, Customized Training, Incumbent Worker Training etc.)

For more information on what types of services trigger participation, refer to **Chapter 5: CalJOBS Data Entry Policies and Procedures (CalJOBS Activity Code Detailed Listing).**

Work Authorization Verification Process

If the first employment service is a work experience, refer to the section.

- Refer to the I-9 Employment Eligibility Verification https://www.uscis.gov/i-9 for acceptable right to work documentation.

Workforce eFile

- Upload a copy of the documentation in the participant's DocuBin on Workforce eFile. It must include a document from List A or List B and C.

CalJOBS

- Enter an attached case note on the **first employment service** with the title: "**RIGHT TO WORK VERIFICATION**" and include the types of documents collected from either List A or B and C.
    - Refer to the **Chapter 5, Attachment - Activity Code Detailed Listing** for a list of the activity codes that trigger right to work verification.

IV. PROGRAM SERVICES

Career services also referred to as individualized service are the core activities provided to the participant based on:

- WIOA Program Tracks

- Objective Assessment (OA)
- Individual Employment Plan (IEP)

A. Basic Services

Basic career services (A.K.A. Universal Services) are universally accessible and must be made available to all individuals seeking employment and training services. 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 WIOA: Title I Programs. At a minimum, all basic career services described below must be made available to all individuals seeking employment services.

These services include:

- Outreach, Intake, and orientation;
- Determinations of WIOA: Title I Program Eligibility;
- Initial assessment of skill levels including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities (including skills gaps) and support service needs;
- Workshops, including orientation to services and other workshops that meet the job seeker's career service's needs;
- Labor exchange services, including:
    - Job search and placement assistance, and, when needed by an individual, career counseling, including:
        - Provision of information on in-demand industry sectors and occupations, regional labor market information; and
        - Provision of information on nontraditional employment
- Provision of information and referrals to and coordination of activities with other programs and services, including those within the career center delivery system and other workforce development programs;
- Provision of information and direct referrals to supportive services or assistance, including:
    - Childcare; child support; medical or child health assistance available through the State's Medicaid program and Children's Health Insurance Program;
    - State programs such as the Supplemental Nutrition Assistance Program (SNAP); earned income tax credits, housing services through the U.S. Department of Housing and Urban Development (HUD); Temporary Assistance for Needy Families (TANF) and other applicable assistance programs
- Provision of performance information and program cost information on eligible providers of training services by program and type of providers via the Eligible Training Provider List and/or other performance criteria set by the Workforce Partnership;
- Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not provided under WIOA; and
- Provision of information and assistance regarding filing claims under Unemployment Insurance (UI) programs, including meaningful assistance to individuals seeking assistance in filing a claim, such as:

- Where applicable, on-site using staff who are properly trained in UI claims, filing and/or the acceptance of information necessary to file a claim; or
- By phone or via other technology, as long as assistance is provided by trained and available staff and within a reasonable time;
- The costs associated in providing meaningful assistance may be paid for by the State's UI program, the WIOA Adult or Dislocated Worker programs, the Wagner-Peyser Employment Service, or some combination thereof these funding sources.

B. Individualized Services

Individualized services are the core activities provided to the participant. 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. Staff may use recent previous interviews, evaluations, or assessments by partner programs to determine if individualized career services would be appropriate. All eligible job seekers must be enrolled in individualized career services if staff determine that this level of services is necessary for the job seeker to gain meaningful employment. These services must be available in all Career Center locations. Refer to **Chapter 7, Part 1. WIOA: Title I Program Eligibility** for more information regarding adult and dislocated worker eligibility. Each Career Center must design Individualized Career Services to meet the unique needs of the job seeker and their region.

These services include:

- Comprehensive and specialized assessments of the skill levels and supportive service needs of eligible adults and dislocated workers, which may include:
  - Diagnostic testing and use of other assessment tools; and
  - In-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Development of an individual employment plan (IEP), to identify the employment goals, appropriate achievement objectives and appropriate combination of services for the job seeker to achieve his or her employment goals;
- Group and/or individual counseling and mentoring;
- Career planning (e.g., case management);
- Short-term pre-vocational services, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct to prepare individuals for unsubsidized employment or training, in some instances pre-apprenticeship programs may be considered as short-term pre- vocational services;
- Internships and work experiences that are linked to careers;
- Workforce preparation activities that help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education, training, or employment;
- Financial literacy services;
- English language acquisition and integrated education and training programs.

