

**Purpose.**

The Southwest Wisconsin Workforce Development Board (SWWDB), under the authority of the Workforce Innovation and Opportunity Act (WIOA), has established a career planning procedure regarding services provided to program participants. This document describes the operational procedures that WIOA service providers will use to provide individualized career services to program participants consistent with Career Planning (Case Management) Policy E-120.

Policy.

Career planning is a collaborative process designed to assist the individual jobseekers in preparing for and obtaining employment that will lead to self-sufficiency. Career planning involves not only the provision of direct services to individuals, but also includes the maintenance of required records and documents, both paper and electronic, compliance with local, state, and federal regulations and guidelines, and interaction with other workforce partners and businesses.

WIOA case managers shall provide multiple services throughout the entire WIOA process with in the following broad elements:

- Orientation
- Intake (Eligibility and Certification)
- Assessment
- Customized Service Planning
- Progress Reporting
- Placement and Exit
- Follow-Up

These broad elements will be described in detail within these procedures.

Procedures.**1.0 Orientation.**

- 1.1 All customers who show interest in the WIOA Title 1 programs must go through an orientation that explains eligibility, expectations, program overview, and a list of partner agencies and their function.
- 1.2 The orientation can be completed in a group setting or one-on-one as determined by the customer's need, external and internal deadlines, or at the discretion of the WIOA program service provider.
- 1.3 All necessary accommodations should be made in regards to customer preference and service provider feasibility.
- 1.4 The following document(s) will be started and/or completed during the orientation (if the orientation is the only objective for this meeting):
 - A. A1 – WIOA Application
 - B. DWD Dislocated Worker Survey (if applicable)
- 1.5 At the completion of the orientation, the name and contact information of the customer's case manager will be provided, if not in a one-on-one session, to schedule an intake session which includes eligibility determination and certification.
- 1.6 Additionally, case managers are to update case notes regarding the customer's attendance of the orientation and place the form(s) listed above in the customer's paper file for completion at the initial meeting with assigned case manager.

2.0 Intake.



- 2.1 All customers who are interested in receiving individualized career services and training are required to complete and provide the necessary documents to determine their eligibility for a specific WIOA Title 1 program. These documents include:
- A. B1 – Career Roadmap (to be returned during the next meeting or completed in a guided workshop setting)
 - B. Complaint and Grievance Information form
 - C. Complaint Procedure Acknowledgement form
 - D. WIOA Participant Rights and Responsibilities form
 - E. Individual Checklist
 - F. Youth Barrier Verification (Youth customers only)
 - G. Selective Service Verification form and supporting letter from Selective Service (Males only)
 - H. Participant Permission to Release Records
 - I. Employment Verification General Release
 - J. Customer documents that support eligibility for the specific WIOA Title 1 program (documents may vary and are in accordance with DWD’s Guide to WIOA Title 1 Eligibility Determination and Documentation)
 - K. Complete on-line Xyte Assessment and provide a copy to the customer for further discussion at the next meeting.
- 2.2 Upon completion of the required forms and the verification of the customer’s eligibility documentation, case managers are to update the customer’s ASSET file and case notes providing an overview of what took place during the meeting and place all documentation in the customer’s paper file.
- 2.3 Additionally, customers are to be entered into the Payment Authorization System (PAS) for future support and training payments and real-time follow-up tracking upon exit.
- 3.0 Assessment.**
- 3.1 All customers are to complete assessments to assist with guiding the program direction and career goals of the customer.
- 3.2 Case managers and customers will discuss the outcomes of the assessments in detail to align service provision under WIOA Title 1. The assessments include:
- A. B1 – Career Roadmap: broad scope assessment the customer completes on their own regarding what basic needs they require, program assistance they need, and training and career outcomes they expect to achieve.
 - B. Xyte: This is a preference assessment that determines what careers a customer is most likely to enjoy and remain in for long-term employment. It also identifies the customer’s innate abilities to include:
 - 1) Personality
 - 2) Learning style
 - 3) Perception of others
 - 4) How others perceive them
 - C. Self-Sufficiency Assessment: This assessment is used to determine if a participant is currently self-sufficient, choosing a career path that will lead to self-sufficiency, or determining if a participant is self-sufficient at the completion of the WIOA Adult or Dislocated Worker Programs.
- 3.3 TABE Test: Assess the current basic skills level of customers and measures Math and Reading levels. (Adult and Youth)



