SOP 20-03
User Experience
(formerly Customer Flow)
Standard Operating Procedures
Grow Southwest Indiana Region 11
Approval Date: 12/04/2020
Revision 1: 10/17/2024

Purpose

To ensure that customers served by a WorkOne representative 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.

Content

User experience assumes the intent that two customer tracks assist customers in finding employment:

- **Job-to-Job track:** for individuals who can secure employment and earn a self-sustaining wage in an occupation in a stable industry without requiring further occupational training or education.
- **Job-to-training-to-job track:** for individuals who need further occupational training or education before being able to secure or advance to employment in an occupation with a self-sustaining wage for which the individual is trained.

An individual on either customer track is eligible to receive both Workforce Innovation and Opportunity Act (WIOA) Basic and Workforce Innovation and Opportunity Act Individualized services; however, individuals may require only Basic services. Individuals who need and qualify for Individualized services receive case management and develop an Individual Employment Plan (IEP). Individuals who qualify for Individualized services and are on the education track will receive case management, academic and/or career counseling including guidance on entering appropriate training or education and development of an IEP.

The details of this policy include:

- Integrated Customer Pool
- Referrals
- Unemployment Insurance
- Customer Flow
- Initial Intake
- Informational Workshops and Other Basic Services
- Informational Interview
- RESEA
- Veterans
- Case Management
- Individual Employment Plans
- Assessments
- Adult Education
- Other Intensive Services, Check-ins during Participation and Case Closures
- Trade Adjustment Assistance and the Academic and Career Plan
- Academic and Career Counselors
- Individual Training Accounts
- On-the-Job Training
- Prior Learning Assessments
- Post Exit Follow-Up
- Interim Implementation Guidance

Integrated Customer Pool

The Indiana Department of Workforce Development requires Workforce Development Boards to provide integrated service delivery, which essentially allows staff members funded by different funding streams to serve customers in the most effective and efficient manner possible. Customers will be co-enrolled in all funding streams for which they are both eligible and receive services. This includes co-enrollment (when eligibility permits) in the following programs: Wagner-Peyser, Workforce Innovation and Opportunity Act (WIOA) Adult, WIOA Dislocated Worker, Trade Act, Veterans, WIOA Youth, and WRG. Other federal, state, or local funding may apply to co-enrollment.

Along with the Department of Workforce Development, Region 11 expects that:

- Eligible and appropriate WorkOne customers enrolled in Wagner-Peyser will also receive services and ***may*** be enrolled in the WIOA Adult program.
- All Trade Act customers will also receive services from and be enrolled in the WIOA Dislocated Worker Program and the Wagner-Peyser program when the customer will benefit.
- All WorkOne customers will receive priority of service per the WIOA Title I, Adult Priority of Service, SOP 20-01, Change 3.
- All customers co-enrolled will be used to calculate performance for each individual program as appropriate, based upon the level of services provided.
- Youth over the age of 18 ***may*** be co-enrolled as adults if they will benefit from the additional services.

The *intent* of co-enrollment is to allow the customer to be served in the best manner possible and with whatever staff is available to provide the service. Thus, well-trained WIOA and Wagner-Peyser staff will provide Basic and Individualized services as necessary and appropriate. To achieve this purpose, staff will be well trained for the level of service and demonstrated capacity they can provide.

Jobs for Veterans State Grant (JVSG)

Indiana is committed to providing quality employment services to veterans. Veterans are served per SOP 20-01 Change 3 WIOA Title I Adult Priority of Service. The Veterans Affairs Vocational Rehabilitation and Employment (VR&E), sometimes referred to as the Chapter 31 Program, provides services to eligible Service Members and Veterans with service-connected disabilities to help them prepare for, obtain, and maintain suitable employment or achieve independence in daily living.

Referrals

- Referrals are essential for the human-centered holistic approach to customer service in Region 11.
- WIOA partners including the WIOA Core partners, other mandated partners, and non-mandated partners make up a network of wrap-around services that contribute to the employment goals of the region through the resolution of barriers to employment.
- WorkOne staff will assist agencies/organizations with set-up and training for the digital partner referral system.

- Staff may encounter requests for specific referral assistance from:
    - individuals at the front desk
    - RESEA participants
    - individuals who are engaged in self-service activities including but not limited to job search, WorkKeys assessments, or job fairs,
    - individuals who are seeking assistance with job readiness activities,
    - individuals who are engaged in individualized activities including individual employment plans, training activities, or follow up activities.