C. Supportive Services

Supportive Services are available for WIOA Title I Adult and Dislocated Worker programs. Supportive services may only be provided to participants when it is necessary to enable individuals to participate in services and is tied to a specific service. Such needs are typically identified through the assessment process and outlined in the Individualized Employment Plan

(IEP). Supportive services are payments made to or on behalf of eligible participants for one-time or temporary services required to support the individual's Employment Plan. WIOA Title I will only pay for expenses incurred while a participant is enrolled in the program and actively participating in activities authorized under WIOA.

Supportive Services are not intended to assist in paying for expenses refundable to the participant. As a part of the objective assessment process and development of the IEP, determine a participant's need for Support Services and appropriate community resources and referrals.

Supportive services are services that enable an individual to participate in WIOA activities. These services include, but are not limited to, the following:

- Linkages to community services;
- Assistance with transportation;
- Assistance with childcare and dependent care;
- Assistance with housing;
- Needs-related payments;
- Assistance with educational testing;
- Reasonable accommodations for participants with disabilities;
- Legal aid services;
- Referrals to health care;
- Assistance with uniforms or other appropriate work attire and work-related tools, including eyeglasses and protective eye gear;
- Assistance with books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes; and
- Payments and fees for employment and training-related applications, tests, and certifications;
- Other needs related to training or employment retention, as determined by the Career Navigator, to ensure the participant can continue to participate in and complete WIOA activities.

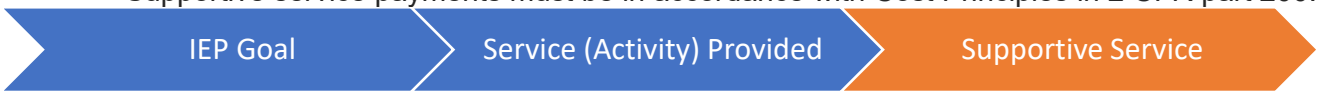
1. Supportive Service Guidelines

- Participants may receive a maximum of $1,000 per enrollment period depending on the tier of service in which they are in; staff may submit a request to exceed the cap. Approval is on a case-by-case basis and dependent on justification with direct linkage to successful completion of goal/outcome and budget availability.

Supportive Service Caps	
Tier I: Participants enrolled and active in job search	$600
Tier II: Participants enrolled and in training services	$1,000

- The Workforce Partnership may receive different grant funds that may outline different supportive service caps per participant. The cap will be stated in the scope of work attached to the grant.
- The supportive service must be documented on the IEP under the specific goal/objective related to the service activity or training provided;

- The supportive service must be provided in conjunction with another career service or training service and must be within the same dates of the career service or training activity; and
- Supportive service payments must be in accordance with Cost Principles in 2 CFR part 200.



Supportive Service Process

CalJOBS

1. Enter the appropriate activity code for the Supportive Service provided. The date of the Activity Code must match the date of disbursement in Workforce eFile.
   1. *At minimum, the attached activity case note must include the following information:*
      - *Description of the supportive service provided, including the related activity(ies) and ISS/IEP goal(s).*
      - **Example: Transportation – Bus Pass for participant to attend training program and/or job interview.**

Workforce eFile

2. Complete Supportive Service log entry in Workforce eFile. The date of disbursement to the participant must match the date of the Activity Code in CalJOBS.
3. Staff and/or the participant must upload the following documentation to Workforce eFile:

Bus pass	Gas card	Other checks, gift cards, other "cards"	All others
1. Copy of both sides of the bus pass with serial number visible 2. Written or eFile DocuVault confirmation of receipt of the bus pass from the participant 3. Copy of the bus pass purchase receipt with the purchase date and total. If purchased in bulk, the corresponding serial number must be highlighted or circled	1. Copy of both sides of the gas card with serial number visible 2. Written or eFile DocuVault confirmation of receipt of the gas card from the participant 3. Copy of the gas card purchase receipt with the purchase date and total. If purchased in bulk, the corresponding serial number must be highlighted or circled 4. Copy of the itemized purchase receipt of the gas purchase transaction from the participant. The itemized receipt must show, at minimum, the last 4 digits of the serial number 5. The start and end addresses for distance determination for each trip to corresponding activity 6. The odometer reading to calculate total mileage for each trip	1. Copy of both sides of the check, gift card or other type of card with serial number visible 2. Written or eFile DocuVault confirmation of receipt of the check, gift card, or other type of card 3. Copy of the itemized receipt with date, purchase detail, and total *If direct payment is made to the participant in advance of the purchase either through check, gift card or other type of card, the participant must provide an itemized receipt once the purchase is completed*	• Copy of the itemized receipt with date, purchase detail, and total • Written or eFile DocuVault confirmation of receipt of the Supportive Service from the participant

2. Equipment Purchases

Equipment purchases for participants under Supportive Services would include computers and phones, including accessories.

