SOP 20-03
User Experience
(formerly Customer Flow)
Standard Operating Procedures
Grow Southwest Indiana Region 11
Approval Date: 12/04/2020

Purpose

To ensure that customers served by a WorkOne receive assistance commensurate with their individual needs, delivered by professional staff, resulting in satisfaction that supersedes their expectations, and acknowledging that self-sufficient employment is the goal.

Such an approach places a premium on direct interaction with well-qualified workforce professionals. The User Experience policy ensures that customers who are identified, or who self-attest, as needing more focused assistance will have access to in-depth services, including basic career services, career counseling, and individualized services to aid them in attaining employment. To ensure good stewardship of available financial resources, this policy emphasizes need-based differentiation in serving clients, endowing workforce professionals with the capability and duty to determine the best and most appropriate level of service for each customer. This policy reflects Workforce Innovation and Opportunity Act (WIOA) requirements for customer enrollment and engagement.

Recission:

DWD Policy 2010-13, Change 1, WorkOne Customer Flow, implemented as Region 11 SOP 2011-04 Approval Date 9/28/2012.

Region 11 SOP 2015-05, approval date 10/30/2015.

for them extensively will be provided with the opportunity to speak to a case manager who is trained appropriately. All customers who wish to enter training must take all three components of INCE and have them included in an Individual Employment Plan prior to receiving counseling and interpretation.

Administration of Indiana Career Explorer

- The system includes three assessments: Kuder Career Search with Person Match; Kuder Skills Assessment; Super's Work Values Inventory-revised, each of which can be taken separately.
- Although it is not required by the test publisher that the staff be trained to administer the assessments, training will be provided through the DWD and is strongly encouraged.
- Though the assessments are self-guided, staff will provide guidance when necessary.
    - Individuals who require significant guidance in using the system or understanding the results will be provided with the opportunity to receive case management and/or academic and career counseling services.

Audience for Indiana Career Explorer

- Any customer who is interested in pursuing occupational training and/or post-secondary education must take all three components.
- Any customer who is interested in conducting career exploration and development may take any combination of the assessments and should not be required to take all three.
    - Customers who use the assessmsent as a self-service Basic should also be encouraged to attend the career exploration workshop, although they should not be required to do so.

Interpretation of Indiana Career Explorer

- Although it is not required by the test publisher that the staff be trained to interpret the assessments, training will be provided through the DWD and is strongly encouraged.
- It is not necessary for a staff member to interpret the assessments, but trained staff should provide guidance when necessary or requested.
    - Any outcomes and guidance that result from Indiana Career Explorer will be included in a customer's IEP, when available.

WorkKeys

In general, WorkKeys assessments are extensive and require interpretation; thus, they should only be administered at the Individualized level for the purpose of identifying current foundational workplace skills.

For customers who are applying to a WorkKeys employer and need to take an assessment for job matching purposes, it can be considered a Basic service. This is the exception, not the norm.

Appropriate use of WorkKeys at the Basic level includes:

- Assessment in the combination identified for a particular occupational profile at a WorkKeys participating employer for the National Career Readiness Certificate (NCRC) if required by the employer.

Appropriate use of WorkKeys at the Individualized level includes:

- Use as the Core Career Readiness assessment or Workplace Documents, Applied Mathematics, and Graphic Literary (which may lead to a National Career Readiness Certificate).
- Interpretation and recommendations based on scores.

Administration of WorkKeys

- The WIN Locator Placement Tests should be given for each subject area prior to administering the full WorkKeys battery to determine the ability to receive a measurable score on the WorkKeys assessments. NOTE:
  - Individuals whose scores on the WIN Locator Placement Tests indicate that they are not prepared to sit for the full WorkKeys should be encouraged to take the TABE and enter Adult Education, as necessary.
  - Individuals who do not wish to attend Adult Education for remediation, or who only wish to improve their WorkKeys scores, will be advised to utilize WIN for remediation.
  - DWD recommends that all customers use WIN to practice and improve their skills prior to sitting for the full WorkKeys battery.
- WorkKeys assessment must be proctored by staff that are trained in the WorkKeys administration procedures.
  - Proctors must have participated in one of the following training scenarios; an on-site assessor training session, completing the ACT-provided online test administrator modules, or have been trained by an experienced assessor to follow the procedures outlined in *WorkKeys Supervisors Manual*.
  - Proctors must complete the appropriate agreement(s):
    - Third Party Administrator Agreement for non-DWD staff
    - The Designated Entity form for the agency or supervisor of the third-party assessor/administrator
    - Requirements for Administrator of WorkKeys assessments form for DWD assessors/administrators
- WorkKeys assessments should be provided online preferably, although a paper/pencil version is available.