- Staff will provide referrals in the following ways:
    - Through the digital partner referral system
    - Through a face-to-face handoff with partners co-located in the WorkOne offices
    - Through a form approved by both WorkOne and a partner, or
    - Through an information exchange between WorkOne staff and the individual or between WorkOne staff and an agency/organization.

- Additional information:
    - Referrals will be case noted.
    - If possible, staff will follow up with the individual/participant and document the status of the referral.
    - If appropriate, staff will follow up with the referral agency/organization.
    - For referrals that involve supportive services, please see SOP 21-02 *Supportive Services Revision 2.*
    - Each office/site will have a referral resource guide.
    - Staff will receive training on referrals, at a minimum annually.

Unemployment Insurance

WorkOne/American Job centers should ensure that customers are provided with unemployment insurance services. These services should include:

- access to computers for self-help
- other over-the-shoulder help
- assistance with issue resolution as appropriate, and
- other services as defined by DWD.

As much as possible, customers who are seeking unemployment insurance assistance should be offered and encouraged to utilize other WorkOne services.

ReEmployment Services and Eligibility Assessment (RESEA)

The RESEA program (which includes Subsequent RESEA ("SUB RESEA")) provides an opportunity to reach more potential UI claimants and make them aware of services provided in the WorkOne system to decrease the amount of time until suitable reemployment is obtained. Claimants selected for RESEA are those most likely to exhaust their current UI claim. The selection process is based on the Workforce Profiling Reemployment Services (WPRS) model, administered by USDOL and the Director of RES Programs.

See DWD Policy 2017-12 *ReEmployment Services and Eligibility Assessment*.

Customer Flow

- All customers will have access to and be encouraged to utilize Basic Career services. This may be accomplished in-person or virtually.
- Customers who enter a WorkOne to receive assistance with an unemployment insurance claim are to be encouraged to take advantage of other services at the WorkOne.
- Certain collected demographic information such as education level and length of unemployment may indicate that a customer could benefit from more individualized attention.
- Those customers without a high school diploma or high school equivalency, those unemployed, and customers who did not meet WorkKey scores for a desired position with a company will be referred to a case manager about additional services such as case management as soon as possible.
- Any customer who requests additional, individualized services should have the opportunity to speak to a staff member about receiving case management and other services.

- Additionally, customers who self-identify or are listed in the case management database as certified Trade Adjustment Assistance (TAA) participants should speak to the appropriate WIOA staff member.
- For any Reemployment Services and Eligibility Assessment (RESEA) customers, staff are to follow the respective DWD program guidelines and requirements.
- In Region 11, RESEA customers are required to meet with a WIOA staff member.

Initial Intake

- The goal of the initial intake process is to collect customers' basic demographic information and help them understand the options and services available to them.
- It should not be a cumbersome process, but rather one that aids customers in gaining quick access to services while collecting required information.
- Workforce Development Boards and Regional Workforce Boards have the discretion to adjust their staffing levels and teams as they deem necessary and appropriate.
- Region 11 anticipates Wagner-Peyser staff or self-serve customers will perform the initial intake and verification of demographic information.
- Wagner-Peyser staff will provide guidance to the VOS greeter.
- Wagner-Peyser staff will determine the customer’s self-identified need.

When implementing, the subsequent guidance should be followed:

- As much as possible, customers should be encouraged to enter their own information into the case management system.
    - Staff will be available to assist customers with entering their information.
    - If customers appear to require significant help with employment-related services, staff will encourage them to speak with an employment specialist for additional services.
    - If the customer has already registered for the labor exchange (job matching) system, the information should already be in the case management database and will be quickly reviewed by staff for accuracy.
- Staff will verify that a customer's information is in the case management database and is correct.
- Staff will encourage customers to take advantage of the WorkOne services as appropriate to their needs.
    - A formal initial assessment or test should *not* be used at this time.
    - Staff will use customers’ demographic information to make appropriate recommendations to customers.
    - WorkOne Basic Career service staff will receive training and/or professional development to enable them to identify customers who might benefit from more individualized attention.

Informational Workshops/Other Basic Services

Informational workshops may be offered on several topics that include resume writing, interview skills, discovering career interests, job search, digital literacy, financial literacy, and work readiness. The information provided in these workshops will be informational in nature and readily available to customers, however repackaged in a workshop format for ease of understanding and access. Informational workshops and other basic services may be offered virtually.