- 3.4 Career Cruising (optional for youth and adults customers): Goes into detail regarding what education resources and requirements for specific programs. This assessment also has components of the previous two assessments mentioned.
- 3.5 Service provider assessments: Provided by service providers at their discretion.
- 3.6 The career roadmap and the Xyte assessment are mandatory assessments and are used as the basis for a customer entering an approved training program (if required to become self-sufficient).
- 3.7 Assessments are to be used to assist the customer and the case manager to build the customer's career path by giving them a starting point for career planning.
- 3.8 All completed assessments are to be entered into ASSET and the paper file with a copy being provided to the customer for future reference.
- 3.9 Case notes and IEPs/ISSs are to be updated regarding the discussion of the assessment outcomes.
- 4.0 Customized Service Planning.**
- 4.1 After discussing the outcomes of the assessments, case managers and customers are to start building the path towards employment and/or education as required.
- 4.2 The customized service plan is to be updated as services change but at least once a year. These service planning documents include:
- A. Individual Employment Plan (IEP) – Used for WIOA Title 1 Adult and Dislocated Worker programs
 - B. Individual Service Strategy (ISS) – Used for WIOA Title 1 Youth program
- 4.3 As the IEP or ISS is completed, the case manager will provide the customers with the necessary services and tasks to complete to achieve the customer's program outcome.
- 4.4 The creation of the IEP or ISS shall be documented in case notes and a paper copy entered into the customer's paper file.
- 4.5 As services or tasks are added or deleted from the IEP or ISS, these documents shall be updated accordingly or at least once annually.
- 5.0 Progress Reporting.**
- 5.1 Case managers and customers have a mutual obligation to maintain contact with each other to provide updates regarding status of tasks, training progression (as needed), or general life status as this may cause a customer not to complete an assigned task.
- 5.2 Program specific required tasks shall be completed at their prescribed intervals (i.e. TABE testing or other measurable skill gain activities).
- 5.3 Contact shall be made monthly and documented in ASSET case notes.
- 5.4 If the career plan needs to be altered to include more services to be needed by the customer, documentation to support the additional services will be required to be placed in the paper file. Examples of documents to be placed in the paper file are (may not be all inclusive):
- A. Approvals for services or payments authorized by the Workforce Operations Manager.
 - B. Training documents:
 - 1) Schedule of classes
 - 2) Grades or transcripts
 - 3) Attendance sheets
 - 4) Financial aid award
 - 5) Cost of classes



- 6) Cost of books
 - 7) Cost of required equipment or clothing
 - 8) Receipts for any approved direct reimbursement items
 - 9) Training completion or dropout documents
- C. Support documents:
- 1) Travel logs for transportation assistance
 - 2) Childcare receipts and logs (Must be a licensed childcare provider)
 - 3) Required clothing list and receipts for those entering employment
 - 4) Work Search logs
 - 5) Incentive/Stipend Records and payments
- D. Career service documents:
- 1) Resume
 - 2) Job referrals
 - 3) Certificates
- E. Employment related documents
- 1) On-the-Job Training contracts
 - 2) Paycheck stubs
 - 3) Employer letters
 - 4) Work Experience Agreements

6.0 Placement and Exit.

- 6.1 Upon completing program outcomes, the case manager shall prepare the customer and their file for exit from the WIOA Title 1 program.
- 6.2 This process is critical to ensuring all required documentation is present in the customer's paper file and that documentation matches their ASSET file.
- 6.3 When exiting a participant, the following steps shall be taken by the case manager:
- A. Complete the appropriate file review form.
 - B. Verify all eligibility documentation is present in file and ASSET correctly reflects the documents present in the paper file in accordance with DWD's WIOA Eligibility Determination and Documentation Guide.
 - C. Verify all program services have the correct start and completion dates in accordance with file documentation.
 - D. Verify services correspond with the PAS issuance of program funds to ensure vouchers and related documents are present in paper file and in ASSET case notes.
 - E. Ensure all individual Training Accounts (ITA) have been correctly closed with the appropriate outcomes indicated.
 - F. Ensure credentials that were received during program participation are entered in ASSET on the Follow-Up screen. **Note:** Credentials can be earned and entered up to four quarters after exit to count for performance.
 - G. Update PAS to reflect exit status (positive/negative), employment information (if employed), and mark the participant as being no longer active.
 - H. Enter the program completion date in ASSET under the Manage Program Tab.
 - I. Add planned Exit Episode under the Manage Exit Tab in ASSET and enter the appropriate information as it pertains to the participant.



- J. Contact participant to update the Participant Permission to Release Records and Employment Verification General Release Forms and place in paper file.
- K. Enter exit status in ASSET case notes to include employment details or entrance into post-secondary education (youth only), and verification of required documentation and exit date.

7.0 Follow-up.

- 7.1 Program follow-up is the process of contacting former participants to check the status of their employment or education as appropriate.
- 7.2 This process could include limited continued training and support service provision (with Workforce Operations Manager approval) and individualized career services to assist the former participant with regaining or retaining employment or education.
- 7.3 This process will continue for four full quarters after program exit. Below list the general steps that take place during the follow-up process.
 - A. Contact customer during the first quarter after exit for employment or education verification and request documentation to support the customer's current status and retain in paper file.
 - B. Update Follow-Up Tab in ASSET to reflect the customer's current status and enter case note documenting the contact.
 - C. If unable to obtain documents from the customer, contact the Workforce Operations Manager for employment information or the education or training facility for education status.
 - D. Repeat steps (a) through (c) for the remaining three quarters.

8.0 File Disposition.

- 8.1 Upon completion of the Follow-up process, the participant's file can be shipped to storage at SWWDB's headquarters located in Platteville, WI.
- 8.2 All files, if shipped in bulk, require an inventory sheet to be attached to the container and signed by the shipper and receiving facility to ensure all files make the transit to its final destination.

SWWDB allows for flexibility with regard to the order in which the steps take place within the procedure listed above; however, documentation of steps in the process remain a **required** aspect of the process and shall be adhered to. Any error has the potential for disallowed costs which may be passed back to the service provider.

References: SWWDB Career Planning Policy, E.120
Workforce Innovation and Opportunity Act of 2014, Section 3(8)

Procedure Adopted: July 1, 2016

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