- Equipment purchases would be documented in CalJOBS as “185 – Supportive Services: Other” and detailed in the attached case note.
- Equipment purchases (like all supportive services) must be a documented need on the OA, IEP (under the related goal) and have a related service activity.
    - An example would be the purchase of a computer for a participant in order to attend a hybrid virtual training/in-person education course.
        - A training activity code must be opened as the related service activity
        - Code 185 would be opened, and the case note would document the purchase as well as the related activity
        - Those two activities must be within the same timeframe.
- These items do **NOT** need to be tagged. The participant can keep the equipment and you are not expected to recover it at program completion.
- The maximum expense for equipment (computer or accessories) is **$450 per participant**. Staff may submit a request to exceed the cap. Approval is on a case-by-case basis and dependent on justification with direct linkage to successful completion of goal/outcome and budget availability.
- Staff must follow the Supportive Service Guidelines and process to document the purchase.

3. Food Purchases

Per, 20 CFR 680.900 and 200.403, food may be provided to eligible participants as a Supportive Service when it will assist or enable the participant to participate in allowable WIOA program activities and reach his/her employment and training goals. The following documentation is required specifically for food related purchases, in addition to the requirements in the “Supportive Service Process” above:

- Participants must be concurrently enrolled in a training, employment, or education activity that leads to a placement or attainment goal OR has a completed follow up form with a positive placement;
- The food cost must be reasonable and justified as necessary in order for the participants to participate in the program, maintain their placement, and/or receive services.

a) For the purchase of groceries:

- Groceries can be provided to ensure participants can participate in scheduled employment, training, or education activities, including as a barrier to those who are homeless or housing insecure.
- Written confirmation from CalFresh that the participant is not eligible for food stamps/SNAP; and
- The phone number and date of contact with a local food bank or other charitable entity to attempt to acquire food for the participant must be included as an attached activity case note.

4. Missing Documentation and Receipts

If THE ABOVE DOCUMENTATION/RECEIPTS are not provided AND uploaded to workforce eFile, no additional supportive services may be provided without written approval from the Workforce Partnership. Participants will be allotted 30-days to provide receipts/documentation.

Missing Documentation/Receipts Process

Staff must document as an attached case note to the Supportive Service activity code in CalJOBS if a participant fails to return any receipts/documentation within the allotted time (30-days). Case note must include an explanation of the following:

- Date of contact with the participant requesting the missing receipts/documentation and explain that no further supportive services will be provided until the missing receipts are received; and
- After notification, if the receipts are not provided within ten (10) business days, thereafter, send a follow-up notice to the participant requesting the receipts and notifying the customer that no further supportive services will be provided until all receipts are received. A copy of this notice must be kept in Workforce eFile and noted on the attached case note that the notice was sent.
- Requests to provide additional supportive services must come in writing to the Supervisor of Career Services for approval. If approved, the written approval must be uploaded to Workforce eFile.

5. Separation of Duties

Duties of staff dispersing supportive service payments must be separated so that no one individual has complete authority or control over an entire financial transaction. For example, the person conducting the assessment, the person processing the payment and if a payment is mailed, the person mailing out the check shall not be the same person.

Participant records (IEP, case notes, and worksheets) and financial records, pertaining to supportive service payments, must be made available for review by local, State and Federal monitors, as well as must meet the financial management standards specified in **Chapter 6, Financial Management**, including enough information to provide:

- A comparison of actual expenditures with the budgeted amounts;
- Support for accounting records and to ensure proper charging of costs and cost allocation; and
- The ability to track funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of the funds.

Supportive service tracking and documentation procedures will help to ensure that supportive services are appropriately provided to participants, as well as prevent the probability of disallowed and/or questioned costs.

