



# EKCEP Client Services Handbook for Adult and Dislocated Workers

## Introduction

### *Purpose of This Handbook*

The purpose of this handbook is to provide vision, strategic guidance, and operational definitions for the activities of the workforce development system in general and specifically the services provided under the Workforce Innovation and Opportunity Act (WIOA) in the Eastern Kentucky C.E.P., Inc. local workforce area. The service model and priorities described in this handbook reflect the strategies and objectives of the EKCEP Workforce Innovation Board (WIB) and the local elected officials of the EKCEP service area, as represented by the EKCEP Board of Directors.

This handbook may be amended as necessary. In the interim, supplementary interpretations or more detailed explanations of policies in this handbook may be issued by EKCEP in memo form.

### *Objectives of the Workforce System*

The service model for the workforce development system defined by Eastern Kentucky C.E.P., Inc. (EKCEP) in this manual is based on the expectation that everything the workforce system does should be directed toward its two ultimate objectives:

- To provide qualified workers for quality jobs.
- To provide quality jobs for qualified workers.

In pursuing these objectives, the workforce development system serves primarily two customers:

- Job seekers.
- Employers.

These customers are served by a broad array of services and combinations of services to produce the two ultimate objectives. Throughout this handbook, these customers will be referred to by the term “client” for the following reasons:

- The term “client” indicates a professional relationship between a service provider and a user of that service.
- A client relationship is generally developed through one-on-one interaction over a period of time, during which both the service provider and the client have invested in the relationship.

Every principle, process, and element of the service model in this manual has been designed for the purpose of meeting the workforce needs of EKCEP’s clients.

### *The Role of Eastern Kentucky C.E.P., Inc. (EKCEP)*

EKCEP is the administrative entity of the Eastern Kentucky Workforce Innovation Board (WIB). As such, it implements the Local Workforce Area Strategic Plan developed by the WIB for the workforce development system in eastern Kentucky. EKCEP is responsible for developing policies and procedures, for implementing the plan, and for managing the delivery of Workforce Innovation and Opportunity Act (WIOA) services in Eastern Kentucky through the network of contracted service providers.

EKCEP also oversees the Kentucky Career Center JobSight network of one-stop workforce development centers in eastern Kentucky. Through the JobSight network, EKCEP and other workforce development and training agencies deliver their services to clients — both job seekers and employers — in 23 eastern Kentucky counties.

Most of the workforce development services that EKCEP administers in eastern Kentucky are provided through contractor agencies and staff. EKCEP supports and assists these contractors in their work by:

- Providing ongoing support and guidance to contractor staff to help them accomplish their workforce development objectives. EKCEP provides support in areas that include:
  - Accounting
  - Program monitoring procedures
  - Program policies and guidance
  - Using KEE-Suite (the Kentucky Enterprise Engagement Suite)
  - Marketing

- Providing and/or funding training for contractor staff, especially those who work directly with clients.
- Assisting with the launching of pilot initiatives.
- Being available to answer questions about policies and regulations.

EKCEP and 87 other Concentrated Employment Programs (CEPs) nationwide were formed in 1968 under federal Manpower Development and Training Act (MDTA) and the Economic Opportunity Act (EOA) to meet the job training needs of people in areas of high unemployment and acute poverty. For 55 years, EKCEP has served 23 mountain counties in eastern Kentucky with exemplary training, employment, and workforce development programs to meet the region's changing needs.

EKCEP's mission is "Preparing, advancing, and expanding the Workforce of Eastern Kentucky." EKCEP accomplishes this objective through a solutions-based approach in which it constantly evaluates the needs of eastern Kentucky's job seekers and employers and redesigns and adapts its services to meet those needs. EKCEP is committed to using the full flexibility provided by WIOA and other available funding sources to develop and customize services that best meet the specific and unique needs of eastern Kentucky's workers and businesses.

## **Section One: Core Values, Guiding Principles, and Code of Ethical Conduct**

### **A. Core Values**

Core values are strongly held and foundational beliefs that underlie every choice and action taken by an organization. All of EKCEP's services, policies, procedures, and partnerships are based on its core values.

EKCEP's core values are:

- **Innovation** — We believe we must remain creative and embrace emerging technologies and opportunities in order to not only strengthen economic development now, but also anticipate and plan for future growth and expansion.
- **Diversity** — We believe that if Eastern Kentucky is to grow to new levels, sustain our citizens, and support both new and existing business, we must pursue economic diversification.
- **Collaboration** — We believe we must seek, build, and nurture collaborative partnerships that will leverage the workforce system with other service providers to bring about more success for jobseekers and employers than we can accomplish alone.
- **Vision** — We believe that to positively change the economic landscape of our region, it will take a unified strategic effort and focused planning powered by a strong vision that guides the collective actions of education, economic development, and workforce partners.
- **Adaptability** — We believe that we must remain nimble and flexible in creating and delivering relevant workforce and employer services that have the most impact on jobseekers and employers and economic development throughout the region

### **B. Guiding Principles for Serving Clients**

EKCEP's services, policies, procedures, and partnerships are based on implementing the following guiding principles. Guiding principles are functional aids that lead an organization and its members toward specific goals. Principles may be thought of as a kind of compass — a navigational tool that points you in the direction you want to travel.

EKCEP has developed the following principles to serve as a compass to guide staff in their work with job-seeker clients, employer clients, co-workers, other workforce agencies and community partners. Every principle points toward positive behaviors that serve our clients in the most effective ways.

EKCEP's clients can expect:

- **Consistency** – Consistency in the delivery of workforce services across EKCEP’s service region is vital to the overall success of its mission. Each client should go through a similar process and have access to the same kinds of assistance across the EKCEP region. To accomplish this, EKCEP will provide each staff member with the same training in career advising and orientation to the service model. Uniformity of services, professionalism and experience will provide the basis for consistency across all service providers.
- **Quality** — Quality customer service is the primary goal of each workforce services office. Two components define quality:
  - The depth of knowledge each staff member has of workforce development services.
  - The professional manner in which the services are provided.
- **Value** — Value is defined as having something of importance for the client during each interaction. Regardless of how small or large a service may be, it should have a tangible value for the client. Examples could include a resume template, a job referral, or an action plan for further goals.
- **Fairness** — Treating each client with fairness is essential to the mission of EKCEP. Fairness includes:
  - Treating every client with respect
  - Never turning a client away
  - Never discriminating
  - Giving every client the same opportunities
- **Open Communication** — Developing the practice of open communication between workforce staff and clients is an important factor in helping clients become qualified workers for quality jobs. This may include accepting feedback from clients about how EKCEP can improve its services, and communicating effectively with clients and partner agencies, and sharing best practices with co-workers and partner agencies. Transparency is the objective of this principle.
- **Ethical Conduct** — The client can expect ethical conduct as described by the Code of Ethical Conduct below.
- **Continuous Improvement** — The service model developed by EKCEP will have resources in place to continuously improve the services offered to clients.

### **C. Code of Ethical Conduct**

Having and following a code of ethical conduct protects both the service provider and the client.