Audience for WorkKeys

- Any Individualized-level customer who wishes to know or to prove his/her work readiness skills.
- Any Basic-level customer identified for a particular occupational profile at a WorkKeys participating employer if required by the employer.

Interpretation of WorkKeys

- WorkKeys Score Reports identify the skill level(s) achieved and provide

descriptive information of the abilities of the level scored, the meaning of the score, and how it can be used should be explained to customers.
- If the score indicates that a customer might benefit from further assistance, appropriate guidance should be provided and the Academic and Career Plan should be amended as necessary.

Transferable Occupational Relationship Quotient (TORQ)

Grow Southwest Indiana Workforce Board is one of a few workforce boards that has continued the TORQ assessment; TORQ is a labor market tool that assists job seekers in the understanding of difficulties within the transition of one occupation to another, especially for those individuals who may be considering a career change. Based on ONET occupational categories and a customer's work history, TORQ measures and demonstrates the ease or difficulty found in targeting other careers. The tools will quantify the difference between work history and another occupational field. Customers may use this information to recognize large, medium, or small skill gaps. TORQ may be able to guide the customer to target a different occupation or a more achievable career choice.

TORQ allows WorkOne staff to assist customers in the transferability of job skills base on an analysis of previous work history and education considering current labor market conditions. TORQ helps people build career plans in one easy process. Based on knowledge, skills, and abilities from previous jobs and education, TORQ recommends occupations, training programs, and job matched to each individual. TORQ works for all types of workforce clients: youth, dislocated workers, TANF or SNAP recipients, veterans, individuals with disabilities, and more.

A TORQ workshop is provided weekly and may be completed virtually.

Audience for TORQ
- In Region 11, TORQ is a required workshop for RESEA.
- TORQ is also required for on-the-job training candidates.
- In addition, TORQ may be used for any customer planning on occupational training.

Interpretation of TORQ
- Although it is not required by the test publisher that the staff be trained to interpret the assessments, training will be provided and is strongly encouraged.
- It is not necessary for a staff member to interpret the assessments, but trained staff should provide guidance when necessary or requested.
    - Any outcomes and guidance that result from TORQ will be included in a customer's IEP, when available.

Additional Assessments

A Workforce Development Board may choose to augment the assessments procured by the DWD. If so, these subsequent guidelines shall be followed:
- The Workforce Development Board must submit a request to the Department

of Workforce Development to use any additional assessments. The request must include typical use of the assessment, how it is administered, and justification for its use.

- Assessments aside from the three assessments procured and described above should not be used without DWD approval.
- DWD will not approve any additional assessments in the areas for which assessments have been procured on a statewide basis: educational attainment, career interest, aptitude, and values inventory; and workplace skills.
    - An exception may be made for assessments that were in use prior to this policy. If a Workforce Development Board wishes to continue to use an assessment in one of these areas, the Workforce Development Board should submit a request to do so as outlined above.

Adult Education

Adult Education in the State of Indiana will be a seamless system that supports successful outcomes for students and links education and occupational training to economic development. With a comprehensive regional approach in place, WorkOne Centers and Express offices will play a critical role in providing both academic and career counseling to Adult Education clients.