D. Training Services

Training Services are available for WIOA Title I Adult and Dislocated Worker programs. The training services provide tools and resources to help participants meet the skill and experience needs of the region's growing businesses. From technical skills, soft skills, work experience, traditional classroom instruction and employer-anchored training services help close the skills gap between participant and businesses. Refer to **Chapter 4. Part 3: WIOA Title I Training Services** for more information on the different types of trainings.

Under WIOA, training services may be provided if staff determine after an interview evaluation or assessment and career planning, that the participant is eligible. Refer to **Chapter 7, Part 1: WIOA: Title I Adult Program Eligibility** for more information regarding adult and dislocated worker eligibility.

E. Follow-up Services

Staff must provide follow-up services for adults and dislocated worker participants who are placed in unsubsidized employment, for up to 12 months after the first day of employment.

Follow-up services do not extend the date of exit in performance reporting. For more information on follow-up services - refer to the Follow Up Services section under Case Management.

V. CASE MANAGEMENT

Case Management is the infrastructure for delivering effective services that will facilitate the positive growth and development of participants and the achievement of performance goals. The process extends from recruitment through follow-up. The case manager, also known as the Career Navigator, motivates participants and coordinates services and information to prepare participants for employment and training opportunities as appropriate.

A. Duration in Program

Staff must provide services to a participant for the amount of time necessary to ensure successful preparation to enter postsecondary education and/or unsubsidized employment. There is no minimum or maximum time a job seeker can participate in the WIOA program. A participant's duration in the program should be based on the participant plan as written in the IEP. Services should be timely and consistent, with the goal of placement in training and/or employment.

B. Active & Consistent Engagement with Participant

Staff should engage participants on a regular basis, building a relationship and helping them progress towards their goals.

Note: If a value-added service is not provided and entered into CalJOBS during a 90-day period, the participant will be exited from the program and the Career Services Provider can no longer provide many of the WIOA services the participant still may need to complete IEP plan, leading to negative WIOA performance outcomes.

1. Services Provided Requirements

Participants are expected to have weekly engagement in services/activities, either active in one-day or long-term activities. At minimum, staff are required to facilitate monthly services/activities (every 30 days). Staff are strongly encouraged to develop comprehensive engagement strategies to ensure program retention. A cohort model to deliver services is strongly encouraged to allow for peer-to-peer support and engagement, as well as promoting collaboration between WIOA partners to leverage resources and provide network-wide trainings/activities to participants.

2. IEP Updates

Staff must update the IEP every 60 days, or sooner if necessary to document any progress made on the goals/objectives or to include a new service or activity.

3. Unresponsive, Unable to Locate, or Elect to No Longer Participate

If a participant is unresponsive, or the service provider is unable to contact or locate the participant, the participant must be exited prior to the system closing after a 90-day period with no services provided with an attached case note on the closure form explaining the circumstance. Service activities cannot be provided to a participant who is unresponsive, or unable to contact or locate.

If a participant elects to no longer participate, they must be immediately exited with an attached case note on the closure form explaining the circumstance. No additional service activities can

be provided. Staff are still accountable for the performance measures and must complete all follow-up procedures as outlined in the follow-up policy.

C. Participant File Content

Staff must maintain electronic copies of participant eligibility, program, and closure documentation within Workforce eFile and CalJOBS.

1. Intake & Eligibility Documentation

The following is required:

Refer to **Chapter 7, Part 1: WIOA Title I Adult Program Eligibility**

- Eligibility Certification Review Form (ECRF);
- Eligibility documentation and forms as applicable;
- Dual-enrollment form, if applicable;
- Universal Participant Authorization Form (UPAF); and
- Multimedia Release and Communications Release Form (MCRF).

2. Program Documentation

The following is required:

- Objective Assessment and other assessment results

The following is required, if applicable:

- Supportive Service Documentation
- Training Documentation, refer to **Chapter 4. Part 3: WIOA Title I Training Services**

3. Closure Documentation

The following is required, if applicable

- **ATTACHMENT - PARTICIPANT EVALUATION & PROGRESS REPORT FORM** (MSG #4); and
- Performance related documentation

D. Dual and Co-Enrollments

1. Co-Enrollments

Staff, at the benefit of the participant, can enroll clients in more than one program to access a wide-range of services. Co-Enrollment is enrollment into more than one of the four core WIOA programs and/or enrollment by a single service provider into multiple Workforce Partnership funded programs:

- WIOA Title I. Adult, Dislocated Workers and Youth and other Special Grants
- WIOA Title II: Adult Education and Literacy
- WIOA Title III: Wagner-Peyser
- WIOA Title IV: Vocational Rehabilitation
- Workforce Partnership-funded special projects or Sector Initiatives

The Workforce Partnership encourages staff to leverage resources, including using co-enrollment, to ensure participant success. No prior authorization is required for co-enrollments.