EKCEP's code of ethical conduct requires workforce staff to:

- Respect the confidentiality of individual clients by limiting information sharing to business purposes only.
- Conduct relationships with clients with good will and respect that will facilitate the successful fulfillment of client's career goals.
- Act in the best interests of the client, keeping all client information confidential.
- Not discriminate against the client in regard to gender, race, creed, color, age, sexual preference, or personal disability.
- Not engage in dating relationships with clients or establish personal and intimate relationships of a sexual nature with any client.
- Disqualify themselves from providing services to relatives and refer any related client's case to another staff member.

EKCEP's code of professional conduct requires workforce staff to:

- Refrain from engaging in any form of abuse, including physical, verbal, or emotional.
- Never engage in malicious forms of gossip that harm another individual, whether staff, client, or partner.
- Never unlawfully alter a client's records. Altering records improperly is forgery.
- Demonstrate professional etiquette at all times.
- Demonstrate personal integrity and reliability
- Avoid personal conflicts of interest and act in the best interests of EKCEP.
- Strive continually to increase the recognition of the value of workforce services to the community.

The behaviors prohibited by these codes of conduct will not be tolerated.

### **D. Customer Service**

Like every service organization today, the workforce development system must focus on meeting its clients' needs in a way that creates a positive experience for the client. In addition to helping attain the primary goal of meeting the clients' needs, providing excellent customer service will produce several beneficial results, including:

- Word-of-mouth advertising — A customer who had a positive experience will be your best marketer.
- Repeat business — A satisfied customer is likely to return and develop loyalty to your services and brand.

- Continuous improvement — The level of customer satisfaction can be measured regularly and the results can provide guidance on ways services can be improved.

Simply put, poor customer service will reduce the number of clients, and without clients to serve there would be no workforce jobs. Therefore, striving for excellent customer service must be a part of every aspect of the workforce development system.

### **E. Principles of Partnership**

Partnerships are the way EKCEP relates to, collaborates with, and supports external agencies, organizations, and businesses in endeavors that serve the same clients or pursue the same objectives as EKCEP.

Effective partnerships are based upon mutual respect and trust that build synergy and produce a higher level of performance than if EKCEP or its partners provided the service alone. Thus, each participant in a partnership should view its services and each other's services as interdependent as they work to provide qualified workers with quality jobs.

The following principles form the framework of these partnerships:

- Understand and value the unique contributions of each partner
- Commitment to common goals
- Trust
- Collaboration
- Respect
- Clear expectations

## **Section Two: Service Model for Workforce Services**

### **A. Introduction**

In the simplest terms, the goal of the workforce development system is to provide quality jobs for qualified workers, and to provide qualified workers for quality jobs.

EKCEP's service model focuses on two sets of parallel relationships:

- The relationship of Career Advisors with their clients. Throughout eastern Kentucky the workforce development professionals in each community provide multiple places where unemployed or under-employed job seekers can get help in their quest for a job. This help may take several forms, ranging from simple assistance with the job search process to more advanced career planning, skill development, and training that are directly linked to the needs of local employers. This relationship is explained in detail in "Section B., Service Model for Job-Seeking Clients," below.
- The relationship of the workforce development system's Employer Account Representatives with their employer clients and their partners, including training providers, other workforce agencies, and business groups. For employers, the Business Services element of the workforce development system provides access to qualified job candidates, human resources services, and training to help ensure that they have a quality workforce. This relationship is explained in detail in "Section C., Service Model for Business Services".

The success of the system in meeting the needs of either of its client groups — employers or job seekers — depends upon successful communication and coordination between the Career Advisors and Employer Account Representatives.

### **B. Service Model for Job-Seeking Clients**

#### **1. Clients — Unemployed Job Seekers and Under-Employed Workers**

The clients of the workforce system include anyone who is looking for a job, whether currently employed or not. However, the system emphasizes serving unemployed job seekers and employed workers who are seeking a new job because their current job pays a wage that is less than appropriate for their qualifications or potential.

Different combinations of services will be appropriate for different clients because of their differences in their circumstances and objectives. Unemployed and under-employed clients who come to the workforce system may include:

- Clients who are entering the workforce for the first time



- Clients who are employed, but earning less than a self-sufficient wage (\$19.00 per hour)
- Clients who have been unemployed for a long time.
- Clients who have been unemployed for a short time.
- Clients who have lost a job as a result of lay-offs, workforce reductions, or business closings, through no fault of their own.
- Clients transitioning into a new career, whether currently employed or unemployed.

The services that will help these clients get a job may include any combination of Labor Exchange services or the array of services that make up the Advanced Placement and Skills Development component — simultaneously or separately in any appropriate order, based upon their individual career needs, interests, and objectives. These services might include:

- Self-directed job search activities.
- Staff assisted job search activities.
- Assessments/Tool Tests of skills, aptitudes and interests.
- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Career advising
- Workshops (e.g., work readiness, resume writing, marketing self to the employer, job interviewing tips, portfolio development, etc.)
- Development of an Individual Employment Plan.
- Labor Exchange services provided through the Kentucky Career Development Office
- Skills training.
- Higher education.
- Work Experience/Internships.
- Basic skills instruction.
- Referrals to the services of other workforce, education, or public assistance agencies.

## **2. Career Development Office Labor Exchange**

Labor exchange is a service that links qualified job seekers to job openings with local employers. Job seekers register with the labor exchange program and are referred to appropriate openings as employers notify the labor exchange program of their needs. In Kentucky, labor exchange services are provided by the state's Career Development Office and are funded by federal Wagner-Peyser funds.

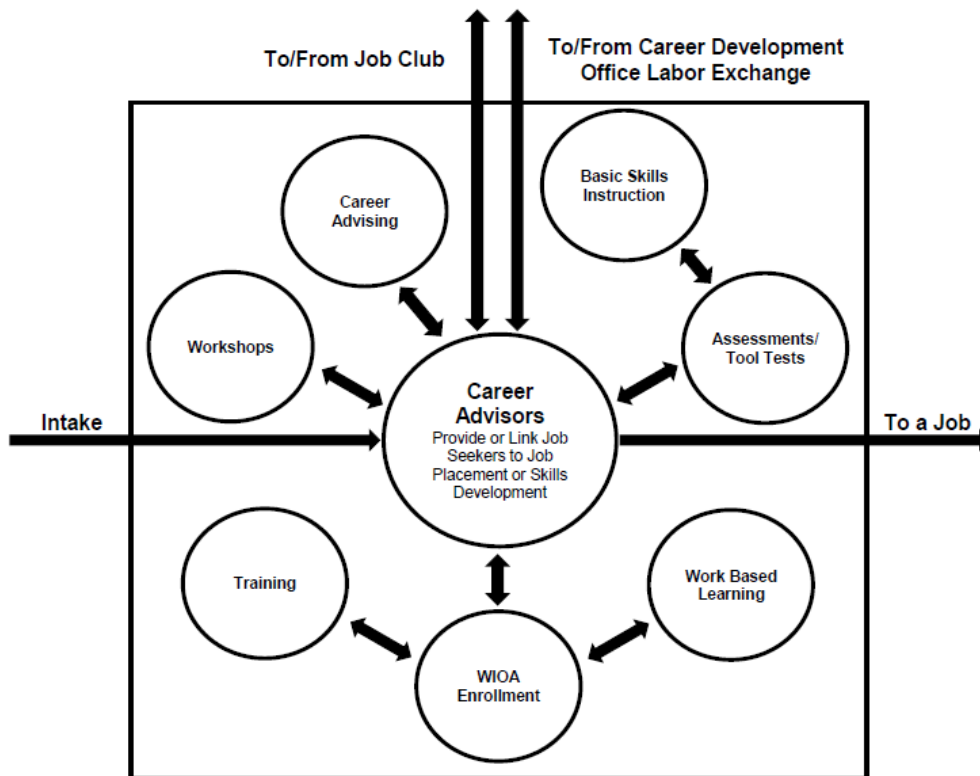
Career Development Office provides an integrated array of labor exchange services so that job seekers and businesses can find the services they need. The employment-related labor exchange services provided by Career Development Office include job search assistance, job referral, and placement assistance for job seekers; re-employment services for Unemployment Insurance claimants; and recruitment services to employers with job openings. Clients can get most services via electronic self-service, facilitated self-service, or staff assisted service.