Referrals

- Customers will complete the appropriate TABE assessments prior to enrolling in Adult Education, described in in this policy.
- When a customer self-discloses or is determined to need Adult Education services, a referral to an Adult Education provider should be made.
- TABE results should be recorded in the case management system.
- Referrals for eligible individuals to Adult Education provider will involve dual enrollment into the Adult Education system and WorkOne case management system
- WorkOne centers will share customer information and TABE scores with Adult Education providers. Customers may sign a waiver allowing WorkOne to share their information with the Adult Education providers.
- Customers in Adult Education must receive a check-in a *minimum* of every 30 days.
- Clients who score below a 4th grade attainment should be referred to an appropriate literacy service provider, where available.

Academic and Career Counseling

- Adult Education students who have either reached or tested at or above an 8th grade level within 30 days of reaching that level should receive academic and career counseling from a WorkOne staff member.
- Customers who have less than an 8th grade level may receive academic and career counseling as appropriate.

In the instance when a customer self-discloses that s/he is not interested in furthering employment, but is instead interested in self-improvement through Adult Education, referral to Adult Education providers without significant staff involvement or TABE testing is appropriate.

Check-Ins during Participation and Case Closures

Check-ins during Participation

Check-ins are intended to be a means by which a WorkOne staff member can both keep a customer engaged in the process and ascertain how a customer is progressing toward his/her goals.

- WorkOne staff members are required to "check-in" with all customers in Individualized services.
- Check-ins are defined as reciprocal communication between the WorkOne staff member and customer that identifies how a customer is progressing and offers or recommends additional services, as necessary.
- Check-ins can occur via phone, e-mail, or in person.
- Check-ins are not a reportable service but should be recorded for case management purposes.
- Additional services should be offered or recommended either over the phone or in person, as needed.
- Any service provided over the phone or email must be documented in a case note.
- For customers with an Individual Employment Plan who are not enrolled in occupational skills training or Adult Education, check-ins should occur a minimum of every 30 days. However, excellent performance necessitates more frequent contact.
- For customers in Adult Education or occupational skills training, check-ins should occur a minimum of every 30 days. However, excellent performance necessitates more frequent contact.

Case Closures

When a customer no longer requires services and case management because s/he has entered employment, becomes disabled or otherwise incapable of working, or the customer voluntarily opts out of service, a WorkOne case manager should formally close the customer's case.

- If a customer has entered employment and does not require additional assistance such as childcare or transportation services, the file should be closed. Otherwise, it should be left open until the client is paid and no longer needs or qualifies for assistance. Follow up is then required.
- If a customer is no longer seeking employment due to death, medical, reservist callback, family care, institutionalization, the customer should notify the case manager whenever possible. The file should be closed, and a case note entered to document the reason for closure. Follow up is not required.
- In some instances, a customer may opt out of continuing services and case management at which point the customer's file should be closed and a case note entered documenting the situation. Follow up is required.
- In the rare instance when a case file needs to be reopened, a WorkOne

staff member should determine the amount of time that has passed since the file was closed.

  - If less than 90 days have passed:
    - Staff should notify the Elite User and request the closure, and exit if applicable, be deleted.
    - The request should include the customer's name, state ID, and an explanation of why the closure should be deleted.
    - After deleting the closure, and exit if applicable, the Elite User will enter a case note regarding the request and subsequent actions to reopen the file.

- If more than 90 days have passed, a new application is required.

Trade Adjustment Assistance

The Trade Adjustment Assistance (TAA) program assists workers who become unemployed or are under threat of layoff due to the impact of foreign trade. The TAA program seeks to provide negatively impacted U.S. workers with the opportunity to obtain the skills, resources, and support they need to become reemployed in a high wage-high demand occupation. TAA offers a menu of benefits and services, including employment and case management services, training benefits, income support, job search and relocation allowances, a wage subsidy for older workers, and a health care tax credit.

All TAA participants that are also WIOA DW eligible will be co-enrolled in the WIOA DW Program. The TAA program is required to pay for all training and related costs and the majority of employment and case management services. However, trade affected workers often benefit from WIOA's supportive services and postemployment follow-up services, which cannot be funded through the TAA Program. The implementation of a co-enrollment requirement does not change this; WIOA funding should be used to provide services only when TAA funding may not be used for that service (i.e., supportive services and post-employment follow-up services).