2. Dual-Enrollments

Eligible participants may be dual-enrolled into two or more WIOA Title I program and/or enrollment by two different service providers into programs funded by the Workforce Partnership. Dual-enrollment will allow participants to access a wider array of services that might otherwise be unavailable. Staff should seek to dual-enroll for the benefit of the participant with services from other programs that supplement and/or enhance those services, and not to duplicate them.

- WIOA Title I: WIOA Adult/DW
- WIOA Title I: WIOA Youth
- WIOA Title I: WIOA Special Grants

a) Dual-Enrollment Coordination

- Coordination of dual enrollment will eliminate the duplication of services and reduce the amount of time staff spends providing intensive services such as case management, job search assistance, and follow-up services.
- Determine at intake whether or not a participant is already enrolled in another program or has been referred to your program specifically for dual-enrollment.
    - If a participant is enrolled in another WIOA program, dual enrollment will first be discussed with the original provider prior to seeking approval. All information regarding the dual enrollment will be documented in Workforce eFile and on the participant IEP in CalJOBS.
    - Both the original provider and requesting provider should make every effort to coordinate dual enrollment without creating additional barriers for the participant.
    - Only one WIOA application can be active in CalJOBS
- Both the original service provider and the requesting service provider will discuss which services will be provided by each to avoid duplication of services and discuss the reason(s) for the dual enrollment.
- The service provider requesting the dual-enrollment (requesting service provider) will follow the following Dual-Enrollment process:

b) Dual Enrollment Limitations

The following Participants do not qualify for dual enrollment:

- Participants with a Closure Form, or
- Participants who have Exited, or
- Participants receiving Follow-up Services, or
- Participants who have completed Follow-up Services.

Dual-Enrollment Process

1. The requesting service provider will submit **ATTACHMENT - REQUEST FOR DUAL-ENROLLMENT** in Workforce eFile to the Career Center Supervisor and keep the form in the DocuBin, once approved.
    - The requesting service provider will conduct initial eligibility for their program.
    - Every effort should be made to use eligibility documentation from the original provider.
2. Once approved, the requesting service provider will update the WIOA application in CalJOBS.
    - There must be an eligibility date for each funding source within the WIOA Application
    - Staff must go into the active WIOA Application, click on “Create Activity/Enrollment/Service and select the appropriate OA code as the first activity.
        - Under the OA activity code, the requesting provider should document that the OA has been completed by the original service provider and they have coordinated a dual-enrollment to address barriers noted on the OA.
        - Open and close the activity on the same day.
3. Open a new ISS/IEP Activity Code.
    - Update the ISS/IEP with the information from the **ATTACHMENT - REQUEST FOR DUAL-ENROLLMENT**, including which services will be provided by each service provider under their specific goals/objectives.

- Open and close the activity on the same day.

Refer to Objective Assessment and Individual Employment Plan (IEP) for more information on the requirements for each, unless otherwise noted in this section.

c) Dual-Enrollment Accountability and Performance

Both Service Providers will be accountable for their own program requirements and performance measures.

- Each enrollment counts towards the enrollment goals of the individual grant.
- Exit decisions must be coordinated, only one Service Provider can be the "exiting" agency.
- Performance measures will count towards both the original provider and the requesting provider.
  - Normally, a dual-enrolled Participant may receive only one Individual Training Account (ITA) but may receive an On-the-Job (OJT) that is linked to the vocational training provided by the ITA. In some instances, a second ITA may be approved if it will ensure career progression. Training caps must be maintained per individual enrollment period. These are not meant to be life-time caps.
- Follow-up activities and services will be coordinated between both service providers.

E. Program Closure

Staff must complete a closure form in CalJOBS once a participant has completed their goals and objectives on the IEP and all program activities. The closure form must detail the outcomes during participation on an attached case note, including a summary of the outcomes their IEP. The case notes must also describe the plan for transitioning from an active participant to a follow up participant, including any planned continuation of services in follow up.