Career Development Office will work in coordination with the Advanced Placement and Skills Development components to ensure that the eastern Kentucky workforce development system meets the needs of all clients and employers as completely as possible. Career Development Office's role as provider of Unemployment Insurance services places them in contact with a high volume of job seekers and makes them a logical entry point to the system for many clients.

### 3. Advanced Placement and Skills Development

The Advanced Placement and Skills Development component of the service model is comprised of what has been the main body of WIOA (and before that, WIA) services. The services that comprise the Advanced Placement and Skills Development component are shown in the diagram below. (This diagram is a closer look at the Advanced Placement and Skills Development component shown in the “Service Model—Client Flow” diagram.)

#### **Elements of Advanced Placement and Skills Development**



The elements shown in the diagram “Elements of Advanced Placement and Skills Development” are described in Sections a through o below.

- a. WIOA Career Advisors — The Career Advisors funded primarily by the Workforce Innovation and Opportunity Act (WIOA) are the central and most important element of the Advanced Placement and Skills Development component, as shown in the diagram. Career Advisors perform the case management functions, working with clients to understand their circumstances, aptitudes, interests, barriers, and career objectives, and then using this information to place or refer those clients into the services that will take them to their career objective: an appropriate and satisfying job.

Career Advisors will connect clients with many of these services by referral to partner workforce agencies. However, Career Advisors are expected to stay in close touch with clients and consistently be a part of each client's decision-making and problem solving. Career Advisors are also expected to collaborate closely with the Career Development Office Labor Exchange components for the duration of each client's journey to employment. (In many cases, the Career Advisor's clients may have entered the workforce system through those components before being referred to them for Advanced Placement and Skills Development services.)

The services within the Advanced Placement and Skills Development component that Career Advisors can use to help a client reach his/her job goal include:

- Career Advising
- Assessments/Tool Tests
- Basic Skills Instruction
- Workshops
- Work Experience
- Internships
- On-the-Job Training (OJT)
- Incumbent Worker Training
- Customized Training (CT)
- Training (either ITA or Non-ITA)
- Supportive Services
- Out-of-Area Job Search
- Needs-Based Payment
- Relocation Assistance

NOTE: These services are described in more detail in Sections b through n below, and in Section Three: Service Policies and Procedures.

The Career Advisor will evaluate each client's needs and circumstances, then develop an Individual Employment Plan of assessments, services, and guidance that will empower clients to make realistic decisions about their employment goals and enact those decisions to reach those goals. As shown on the "Elements of Advanced Placement and Skills Development" diagram, the Career Advisor's plan for a client may include referral to Labor Exchange services and other community partners, as well as the services included under Advanced Placement and Skills Development. The client may participate in these services simultaneously or separately in any appropriate order, based upon their needs, interests, and objectives.

The Individual Employment Plans for each client will differ, depending upon that client's circumstances, abilities, and goals. Several examples are shown below.

Services for Unemployed Clients: Unemployed clients come to the workforce system from a wide variety of circumstances, and the services appropriate for them will vary accordingly. Examples could include:

- **Clients who have been unable to find employment and are currently searching for a job.** These clients may have been unemployed for a short or long time, and may have been unable to find employment for a variety of reasons.

Depending upon their individual circumstances and past work experience, these clients may need some combination of these services:

- Assessments/Tool Tests of skills, aptitudes and interests.
- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Basic skills instruction, if needed.
- Short-term skills training.
- Long-term skills training, if a career change is appropriate.
- Labor Exchange services provided through the Kentucky Career Development Office.
- Other services and referrals, as appropriate.

- **Clients who have lost a job as a result of employee layoffs, workforce reductions, or the closing of a business.** These clients are called “dislocated workers.” Characteristically, dislocated workers may be:

- Frustrated by losing jobs that they were content with and enjoyed.
- Worried and nervous about meeting their bills and other obligations.
- Feeling insecure at having to start over at this point in their lives.
- Unsure if they will be able to obtain employment with their current skills in today’s job market.

Depending upon their individual circumstances and past work experience, these clients may need some combination of these services:

- Assessments/Tool Tests of skills, aptitudes and interests.
- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Basic skills instruction, if needed.
- Short-term skills training.
- Long-term skills training, if a career change is appropriate.
- Labor Exchange services provided through the Kentucky Career Development Office.

- Other services and referrals, as appropriate.

Whatever services are provided, these dislocated workers must receive encouragement and reassurance from their Career Advisors. It is important that Career Advisors assure these former workers that they will be supported and guided throughout their journey to return to the workforce

- **Clients who have been out of the workforce because they have been providing unpaid services to family members in the home and have been dependent on the income of another family member, but are now entering the workforce because they are no longer supported by that income.** These clients are often called “displaced homemakers.”

Depending upon their individual circumstances—especially their education level and whether they have ever worked before—these clients may need an Individual Employment Plan that includes a combination of many of these services:

- Assessments/Tool Tests of skills, aptitudes and interests.
- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Basic skills instruction, if needed.
- Short-term skills training.
- Long-term skills training, if a career change is appropriate.
- Labor Exchange services provided through the Career Development Office.
- Other services and referrals, as appropriate.

- **Clients who are entering the workforce after graduating from high school or college.** These recent graduates may have limited or no work experience, but are now ready to join the workforce. They will probably need an Individual Employment Plan that includes a combination of many of these services:

- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Assessments/Tool Tests of skills, aptitudes and interests, unless their career path has already been determined by their course of study.
- Short-term skills training, unless these skills were covered in their education.
- Long-term skills training, only if they become candidates for a career for which their education did not prepare them.

- Labor Exchange services provided through the Kentucky Career Development Office.
  - Other services and referrals, as appropriate.
- **Clients who are entering the workforce for the first time with no previous work experience.** These clients may include high school dropouts and will characteristically be intimidated by the whole job-search process, as well as the workplace itself. They will probably need a full array of services, with a probable emphasis on training services.