Additionally, services from other programs must be made available to the trade-affected worker. Programs such as, but not limited to, Wagner-Peyser Act Employment Services, Vocational Rehabilitation services, Veterans' programs, and other one-stop partner programs, should be provided to the participant, as appropriate.

Every TAA customer who enters Individualized services will have an IEP jointly developed by the customer and the staff member that provides case management and counseling services. The IEP is meant to be a guide for the customer and staff; the IEP outlines the necessary and recommended steps that enable the customer to secure and retain employment and documents training benchmarks required for TAA/TRA. It is an evolving strategy that shall identify the customer's employment goals, the appropriate achievement objectives, and the appropriate combination of services for the customer to achieve the employment/training goals. The IEP will provide clear action steps that the customer will take to achieve his/her employment/training goal. As a "living document" it should be adjusted as the customer and TAA case manager deems necessary.

When implementing Individual Employment Plans (IEP) with a TAA customer, the subsequent guidance will be followed:

- The IEP must be jointly developed with the customer within 60 days of the **first** TAA intensive Service.
- The customer must "sign off" on the IEP before it is considered complete.
    - A notation in the case note that the customer is fully aware of the IEP and that it was developed with the customer suffices for a signature.
- The customer must receive a copy signed by both the staff member and the customer who developed it.
- The IEP is a "living document" that can be added to or adjusted as necessary and appropriate.
- For consideration of TAA Training Waiver for Enrollment Unavailable

or Training Not Available (under 2011and 2015 law benefits) the customer's training interest must be documented in the IEP.

- The IEP must contain training benchmarks for TRA-C eligibility (2011 and 2015 law benefits) and should be updated at each monthly check-in while participating in a actionable TAA approved training plan.
- The IEP will have clear, steps for the customer to follow.
- The end goal of all TAA IEPs will be entering employment.

TAA case management also includes:

- Comprehensive Assessment,
- Counseling and Career Planning
- Labor Market Information
- IEP Review
- Training Information including Training Providers and Financial Information
- Short-term pre-vocational services provided by partner programs
- Information on supportive services
- Training waivers and waiver reviews
- Training plan development, training activities, training plan review and modifications, and exits
- Tutoring
- Student reimbursements
- Credentials
- TRA Initializations
- Job Search and Relocation Allowances

Further guidance found in SOP 20-04 and on the WorkOne website.

Academic and Career Counseling

WorkOne will provide academic and career counseling to all customers who intend to enter occupational skills training, including but not limited to customers enrolled in WIOA and Adult Education who are entering a career pathway or occupational training. Counseling should include the interpretation of assessments results and the completion and approval of the Individual Employment Plan for customers who are entering occupational skills training.

Academic and Career Counseling

- Staff members who provide academic and career counseling will be trained in the art of career counseling.
- All customers who intend to enter occupational training, including those who intend to enter on-the-job training, will receive counseling from a staff member who has been formally trained to provide such services.
- Staff members who are trained in counseling must meet with Adult Education students who have either reached or tested at or above an 8th grade level within 30 days of reaching that level.
- Staff may meet with customers in either a group, individual, or virtual setting at their discretion.

Steps Customers Must Take Prior to Receiving Counseling

Prior to receiving counseling, customers must have taken the appropriate sections of TABE. Exceptions can be made for the following cases:

- Customers who have: (I) taken the entrance or placement exam for the post-secondary institution that they intend to attend and passed with scores sufficient to enter non-developmental or remedial courses in their chosen area of study; (2) and provided such documentation do not have to take the TABE. Customers who have not passed with sufficient scores should be referred to Adult Education after taking the appropriate sections of the TABE.
- Customers who either have successfully earned their HSE certificate or who have assessed at an Adult Education program with a TABE score sufficient to enter an occupational training program should not be required to retake the TABE assessment; there is a 12 month look back period.
- Prior to receiving counseling, customers must complete all three components of Indiana Career Explorer.
    - Staff who provide counseling will be afforded the flexibility to help a customer determine appropriate occupation training even if the results from INCE do not align accordingly.
- Customers who intend to enter on-the-job training are not required to take the TABE or INCE; they are required to complete the TORQ assessment.