As a case management strategy, the participant should not be aware they are transitioning between an active participant and a follow up participant. Staff should make every effort to continue active and consistent engagement with the participant.

F. Follow Up Services

Follow up services are critical services provided following a participant exit from the program to help ensure the participant is successful in employment and training. Follow up services may include regular contact with the participant's employer, including assistance in addressing work-related problems that arise.

Follow up services will begin immediately following the last expected date of service in the WIOA Adult/DW program. Follow up services do not cause the exit date to change and does not trigger re-enrollment in the program.

Follow up services may include services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services. Refer to **Chapter 5, Attachment - CalJOBS Activity Code Dictionary to select the most appropriate F-Code**.

The types of services provided, and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. For follow-up service activities, the same documentation applicable for activities is required for both the participant eFile and on CalJOBS, including applicable case notes. Case

notes are not required in follow-up forms unless more information is needed to document performance outcomes.

1. Follow-Up Requirements

All participants must be offered an opportunity to receive follow-up services that align with their individual employment plan. Furthermore, follow-up services must be offered to all participants for a minimum of 12 months (365 days from the exit date). To record follow up services, CalJOBS require Staff to enter outcomes into follow-up form on a quarterly basis.

Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. If a participant cannot be contacted or located, all contact attempts must be documented in the follow-up form with an attached case note. The service provider should continue to attempt to contact the individual in each follow up reporting period.

If a participant refuses additional services or asks to no longer participate, document the contact in the quarterly reporting period follow-up form with an attached case note explaining the participant is refusing follow-up services and requests to no longer participate. The service provider should not attempt to contact the individual if they no longer elect to participate.

Participants who have had an exclusionary exit or elect to no longer participate do not require follow up services and the follow up forms should not be completed.

2. Follow Up Documentation

The types of services provided, and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. For follow-up service activities, the same documentation applicable for activities is required for both the participant file and on CalJOBS, including applicable case notes. Case notes must be completed on the follow up forms to document additional information captured during the quarter.

VI. PERFORMANCE

WIOA requires a comprehensive accountability system to determine the effectiveness of services provided through the Career Center network. All performance data is entered into CalJOBS in order to capture the required performance outcomes. Refer to **ATTACHMENT – PROGRAM PERFORMANCE MEASURES (ADULT AND DISLOCATED WORKER)**.

A. Definitions

Definitions needed to understand WIOA Title I performance and the mechanisms for calculation the six primary indicators of performance, including definitions, are found in WSD19-03, “Performance Guidance.” The six indicators of performance include:

- Employment (Placement) Rate – 2nd Quarter After Exit

- Employment (Placement) Rate – 4th Quarter After Exit
- Median Earnings – 2nd Quarter After Exit
- Credential Attainment
- Measurable Skill Gains
- Effectiveness in Serving Employers

B. Employment (Placement)

Employment placement includes participants who are found to be employed OR found to be in unsubsidized employment during the second quarter after program exit. All participants included in this indicator (excluding those that exited with an exclusionary exit, regardless of employment status at program entry. The following placements received during the report period will count towards the program performance measures:

1. Placement in Employment

Participants who are in unsubsidized employment.

Documentation of Employment (Placement)

- Complete the follow up form for the quarterly reporting period. The follow up form must include wage information doe placement in employment.

C. Median Earnings

The median earnings of program participants who are in unsubsidized employment during the second quarter after program exit.

The following participants are excluded from the median earnings performance indicator:

- Participants who have exited and are not employed in the second quarter after exit.
- Participants who have exited a program and for whom earnings information is not yet available.
- Participants who have exited from a program and who have $0 income in the second quarter after exit.
- Participants who have exited and are in subsidized employment.
- Participants who have exited with an exclusionary exit

Documentation of Median Earnings

- Complete the follow up form for the quarterly reporting period. The follow up form must include wage information for placement in employment.

D. Credential Attainment

Credential attainment is the number of participants enrolled in an education or training program (excluding On-the-Job Training [OJT] or customized training) who attain a recognized postsecondary credential, during participation or within one year of program exit. Refer to **Chapter 4. Part 3: WIOA Title I Training Services** for more information on industry recognized credentials and required documentation.

E. Measurable Skills Gain (MSG)

MSGs track a participant's interim progress. Therefore, it is intended to capture important education or training progressions based upon "real time." It is NOT an exit-based performance indicator. This enables staff to track and report progress and performance for participants while they are in the program.