Services for Under-Employed Clients: Although all under-employed clients are by definition currently holding a job that pays too poorly to sustain themselves or their families, they still come to the workforce system from a wide variety of other circumstances and the services appropriate for them will vary accordingly. Examples could include:

- **Clients who are under-employed and under-educated or under-skilled** – These workers are holding a job that provides insufficient wages because they are unqualified for a better job. The Individual Employment Plan for these clients will most likely:
  - Focus first on assessing their aptitude and interests, then training them in appropriate marketable skills. Short-term trainings will likely be most appropriate because these clients probably won't be able to quit their current job in order to immerse themselves in long-term trainings.
  - Include basic skills instruction, if needed.
  - Add Instruction in resume writing, job interviewing skills, and other job search techniques as they near the end of their training.
  - Include referrals to other services, as appropriate.
- **Clients who are under-employed but educated or skilled** – These workers are holding a job that provides insufficient wages because they have been unable to find a job that matches their qualifications. The Individual Employment Plan for these clients will most likely focus almost entirely on job search skills and networking, including:
  - Resume writing instruction and assistance.
  - Instruction in job search techniques.
  - Instruction and coaching in job interviewing skills.
  - Labor Exchange services provided through the Kentucky Career Development Office.
  - Other services and referrals, as appropriate.
- **Clients who have been out of the workforce because they have been providing unpaid services to family members in the home and have**

**been dependent on the income of another family member, but because they are no longer supported by that income have entered the workforce and are working in job that provides insufficient wages.** These clients are “displaced homemakers” who are under-employed.

Depending upon their individual circumstances — especially their education level and the nature of their previous work experience — these clients may need an Individual Employment Plan that includes a combination of many of these services:

- Assessments/Tool Tests of skills, aptitudes and interests.
- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Basic skills instruction, if needed.
- Short-term skills training.
- Long-term skills training, if a career change is appropriate.
- Labor Exchange services provided through the Kentucky Career Development Office.
- Other services and referrals, as appropriate.

- b. Career Advising — Career advising involves getting to know the client, gathering and presenting information about the client’s career options to him/her, helping the client interpret that information and make decisions based upon it, and guiding the client through the process of developing an Individual Employment Plan for reaching his/her career goals, and helping the client implement that plan.
- c. Assessments/Tool Tests — Assessing a client’s aptitudes, abilities, and interests may involve the use of a wide variety of formal career assessments and tests, as well as the Career Advisor’s conclusions drawn from interviewing and working with the client. Assessment results should be shared with the client as the Career Advisor and client work together to make realistic decisions about the Individual Employment Plan. To ensure consistency, any formal assessments or tests used must be approved by EKCEP.
- d. Basic Skills Instruction — A client’s assessments may show deficiencies in basic skills (e.g., math, reading) that are required for the career the client is interested in pursuing. If the deficiencies are not too large to be overcome, clients may be placed in or referred to remedial basic skills instruction to improve his/her skills in that area.
- e. Workshops — Workshops are approved brief trainings on a specific topic. WIOA and its partners in the workforce system offer workshops on a wide variety of workforce-related topics. A series of these workshops can be an important part of a client’s workforce education.



- f. Work Experience — The Work Experience service places a client with little or no previous experience in the workplace into a temporary job with an actual employer, with WIOA paying incentives based on hours completed. The objective is for the client to learn about and become comfortable with the working environment while learning some marketable skills and receiving some money.
- g. Internships — An Internship is a service that is similar to Work Experience, placing a client with little or no previous experience in the workplace into a temporary job with an actual employer. However, Internships provide WIOA clients the opportunity to learn more specific industry-related work skills that are clearly attached to industry-based skill training and/or education that is provided directly by an employer or is connected to occupational skill training provided by an outside vendor.
- h. On-the-Job Training (OJT) — On-the-Job training is training provided to a client by an employer after the client has been hired. The length of the training period will vary, depending upon the job and complexity of the training. WIOA funds pay a portion of the trainee’s wages during the training period, but the employer must also pay a portion of the wages.
- i. Incumbent Worker Training – Incumbent Worker Training is provided to a current employee to meet the needs of an employer or group of employers to retain a skilled workforce or avert layoffs. The employee is provided with occupational training to become proficient in the occupation for which he/she is training. WIOA funds pay an agreed upon portion of the Non Federal share.
- j. Customized Training — Customized training is training specifically identified by an employer as necessary for his/her employees. As with OJT, all workers trained must be employed by the business. WIOA funds pay a portion of the total cost of the training, rather than a portion of only the wages as in OJT, and the employer must pay the balance of the costs.
- k. Training — Long-term or short-term training is an appropriate service if it is required for a client to attain his/her career goals. WIOA may provide either Individual Training Account (ITA) training or Non-ITA training. However, funding for ITA or Non-ITA training may be limited to trainings that lead to careers that are considered “in demand” or support industries in sectors of emphasis.
- l. Supportive Services – Supportive Services are services that are necessary to enable a client to participate in training activities, to enable clients to buy items needed for employment, or to assist with transportation costs related to training or employment.

- m. Needs-Based Payments – Needs-Based Payments provide a much-needed service to our clients by providing financial support to help ensure success in their training programs.
- n. Relocation Assistance – Relocation Assistance can be provided to clients who need to relocate over 50 miles from their residence in order to accept employment because there is no suitable employment in their area.

## **5. Job Retention Services**

Job retention services are services that are provided to clients after they have obtained a job to help them retain the job and succeed in it. These services may be provided individually to workers, as workshops for groups of workers, or to an employer's workers as a business service.

Job retention services may include:

- Advising and assistance with workplace behaviors.
- Advising and assistance with workplace relationships, especially regarding conflict resolution.
- Personal money management and budgeting.
- Planning for career advancement.

## **6. Employers**

Employers are the source of the jobs sought by the job seeking clients of the workforce system. However, employers are also important clients of the workforce system, turning to the system for help in finding dependable and qualified workers who will allow their businesses to thrive and expand.

The Service Model for Employer Engagement and Business Services (in Section Two: C, "Service Model for Business Services") provides details about how the workforce system in eastern Kentucky serves the region's employers.

### **C. Service Model for Business Services**

Business Services is the workforce system's driver for job placements and the creation of skill development and training opportunities. Business Services play a vital role in ensuring that the workforce needs of the region's employers are met and that the workforce system is properly preparing the region's job seekers for the real job opportunities that are present in the region.

## 1. Guiding Principles of Business Services

EKCEP's Business Services are guided by three principles:

- Business services should be solutions-driven. This approach is based on the belief that employers know best what they want and need, and that the best way to develop useful services for them is to listen to them. Because businesses differ, the solutions to their problems will also differ, and the workforce development system must be flexible to respond to these differences. Fixed menus of services and rigid program guidelines are not solutions-driven approaches.
- Business services should be relevant to business needs. The purpose of business services is to serve business' needs. Services must be legal and ethical, but within those limits the services must be developed with the needs of the businesses foremost in mind.
- Business services should be delivered in a timely manner. If the workforce development system is to help solve business problems and be relevant to actual business needs, it must operate at the "speed of business." Employers with workforce problems simply want to know if they can get help when they need it, not later.