Additional Guidance on Workshops

- Workshops will be informational in nature and designed to educate and inform participants.
- Answering participants' questions in a Basic workshop is considered a Basic service that falls under "informational Basic."
    - For example, a resume workshop that provides examples and tips, and assists customers in developing their resumes on a group basis is considered an informational Basic service.

A current list of available workshops that can be self-service or delivered by staff includes:

Career Interest	Digital Literacy	Financial Literacy
Interviewing Workshop	Job Search	LinkedIn
Resume Workshop	TORQ	Work Readiness
Workplace Etiquette	TAP (when available)	ICC Workshop
Workplace Etiquette CNA (part of WEX Bootcamp)	WIN	

Other Basic Services

- Indiana Career Explorer - Customers who indicate that they would like to explore their career interests will be encouraged to utilize Indiana Career Explorer.
    - Indiana Career Explorer is considered a Basic self-service since customers can access the assessments on their own from any location. If a customer requires or requests significant interpretation of their results they will be encouraged to speak to a case manager.
    - Customers who would like to use the assessment will also be encouraged to attend a career exploration workshop when possible but will not be required to do so.

- WorkKeys - For customers who are applying to an employer who utilizes WorkKeys and need to take an assessment for job matching purposes, *it* can be considered a *Basic informational service*. This is the *exception,* not the norm.
    - A WorkKeys employer may be an employer that has had a position profiled or that requires the National Career Readiness Certificate (NCRC) to apply.
    - Customers should take the assessment in the combination identified for a occupational profile at a WorkKeys participating employer.

- WorkKeys will be administered as indicated in Assessments section.
- Worldwide Interactive Network (WIN) access may be provided for customer practice before administration of WorkKeys.
- If customer fails to meet desired employer scores, he/she may be required to appropriately practice WIN before re-testing. This customer will also be required to see a case manager.
- Customers who score a 3 on NCRC WorkKey assessments will be referred to a case manager.
- Customers whose scores indicate that additional education or remediation might be beneficial will be encouraged to seek additional individualized services.
- No customer should be required to take the WorkKeys assessment as a condition for service.

Initial Assessment

Any customer who needs or indicates a desire to receive more Individualized Services will have the opportunity to meet on an individual basis with a WorkOne staff member. Staff will conduct an informational interview to assess the customer's general needs and intentions to recommend appropriate next steps. An information interview may be conducted in-person or virtually.

Additional Guidance on Informational Interviews:

- An informational interview may be a Basic informational service or an Individualized service. When utilized as an Individualized service, this service triggers WIOA performance.
- An informational interview does not mean that a customer must receive Individualized services.
- An informational interview will be conversational in nature, and it should cover the following information, at a minimum:
  - Barriers to employment
  - Basic goals
  - A brief educational background
  - A brief work history
  - Career interests
  - Employment goals- both short-term and long-term

Identifying Next Steps (Leading to Case Management):

- Depending on the customer’s intentions and needs identified during the informational interview, the staff member will recommend appropriate next steps, including the need for Individualized level services.
- Customers will fall into one of two tracks:
  - Job-to-Job Track – Customers who do not need to, or are not interested

in, pursuing additional training to gain employment. Staff will recommend the following: in-depth workshops, job clubs, supportive service referrals, use and interpretation of Indiana Career Explorer or TORQ, WorkKeys, and the development of an IEP.

- Job-to-Training-to-Job Track – Customers who require additional education and/or occupational training to secure employment. Staff will recommend the following when appropriate: in-depth workshops, use and interpretation of TABE, TORQ, Indiana Career Explorer, and academic career counseling with an IEP.

Case Management

Customers who need further assistance with workforce development services will be given the opportunity to meet with a staff member to determine their eligibility for and the benefit of receiving additional services. The staff member will conduct an initial assessment during which both eligibility for further services as well as the customer's needs, goals and barriers are assessed and determined.

Additionally, the case manager, together with the customer, should start developing an Individual Employment Plan (IEP), which details the steps the customer will take to gain employment. The staff member serves as coauthor of the customer's plan, as well as consultant, mentor, referral agent, and in many cases, as the facilitator of supportive services necessary for success. As much as possible, customers will receive case management services from the same staff member until they exit the system so that they can build a working relationship.

Case Management

- Staff members who provide case management are expected to:
  - Develop on-going relationships with their customers and act as resource.
  - Develop a relationship with Adult Education customers' instructors where appropriate and possible.
  - Help customers understand and act on their Individual Employment Plan, adjusting, as necessary.
  - Perform regular check-ins as outlined in this policy

Scheduling Appointments

- As much as possible, a customer will see a case manager who provides case management services as soon as appropriate.
  - Appointments can and should be made if necessary.