Steps Customers Must Take Prior to Receiving Counseling (continued)

Academic and Career Counseling Responsibilities

- Review any case notes.
- Review assessments that a customer has taken, interpret results when necessary, and utilize the results to help the customer make an appropriate determination for occupational training. Recommend other assessments as appropriate and necessary.
- Ask additional informational questions as necessary or appropriate.
- Determine action steps.
- Complete the customer's Individual Employment Plan.
- Assist the customer in making an appropriate occupational training decision, including the specific program, and training institution.
- Only staff trained in counseling should make the referral to the appropriate education track, either Adult Education or occupational skills training.
    - A customer cannot enter occupational training without an appropriate referral from a staff member trained in counseling.
- Any referrals or decisions made should be included in the Individual Employment Plan.

Individual Training Accounts

Individual training accounts (ITAs) are the primary way for WorkOne offices to support customers who are entering occupational training by providing tuition support. Workforce Development Boards must include their ITA Policy in their local plan. Any time a change is considered, the local plan must be modified and approved by the Indiana State Workforce Innovation Council (SWIC).

In addition, DWD has provided several guidelines that must be followed:

- If appropriate, recipients of an ITA will submit a FAFSA form and utilize any Pell Grants received *prior* to utilization of an ITA.
- Priority of funding will follow DWD Priority of Service policy.
- If it is being used for a post-secondary institution's credit-bearing courses, an ITA may only be used for non-developmental courses.
    - An ITA cannot be used to pay for remedial or developmental courses at a post-secondary institution.
    - Customers who must take remedial or developmental courses prior to entering a post-secondary institution will be referred to Adult Education for remediation.
- Maximum ITA *tuition* amounts for one year should not exceed $4,500. Tuition includes the cost of all credit hours and other associated fees.
    - Exceptions to this maximum should be infrequent. Exceptions must be approved by the designee of the Workforce Development Board. The

    reasoning and the exception should be noted in the customer's case notes.
  - The cost of books is considered a supportive service, unless the training provider includes all costs under a flat rate.
- Supportive service funding in addition to tuition is acceptable.
  - Supportive service funding maximums and policies should be outlined in the local ITA policy.
- Customers should never be required to apply for or access student loans or incur personal debt as a condition of participation. WorkOne staff should ensure customers understand the debt load they would take on by pursuing certain degrees at eligible training providers, and in all instances, customers should be encouraged to choose the training program that provides quality training at the lowest cost to the customer. If a participant chooses to incur student loans or personal debt, it should only be after counseling and such counseling must be indicated in the customer's case notes.
- In-demand occupations should guide decisions for which occupations should be pursued by customers. Information on in-demand occupations may be found on the DWD website.

Prior Learning Assessments

DWD and the SWIC place a high priority in the use of prior learning assessments (PLA) as a method for customers to earn post-secondary credit for their previous experience and knowledge.

- Prior to pursing credits through PLA, a customer will:
  - Complete INCE
  - Complete TABE, if relevant do determine if remediation is necessary
  - Receive academic and career counseling
- WIOA funds may be used to pay for PLA as indicated in DWD Policy 2011-14.

Post-Exit Follow-Up

Post-exit follow-ups are a critical part of ensuring that customers have attained self-sufficiency. It allows WorkOne staff to continue the relationship with the customer, offer additional services if necessary, and collect valuable information for performance measures.

- WorkOne staff must follow-up with each customer who has an Individual Employment Plan after they exit the system or when their case files have been closed.
- Follow-up should occur a minimum of once every quarter after exit for the 12 months following exit.
- Follow-ups are defined as reciprocal communication between the WorkOne staff

member and customer that identifies how a customer is progressing.
  - o Additional services should be offered or recommended as appropriate.
  - o A follow-up call, e-mail, or text is not a recordable service and should not be counted as one.
  - o Examples of such services may include career planning; peer support groups; support service referral, etc.
  - o Services are provided to ensure the participant can retain employment, realize wage increase, and progress in his/her career.
- As much as possible, the customer should be contacted by the WorkOne staff member who provided case management services.
- Certain information as designated by DWD should be collected from the customer during the follow-up.