## 2. Functions of Business Services

The aforementioned guiding principles of EKCEP's Business Services ensure that our collaborative activities with business and industry and partners in our Local Workforce Development Area are focused on meaningful employer engagement services and activities that center on outcomes (i.e. jobs, experiences with clients leading to jobs, etc.), not just the effort leading to those outcomes. These include but are not limited to: Job Fairs (leading to job placements), On the Job Training, Internships, Work Experience, Apprenticeships, and Customized Training.

## Role of Business Services

- Working directly with local employers to identify specific workforce development needs. BSR's should be in touch regularly with as many employers as possible within their assigned service area in order to be aware of each employer's current job openings, expansion or contraction plans, facilities and equipment upgrades, new product lines, and other aspects of their business that might affect their workforce needs.

- Working with local business groups (e.g., Chambers of Commerce, Society of Human Resources Managers [SHRM], etc.) to identify employer needs, raise awareness of EKCEP's business services programs, and develop relationships that can help promote EKCEP's workforce development activities.
- Assisting local employers in obtaining qualified employees, including informing local employers about available qualified job candidates, options for training previously unqualified job seekers, on-the-job training opportunities, assistance available for human-resources tasks, and other ways to address their workforce issues.
- Working and communicating regularly with workforce development counterparts of the Career Development Office, higher education, local economic development agencies, and other organizations to remain abreast of what they have learned about employers' workforce development needs in the region. Staff across all of EKCEP's workforce contractor network should explore opportunities to partner with any of these organizations in any ways to meet employers' workforce development and training needs.
- Working with training providers to help them develop training programs that meet the skills needs of local employers and job seekers, and that meet EKCEP's training goals.
- Overseeing the initiation and implementation of employer-based training programs supported by EKCEP WIOA funds, including On-the-Job Training, Customized Training, Work Experience, Apprenticeships, Internships, and Incumbent Worker Training programs.
- Ensuring ongoing communication between EKCEP staff, WIOA Career Advisors, and the job seekers they serve about local employer needs, job opportunities, required qualifications/training, application and hiring procedures, and other specific factors relating to obtaining local employment.
- Working collaboratively to implement employer services programs that involve multiple service areas (i.e., across workforce contractor areas or Local Workforce Development Areas).
- Working collaboratively to ensure meaningful employer engagement services and outcomes are recorded in an ongoing, appropriate, and timely manner for both EKCEP and the Commonwealth of Kentucky's data tracking needs using EKCEP's platform of documentation provided by the state Department for Workforce Investment. This also involves monthly touchpoint contacts and/or visits by EKCEP staff and Business Services Coordinators with workforce contractors staff across the region that ensure all employer-facing processes are being executed, and more importantly, that employer engagement activity is

pursued with a borderless mindset and with maximum collaboration across areas to best meet employer needs in a time of extended and ongoing economic transition.

### **3. Employer Engagement and Business Services Partnerships**

Business Services Coordinators will maximize their effectiveness by building and maintaining good working relationships with workforce development staff and partners of the other workforce development, education and training, and economic development agencies that serve EKCEP's region.

By developing mutual understanding of each other's' missions and shared goals, all workforce development staff of each agency should be able to freely share information about employers' needs, allowing each to be more efficient and effective in meeting those needs. The sharing of information and goals will also create natural opportunities for agencies to partner to provide solutions for employers.

### **4. Eastern Kentucky Regional Business and Employer Services Team (BEST)**

As staff to the Eastern Kentucky WIB, EKCEP leads the regional Business and Employer Services Teams (BEST) in Eastern Kentucky in what currently are quarterly hybrid meetings. This team includes a consortia of workforce agencies and contractors, higher education institutions, human resources managers, community and economic development organizations, and other groups that all serve the region's employers. Through these teams, the organizations can share opportunities and best practices and research solutions and develop plans to address business challenges. EKCEP's Business Services Coordinators serve as the facilitators and conveners of these quarterly team encounters.

## **Section Three: Service Policies and Procedures**

### **A. Basic Services**

Basic services are designed to inform and educate clients about the labor market, their employment strengths and weaknesses, and the range of services appropriate to their situation. Because these are considered to be informational in nature, Basic Career Services are available to all clients seeking services and do not require the eligibility documentation for Adults and Dislocated Workers.

Description of Basic Services:

- Providing information on the full menu of WIOA services.
- Conducting and discussing initial assessments with clients. Example: Career Coach.
- Providing job search assistance. Examples: Career Coach, Focus, Citizen Connect, Hot Jobs.
- Providing and discussing Labor Market Information. Examples: Career Coach, O\*NET.
- Providing information and making referrals to partner agencies. This information should include types of services, location and contact information, and assisting the client with creating an appointment when necessary. Examples include: Skills U Adult Education, Vocational Rehabilitation, Office of the Blind, etc.
- Providing information on training providers.
- Basic resume assistance through Career Coach. This includes providing the client with the fundamental information for resume development and assisting the client in navigating the Resume Builder section of Career Coach.
- Workshop attendance

Basic Services eligibility verification can be determined in KEE-Suite utilizing Quick Registration and/or Full Registration.

- Quick Registration allows staff to create a customer profile in KEE-Suite but does not enroll the client as a WIOA participant for performance metrics. The Customer Information Sheet may be used if access to KEE-Suite is unavailable.
- Full Registration allows staff to enroll the client as a Wagner-Peyser and WIOA participant for performance metrics in KEE-Suite. The Pre-Application for WIOA Services may be used if access to KEE-Suite is unavailable. WIOA clients will need at a minimum, an IEP, assessment, and staff assisted activity to count towards performance.

## **B. Individualized Services**

Individualized Career Services are in-depth WIOA staff assisted services. These services are made available if deemed appropriate and necessary for a client to obtain and retain employment. These services may include providing financial assistance to a client. Because Individualized Career Services may only be provided to clients who are WIOA eligible, all WIOA eligibility documentation must be completed before these services are provided.

Description of Individualized Services:

- Conducting and discussing comprehensive and specialized assessments.
- Developing an Individual Employment Plan (IEP). This plan needs to be a living document that is updated when necessary and is an overall reflection of how the client is moving through the WIOA services process.
- On-going and in-depth career advising.
- Specialized resume writing. Providing clients with employer-targeted resumes designed and created by Career Advisors utilizing templates.
- Interview preparation skills and coaching. This may be in-depth guidance with the client that includes mock interviewing and practice sessions to assist the client in overcoming any barriers faced during the interview process.
- Paid Services may be offered, when deemed necessary (from career advising, assessments, evaluations, etc.), to help a client obtain or retain employment. These paid services may include:
  - Work Experience
  - Internships
  - On-the-Job Training (OJT)
  - Incumbent Worker Training
  - Customized Training
  - Individual Training Accounts
  - Non-Individual Training Accounts
  - Supportive Services
  - Needs-Based Payments
  - Relocation Assistance

## **C. Eligibility for Individualized Services**

### **1. Adult Eligibility Requirements**

The eligibility requirements that a person must meet to qualify for WIOA assistance as an Adult client are listed below. The client:

- Must be age 18 or older.