    - If an appointment must be made, every effort will be made to make the appointment for as soon as possible.

Individual Employment Plans

Every customer who enters Individualized services will have an Individual Employment Plan (IEP), developed jointly by the customer and case manager providing case management and counseling services. Outlining the necessary and recommended steps that will enable the customer to secure and retain employment, the IEP is meant to be a guide for the customer and staff. The IEP is an evolving strategy that will identify the customer's employment goals, the achievement objectives, and the combination of services for the customer to achieve the employment goals. The IEP will provide clear action steps that the customer can take to achieve their goals. As a living document, the IEP will be adjusted as the customer and case manager deem necessary.

When implementing the IEP, the subsequent guidance will be followed:

- The IEP shall be jointly developed with the customer, meaning the customer's input will be considered and the customer will have full knowledge of the contents.
- The customer must "sign off" on the IEP before it is considered complete.
    - The IEP will be case noted including that the customer is aware of the IEP; that it was developed with the customer; that the IEP is signed and dated.
    - The customer will be provided a copy, signed by both the staff member and the customer.
- The IEP is a "living document" that can be added to or adjusted as necessary and appropriate.
- The IEP shall have clear, actionable steps for the customer to follow.
- If necessary, the IEP will follow the format designated by DWD.
- The IEP for Trade Adjustment Assistance (TAA) customer will follow the designated format of the Dislocated Worker Unit.
- The end goal of all IEPs will be entered employment.

Assessments

DWD has procured three assessments for statewide use: Tests of Adult Basic Education (TABE) is the assessment for educational attainment; Indiana Career Explorer (INCE) is the career interest, aptitude, and values inventory; and WorkKeys is the workplace skills assessment. Each assessment will be used for customers, as appropriate, following the guidelines outline below.

TABE as the Ability to Benefit Assessment

- In most instances, TABE versions 11-12 should be given prior to customers enrolling in occupational skills training or Adult Education.
- Customers who intend to enter a post-secondary institution that requires an entrance/placement exam should not be referred to the institution until their scores on TABE are high enough to indicate reasonable success in entering post-secondary credit bearing courses.
  - In most cases, a customer's score should be 11.0 before such a referral; however, staff members providing academic and career counseling should be allowed the discretion to decide whether an individual is ready to sit for an entrance or placement exam.
  - If the customer takes an entrance or placement exam and does not score high enough to enter non-developmental or non-remedial courses the individual should be referred to an Adult Education provider for remediation.
- OSY enrollees are tested to determine skill levels.
- Ability to benefit scores on the TABE should be determined by a staff member providing counseling for pre-post-secondary study, such as Certified Nurse Aide (CNA), or Commercial Drivers Licenses (CDL) programs.
  - If an individual has already taken WorkKeys, a WorkOne staff member could also utilize an individual's WorkKeys scores to determine if an individual is prepared to enter occupational training. The individual should not be required to take WorkKeys in lieu of taking TABE as the ability to benefit test.
  - For instance, if a customer wishes to enter training to become a bookkeeper, the customer must receive minimum WorkKeys scores for applied math, locating information, and reading for information of 4, 4, 4, respectively. Minimum WorkKeys scores for occupations can be found at: http://www.act.org/workkeys/occuprof/.
- Region 11 conducts mainly online testing; however, paper-pencil is available if needed or the group is too large for online requirements.

Exceptions to Using Tests of Adult Basic Education (TABE)

- Customers who have taken the entrance or placement exam for the post-secondary institution that they intend to attend and passed with scores sufficient to enter non-remedial courses in their chosen area of study; 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:

Exceptions to Using Tests of Adult Basic Education (TABE)

- Customers who have a high school diploma or GED/HSE may present their transcript and a staff member may determine that the customer does not need to take the TABE based on their grades.
- Customers who already have college credit and who intend to return to the same post-secondary institution may present their transcripts to a staff member who may determine that the customer does not need to take the

TABE.

- Customers who are entering WIOA On-the-Job Training do not need to be TABE tested.
- If the WorkOne is working with an employer for on-site incumbent worker training, employees are not required to take the TABE.
- Customers who either have successfully earned their GED/HSE certificate or who have assessed at an Adult Education program with as TABE score sufficient to enter an occupational training program should not be required to retake the TABE assessment.