For the MSG performance indicator, a new period of participation is counted each time a participant enrolls into a training/education program. A participant is included in the performance indicator even if they are enrolled late in the program year. Staff must not delay enrollment or services to participants. If the period of participation spans over multiple program years, a new MSG must be calculated for each program year the participant is enrolled in an education or training program.

Refer to **Chapter 4. Part 3: WIOA Title I Training Services** for more information on the MSG measure and required documentation

F. Effectiveness in Serving Employers

There are three Effectiveness in Serving Employer measures. The Workforce Partnership will report on the following two measures, as required by EDD and DOL. For more information, refer to **Chapter 11, Business Services Policy, and Procedures.**

1. Retention with the Same Employer

Participants who are employed with the same employer (verified by State tax ID number or FEIN) in both the second and fourth quarters after exit. As part of the placement in employment for each reporting period, wage information is required to verify employment.

2. Repeat Business Customers

Tracks the percentage of employers who have used program services in the current PY and had received services in any of the three preceding PYs. This allows the State to determine if business customers are sufficiently satisfied to seek core program services again, and to develop and maintain durable employer relationships.

G. Exclusionary Exits

Participants can be excluded from the performance measures, at the time of closure, for any of the following exclusionary exits that precludes the participant from entering into employment or participating in services:

- **Institutionalized:** The participant exits the program because he or she has become incarcerated in a correctional institution or has become a resident of an institution or facility providing 24-hour support such as a hospital or treatment center during receiving services as a participant.
- **Health/Medical:** The participant exits the program because of a medical treatment and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the program.
  - Pregnancy/birth does not meet the definition of an exclusionary exit unless complications from the pregnancy/birth causes treatment that lasts longer than 90 days.
- **Deceased:** The participant is deceased.
- **Reservist called to Active Duty:** The participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
- **Relocated to a Mandated Program:** The participant is in the foster care system as defined in 45 CFR 1355.20(a) and exits the program because the participant has moved from the local workforce area as part of such a program or system.

Note: Exclusionary exits that are entered before the closure form is completed will exclude the participant from performance outcomes, however, if a participant is already in follow-up when any of the aforementioned circumstances occur, the participant will still be included in performance measures.

1. Medical Exclusionary Exits

If a participant is exited due to an exclusionary/neutral exit and it is because of medical, or disability collect information in separate file and do not disclose in case notes the reason for exit.

The 2 out of 5 exclusionary/neutral exit reasons that could disclose medical or disability-related information:

- Health/medical issues
- Residing in an institution or facility providing 24-hour support, such as prison or hospital

H. Performance Reporting

The Supervisors will be required to report on the six indicators of performance on a quarterly basis. Refer to **Chapter 5: CalJOBS Data Entry Policies & Procedures** for more information.

VII. CORRECTIVE ACTION

WIOA Title I Staff are expected to meet and exceed federal, state, and local performance measures in order to provide high quality services and outcomes to our customers.

Corrective action will be taken when program outcomes do not to meet compliance or performance in any of the following areas:

• Achieving performance measures or milestones as outlined in the Operations Manual and its Attachments.
• Significant monitoring findings and/or not working to address and/or close findings in a timely manner.
• Other violation of the legislative, regulatory, legal, and other WIOA Title I requirements

Please note that the above measures, and their respective performance standards, are subject to change based on federal, state, and local laws and policies.

A. Performance Monitoring

The Operations team and Supervisors monitor the performance throughout the program year using:

1) Data reporting from the program's system of record
2) Monitoring reports
3) Financial reports from the Workforce Partnership's finance team; and
4) Other program reporting requirements.

It is the responsibility of the Supervisors to ensure all staff involved in the service delivery are trained to provide program services.

B. Performance Measures

Refer to **ATTACHMENT - PROGRAM PERFORMANCE MEASURES (ADULT AND DW)** for the approved measures.

C. Corrective Action Process

If an area of deficiency in compliance or performance is identified, the Senior Manager of Career Center Services/Manager/Supervisor, Compliance or Operations will work with the Managers and Supervisors to address the area(s) of deficiency.

VIII. ATTACHMENTS

Program Tracks (Adult and DW)
Request for Dual-Enrollment
Program Performance Measures (Adult and DW)