- Must provide and document the information proving eligibility as an Adult within KEE-Suite.
- Must be unemployed or under-employed. An under-employed worker is defined as:

— A worker who is working for \$19.00 per hour or less.

OR

— A worker who is working for more than \$19.00 per hour but has a documented family income that does not exceed the limits shown in the current program year's Minimum Income Levels for Self-Sufficiency table.

- Must be unable to obtain employment or, if already employed, unable to retain or obtain employment leading to a self-sufficient wage without WIOA assistance.

**Priority of Service** — To receive Adult services, a client must first meet all the qualifying requirements of those specific training programs or services. The qualifying requirements may include but are not limited to test scores, assessment criteria, or other established prerequisites or entrance criteria set by employers or training institutions. Of the clients who meet the qualifying requirements, priority shall be given to Adult clients who are recipients of public assistance, other low-income clients, and clients who are basic skills deficient. At a minimum, 50% of the contractor's Adult case load should be those covered under Priority of Service.

## 2. Dislocated Worker Eligibility Requirements

The eligibility requirements that a person must meet to qualify for WIOA assistance as a Dislocated Worker client are listed below. The client:

- Must be age 18 or older.
- Must be unable to return to previous employment or obtain new employment without WIOA assistance.
- Must provide and document the information proving eligibility as a Dislocated Worker within KEE-Suite.

Individuals who have met the Dislocated Worker eligibility requirements and are determined to be underemployed as a result of taking a job after being dislocated, whether prior to or during enrollment in the Dislocated Worker program, may still be considered eligible to receive services under the Dislocated Worker program if one or more of the following conditions apply:

- The individual is seeking full-time employment but is currently employed less than full-time.



- The individual's current employment is inadequate or incommensurate with respect to their skills and training.
- The individual's earnings from his/her current job (hourly wage or salary) are less than 80% of his/her previous earnings in the job from which they were dislocated.
- The individual meets the definition of a low-income individual in WIOA sec. 3(36).

For any additional WIOA grants awarded, eligibility will be announced with the award, as each grant carries its own eligibility criteria.

#### **D. Client Assessments/Tool Tests**

Career assessments are an integral part of career advising and should be done with **all** clients seeking WIOA Individualized services. All clients can benefit from participation in career assessment activities, including assessments of prior work experience, employability, interests, and aptitudes. Multiple assessment tools may be necessary to assist the client understand how a variety of their personal attributes effect their potential success and satisfaction with different career options and work environments.

##### **Informal Client Assessments/Tool Tests**

Career Advisors will work with the client to identify information related to the client, including his/her education background, employment history, family information, income information, and potential barriers to employment. This informal client assessment will allow the Career Advisor to have a better understanding of the client's background, current situation, and future employment goals. After these informal client assessments, Career Advisors must begin formal client assessments for any client entering into individualized services, in order to help determine the client's interests, skills, and aptitudes in relation to specific occupations and industries.

##### **Formal Client Assessments/Tool Tests**

EKCEP currently utilizes five formal client assessments: Career Coach, Career Scope, Barriers to Employment Success Inventory (BESI), Job Search Knowledge Scale, and Transferrable Skills Scale. This assessment list is not exhaustive. Additional assessments may be utilized based upon client or training needs. A description of each assessment and its uses appears below:

- **Career Scope** is a career interest inventory and aptitude assessment. Career Scope is an in-depth assessment that takes up to 60 minutes and evaluates the client's interests in relation to the United States Department of Labor's interest areas and measures the client's aptitudes in general learning ability, verbal aptitude, numerical aptitude, spatial aptitude, form perception, and clerical perception. The

assessment results provide career recommendations based upon the overlap of the client's high interest and high aptitude areas. The Career Scope assessment is a requirement for any client interested in a training service. Career Scope is an online assessment and a copy of the results must be printed out and uploaded into KEE-Suite. Career Scope may only be used as an Individualized Career Service.

- **Barriers to Employment Success Inventory (BESI)** is designed to help identify obstacles that may keep the client from being successful in employment and training opportunities. The assessment identifies barriers within the following categories: personal/financial, emotional/physical, career decision making/planning, job seeking knowledge, and training/education. The assessment provides suggested action steps to overcome the identified barriers that, if determined appropriate, will become part of the client's Individual Employment Plan (IEP). The Barriers to Employment Success Inventory is a paper assessment and a copy must be uploaded into KEE-Suite. Barriers to Employment Success Inventory may only be used as an Individualized Career Service.
- **Job Search Knowledge Scale** is used to determine the client's level of understanding relative to finding employment in today's job market. It can identify action steps and/or advice for the client on the most effective job searching methods. Typically, this assessment should be administered before the client begins job searching activities. Working with the client, the Career Advisor will create action steps and job searching goals based on a preliminary search of job leads, applications, resumes, cover letters, interviews and follow-up with employers. The Job Search Knowledge Scale is a paper assessment and a copy must be uploaded into KEE-Suite. Job Search Knowledge Scale may only be used as an Individualized Career Service.
- **Transferable Skills Scale** should be administered to a long-term unemployed or dislocated worker who has some work experience or prior job history. The assessment identifies current transferable skills the client may possess in a variety of areas. This assessment will help the Career Advisor build upon the previous work experience of the client, while addressing skills gaps that might exist. Additionally, results from the Transferable Skills Scale will provide the client with a better sense of the strengths the client can offer an employer. Transferable Skills Scale is a paper assessment and a copy must be uploaded into KEE-Suite. Transferable Skills Scale may only be used as an Individualized Career Service.

**Career Advisor Responsibilities** — When a Career Advisor administers a client assessment, the Career Advisor must:

1. Ensure that for those assessments that are deemed Basic Career Services in nature, the client has completed Full Registration in KEE-Suite. For assessments that are determined to be Individualized Career Services, the client has completed full eligibility enrollment in KEE-Suite.

2. Facilitate all the necessary informal and formal assessments needed for the client and advisor to develop an Individual Employment Plan. The results of these assessments and analyses should determine whether the client:
  - Already has marketable skills — without additional training — for an occupation that will provide a self-sufficient wage and for which there are job openings.

OR

  - Needs additional training and/or skills development that would be best provided through:
    - Work Experience.
    - Internship.
    - On-the-Job Training.
    - Incumbent Worker Training.
    - Customized Training.
    - ITA training.
    - Non-ITA training.
3. Document the administration of the assessment utilizing the Assessment/Tool Tests section in KEE-Suite.
4. Enter an activity in KEE-Suite.
5. Document the assessment results in the Individual Employment Plan, case notes, and a copy of the assessment must be uploaded into KEE-Suite.

### **E. Individual Employment Plan**

The Individual Employment Plan (IEP) provides an evaluation of the client's education level, basic skills, occupational skills, prior work experience, employability, interests, aptitudes, supportive service needs, and developmental needs and documents the steps to be taken to achieve his/her employment goals. The creation of a client's IEP begins with his/her first in-depth career advising session. At each subsequent career advising appointment, the IEP is updated to reflect the client's ongoing progress, achievements, and future goals.