TABE Administration

Region 11 administers the TABE Locator.

- The appropriate assessments in the areas of Math Computation, Applied Math, Reading, and Language must be administered following test-publisher guidelines.
- WorkOne staff who administers TABE must have successfully completed training on its use. Online test administration guidance and one-on-one training for new staff is available
- Training must be provided by those who have been certified by the test publisher or who have received advanced training on the assessment instrument.
- TABE should be provided online, if possible, although a paper/pencil version is available.

Audience for TABE

- Any customer who is interested in pursuing Adult Education or occupational skills training must take the Locator.
- Customers should be assessed in Reading, Language and Math (both applied math and math computation), Level 11-12.

Interpretation of TABE

- TABE must be interpreted for customers.
- TABE should only be interpreted by staff that are trained to do so.
- TABE should be interpreted in a one-on-one setting.

Indiana Career Explorer

Indiana Career Explorer is available for use by all Indiana residents, 11 years old and older. It provides three assessments on career interests, skills, and values. Some customers may choose to use the tool to explore their career interests and opportunities as part of self-service Basic. Additionally, Basic workshops on career exploration may explain and utilize the assessment and even demonstrate how customers should understand the tool. Customers who require the results to be explained and interpreted 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. Results must be reviewed with customer and case noted.

Administration of Indiana Career Explorer

- The system includes three assessments: Career Interests, Work Values, and Job Skills.
- Although it is not required by the test publisher that the staff be trained to administer the assessments, training will be provided 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 assessment as a Basic self-service 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 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.

<u>WorkKeys</u>

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)

SWIN Workforce Board is one of the few workforce boards that has continued the TORQ assessment; TORQ is a labor market tool that assists job seekers in understanding 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 matches to each individual. TORQ works for all types of workforce clients: youth, dislocated workers, TANF or SNAP recipients, veterans, individuals with disabilities, and more.

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.

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.

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 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.
- 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 and WorkOne services must receive a check-in a *minimum* of every 30 days.
- Clients who score below a 4^{th} 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 8^{th} 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 8^{th} 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.

Services/Activities during Participation

Services/activities during Participation

Services/activities 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 provide "enrolled" customers in Individualized services.
- Services/activities 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.
- Service/activity can occur via phone, e-mail, or in person.
- Services should be offered or recommended either virtually or in person, as needed.
- Any service/activity provided virtually or in person must be documented in a case note.
- For customers with an Individual Employment Plan (IEP) who are job-to-job or job-to-training-job, services/activities should occur at a minimum of every 30 days. However, excellent performance necessitates more frequent contact.

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 Responsibilities

- 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.
- When appropriate, customers must complete 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.

- *Additional 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.

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 (Operations Manager) 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 are outlined in SOP 21-02 Revision 2.
- 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.

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, a hard exit entered, 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. Note: If a client refuses services and states they do not want to be contacted again, case note the conversation and cease follow ups from this point forward.
- 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. Staff must enter a case note regarding the requested changes explaining the need for the changes.
    - 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 unless there is sufficient reason to reopen the file, e.g., there is funding involved, and no follow-ups have been completed.

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 about performance measures.

- 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.
  - Additional services should be offered or recommended as appropriate.
  - Examples of such services may include career planning; peer support groups; support service referral, etc.
  - Services are provided to ensure the participant retains employment, realizes wage increase, and progresses in employment.
- 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.
- See DWD Technical Assistance 2023-10 Follow Up Services for WIOA

Title I Adult and Dislocated Worker Program Participants

- Follow up services and case notes documenting the provision of those services must be recorded in Indiana Career Connect (ICC).
- Case notes must contain the services provided, outcomes of conversations or in-person meetings, and job placement status updates.
- Case notes must be entered as soon as the information is obtained and/or when services are provided to maintain data integrity and ensure accurate federal reporting per SOP 24-01.

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.
  - o 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 an 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.

*NOTE:
If there are no TAA Case Managers in your WorkOne and a potential TAA-eligible worker comes in, please send an email to TAATrainingPlans@dwd.in.gov with the following information

Customer Name, Last 4 SSN (or Client ID from ICC), Phone number and/or email address.

The TAA Leadership Team will contact the customer and connect them with a TAA Case Manager for assistance.

Note: Any worker with a past qualifying separation and TAA certification is entitled to apply for any TAA benefit and receive services from their past certification.

Co-enrollment with WIOA is still required and the TAA Leadership Team will contact the region when a TAA customer needs to be co-enrolled.