**An Individual Employment Plan must be created for all clients who receive Individualized Career Services**, regardless of whether the client will need training or any other WIOA paid service.

The client must work with his/her Career Advisor to develop an Individual Employment Plan that is based on:

- The results of the client's surveys, tests, assessments, and interviews.
- A realistic understanding of the opportunities available in the current labor market.

The Individual Employment Plan must clearly identify the client's employment goals and any barriers to employment faced by the client. The IEP is used to determine what WIOA activities the client will need in order to achieve gainful employment. The IEP must consider the client's strengths rather than just focusing on areas that need improvement.

The IEP is a living document that will be updated when necessary in order to provide a comprehensive view of how the client is moving through the WIOA services process toward his/her employment goals. The Individual Employment Plan is constructed within the IEP Tab in KEE-Suite. All information in the IEP is required, must be clearly answered, and must be complete.

**Career Advisor Responsibilities** — When a Career Advisor develops an Individual Employment Plan, the Career Advisor must:

1. Ensure that the client is eligible for WIOA services.
2. Facilitate all the necessary assessments, diagnostic testing, analysis of the labor market, and interviews needed for the client and advisor to develop an Individual Employment Plan. The results of these assessments and analyses should determine whether the client:

- Already has marketable skills — without additional training — for an occupation that will provide a self-sufficient wage and for which there are job openings.

OR

- Needs additional training and/or skills development that would be best provided through:
  - Work Experience.
  - Internship.
  - On-the-Job Training.
  - Incumbent Worker Training.
  - Customized Training.
  - ITA training.
  - Non-ITA training.

3. Guide the client through executing each of the steps in his/her Individual Employment Plan, including providing support and encouragement, helping identify additional resources that can support his/her efforts, and helping make decisions if circumstances change during the Individual Employment Plan.
4. Enter an activity in KEE-Suite.
5. Document the creation of or updating of the Individual Employment Plan in KEE-Suite and case notes.

## **F. Paid Services**

### **1. Work Experience**

Work Experience is a service that provides WIOA clients the opportunity to learn basic work skills and workplace behaviors through a subsidized work placement with an employer. A Work Experience placement is a planned, structured learning experience that occurs in a real working environment. In addition to the opportunity to earn wages while learning valuable skills, this service also provides a client with an opportunity to connect with an employer in the community — an opportunity which can result in unsubsidized employment for the client after the Work Experience placement ends.

In a Work Experience placement, the WIOA program — usually represented by either the contractor or EKCEP — is the employer of record.

It is appropriate to enroll a client into Work Experience when any of these factors apply to the client:

- Has little or no work history.
- Needs workplace experience to compete effectively for employment.
- Can use the Work Experience placement to get hands-on experience and develop general workplace skills or skills relating to a career of interest.
- Can build a relationship with and/or demonstrate abilities and work ethic to an employer who is hiring or may be hiring in the near future.

**Limits** —A client's Work Experience placement may be with one employer or with multiple employers. The total hours will be determined on a contract by contract basis, based on such criteria as the type of work being performed and the skills to be learned.

Labor standards apply to Work Experience placements because an employee/employer relationship exists, as defined by the federal Fair Labor Standards Act.

### **Qualifying Prerequisites –**

The client must:

- Be determined eligible for WIOA assistance.
- Have completed assessments to show a correlation between the client's skills and interests and the Work Experience.

The Career Advisor must:

- Prove and document the client's need to train, according to state policy, within case notes.
- Complete an Individual Employment Plan with the help of the client.
- Ensure that an EKCEP Worksite Agreement between the contractor and the

employer for the Work Experience placement has been properly executed.

- Ensure that the appropriate Work Experience service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a client into Work Experience, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate Work Experience service in KEE-Suite.
3. Enter a case note into KEE-Suite identifying specific employment-related learning opportunities and other reasons for enrolling the client into Work Experience. (For example case notes, see Case Notes policy.)
4. Verify with the Work Experience provider that the client is attending the work-based learning. Enter a case note recording this verification.
5. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to Work Experience.

**After Enrollment Procedure** – After a client is enrolled into a Work Experience, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through the work-based learning. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs become evident.
- Work to facilitate job placement activities as the client nears completion of his/her work-based learning.

**Completion Procedure** – After a client has completed Work Experience, the Career Advisor must:

1. Complete the client from Work Experience in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Obtain a copy of any credential(s) earned by the client and upload into KEE-Suite.
3. Enter a case note into KEE-Suite that:
  - States that the client has completed Work Experience.
  - Records the credential(s) earned.
  - Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

4. Review the client's Individual Employment Plan and identify next steps.
5. Begin facilitating job placement activities for the client.



## 2. Internship

Internship is a service that provides WIOA clients the opportunity to learn specific industry work skills through a subsidized work placement with an employer. An Internship placement is a planned, structured learning experience that occurs in a real working environment. In addition to the opportunity to earn wages while learning valuable occupational skills, this service also provides a client with an opportunity to connect with an employer in the community — an opportunity which can result in unsubsidized employment for the client after the Internship placement ends.

In an Internship placement, the WIOA program — usually represented by either the contractor or EKCEP — is the employer of record.

It is appropriate to enroll a client into an Internship when any of these factors apply to the client:

- Has little or no work history in the specific industry for the employer of the Internship.
- Needs an Internship to gain occupational skills to compete effectively for employment.
- Can use the Internship placement to get hands-on experience and develop specific occupational workplace skills relating to a career of interest.
- Can build a relationship with and/or demonstrate abilities and work ethic to an employer who is hiring or may be hiring in the near future.

Because its primary purpose is to enable a client to learn specific occupational skills related to the Internship placement, the Internship service is appropriate for Dislocated Workers and Adults with a previous work history in other occupations.

**Limits** — The total hours will be determined on a contract by contract basis, based on such criteria as the type of work being performed and the skills to be learned. Career pathways in key industry sectors and advanced skill development within those sectors will be the basis for approval. A client's Internship placement may be with one employer or with multiple employers.

Labor standards apply to Internship placements because an employee/employer relationship exists, as defined by the federal Fair Labor Standards Act.

### **Qualifying Prerequisites –**

The client must:

- Be determined eligible for WIOA assistance.
- Have completed assessments to show a correlation between the client's skills and interests and the Internship.

The Career Advisor must:

- Prove and document the client's need to train, according to state policy, within case notes.
- Complete an Individual Employment Plan with the help of the client.
- Ensure that an EKCEP Internship Agreement between the contractor and the employer for the Internship placement has been properly executed. Exception: The EKCEP Internship Agreement is not required when a customized contract is developed between the employer and EKCEP, Inc.
- Ensure that the appropriate Internship service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a client into an Internship, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA activities and services.
2. Enter the client into the appropriate Internship service in KEE-Suite.
3. Enter a case note into KEE-Suite identifying specific occupation-related learning opportunities and other reasons for enrolling the client into the Internship.
4. Verify with the Internship provider that the client is attending the work-based learning. Enter a case note recording this verification.
5. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to Internship.

**After Enrollment Procedure** – After a client is enrolled into an Internship, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through the work-based learning. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs become evident.
- Work to facilitate job placement activities as the client nears completion of his/her work-based learning.

**Completion Procedure** – After a client has completed the Internship, the Career Advisor must:

1. Complete the client from the Internship in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Obtain a copy of any credential(s) earned by the client and upload into KEE-Suite.

3. Enter a case note into KEE-Suite that:
  - States that the client has completed the Internship.
  - Records the credential(s) earned.
  - Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

4. Review the client's Individual Employment Plan and identify next steps.
5. Begin facilitating job placement activities for the client.

### 3. On-The-Job Training (OJT)

On-the-Job training (OJT) is skills training provided to an employee by an employer while the employee is engaged in productive work.

OJT is provided under a contract with an employer in the public, non-profit, or private sectors. Under an OJT contract, the employer provides occupational training for a WIOA client who is their employee in exchange for the reimbursement of an agreed-upon percentage of the client's wages by WIOA. The wage reimbursement compensates the employer for the extraordinary costs of training and the additional supervision needed during the training process. OJT contracts are developed by an EKCEP Industry Liaison in coordination with the Career Advisor(s).

When appropriate and endorsed by the employer, OJT can be linked to Work Experience or to classroom trainings like Skills U Adult Education, literacy, Work SENSE training, and job retention skills.

**Limits** — The duration of an OJT training period is limited to the time required for the client to become proficient in the occupation for which he/she is training. In determining the appropriate length of the training period, consideration will be given to the skill requirements of the occupation and the client's academic and occupational skill level, prior work experience, and Individual Employment Plan. The Occupational Information Network (O\*NET) contains average training lengths for occupations and may be used as a guide in making this determination.

The limit on wages paid during the training period will be specified in each contract. Wages must be appropriate and customary for a trainee in the job(s) covered by the contract.

#### Qualifying Prerequisites –

The Employer must:

- Pay a wage of at least **\$10.00** per hour for the job(s) for which OJT will be provided.
- Be located within EKCEP's 23-county service area or be providing training to a client who resides within this area. (Employers within EKCEP's 23-county service area will be given priority.)
- Be doing business in a sector that EKCEP has identified as a sector of emphasis for occupational training. These sectors include: healthcare; skilled trades; manufacturing; business services including information technology; and energy creation and transmission.

NOTE: OJT may also be provided in other expanding or emerging industries or occupational areas when it is in the best interest of economic

development and regional economic growth. These decisions may be made on a case-by-case basis by EKCEP under the direction of the Eastern Kentucky Workforce Innovation Board.

- Be training employees whose positions represent an expansion or extension of their workforce, not routine turnover.
- The maximum wage EKCEP will use as a basis for OJT reimbursement is \$19.25 per hour, due to the state wage cap. The employer may choose to pay the trainee a higher wage. However, the employer is responsible for 100 percent of the wages above \$19.25 per hour; no portion of wages above \$19.25 per hour will be reimbursed by EKCEP for an OJT.
- The employer is not eligible for OJT funds if the company has relocated within the last 120 days from another location that resulted in the loss of jobs.
- The employer cannot use OJT funded trainees to replace employees laid off within six months prior to the date of the OJT application.
- The employer may select a previous employee for OJT, but the position must be different from the one that the employee previously held at the company.

The client must:

- Be determined eligible for WIOA assistance.
- Have been chosen for training by an employer who is providing OJT under a completed agreement with EKCEP.
- Have completed assessments that show a correlation between the client's skills and interests and the On-the-Job Training.

The Career Advisor must:

- Prove and document the client's need to train, according to state policy, within case notes.
- Complete an Individual Employment Plan with the help of the client.
- Ensure that the client has completed any required Work SENSE training, if required on the contract. If the client has not completed the Work SENSE training, the Career Advisor should arrange that training for the client and record the results when the training is complete (in both case notes and uploaded to KEE-Suite).
- Ensure that an EKCEP On-the-Job Training Contract between the contractor and the employer has been properly executed.
- Ensure that the appropriate OJT service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a person into On-the-Job Training, a Career Advisor should:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate OJT service in KEE-Suite.
3. Enter a case note into KEE-Suite identifying specific occupation-related

- learning opportunities and other reasons for enrolling the client into the OJT.
4. Verify with the OJT provider that the client is attending the work-based learning. Enter a case note recording this verification.
  5. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to OJT.

**After Enrollment Procedure** – After a client is enrolled into an OJT, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through the work-based learning. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs become evident.

**Completion Procedure** – After a client has completed the OJT, the Career Advisor must:

1. Complete the client from the OJT in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Obtain a copy of any credential(s) earned by the client and upload into KEE-Suite.
3. Enter a case note into KEE-Suite that:
  - States that the client has completed the OJT.
  - Records the credential(s) earned.
  - Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

4. Review the client's Individual Employment Plan and identify next steps.
5. Begin facilitating job placement activities for the client, if necessary.

#### 4. Incumbent Worker Training

Incumbent Worker Training is provided to a current employee to meet the needs of an employer or group of employers to retain a skilled workforce or avert layoffs.

Incumbent Worker Training is provided under a contract, in conjunction with an employer in the public, non-profit, or private sectors. The Incumbent Worker Training contract allows for WIOA funds to help compensate an agreed upon portion of the extraordinary costs of training and the additional supervision needed during the training process. Incumbent Worker contracts are developed by an EKCEP Industry Liaison in coordination with the Career Advisor(s).

When appropriate and endorsed by the employer, Incumbent Worker Training can be linked to classroom training.

**Limits** — The duration of an Incumbent Worker Training period is limited to the time required for the client to become proficient in the occupation for which he/she is training. In determining the appropriate length of the training period, consideration will be given to the skill requirements of the occupation and the client's academic and occupational skill level, prior work experience, and Individual Employment Plan. The Occupational Information Network (O\*NET) contains average training lengths for occupations and may be used as a guide in making this determination.

The limit on the amount paid during the training period will be specified in each contract. Costs must be appropriate and customary for a trainee in the job(s) covered by the contract.

#### Qualifying Prerequisites –

The Employer must:

- Pay a wage of at least \$14 per hour for the job(s) for which Incumbent Worker Training will be provided.
- Be located within EKCEP's 23-county service area or be providing training to a client who resides within this area. (Employers within EKCEP's 23-county service area will be given priority.)
- Be doing business in a sector that EKCEP has identified as a sector of emphasis for occupational training. These sectors include: healthcare; skilled trades; manufacturing; business services including information technology; and energy creation and transmission.

NOTE: Incumbent Worker Training may also be provided in other expanding or emerging industries or occupational areas when it is in the best interest of economic development and regional economic growth. These

decisions may be made on a case-by-case basis by EKCEP under the direction of the Eastern Kentucky Workforce Innovation Board.

- Be training employees whose positions represent an expansion or extension of their workforce, not routine turnover.

The client must:

- Be determined eligible for WIOA assistance.
- An established employment history with the employer for six months or more, except in cases where one or more clients who have been employed for less than six months are part of a cohort of Incumbent Worker Training employees in which the majority of the cohort meets the six-month employment history requirement.
- Meet the Fair Labor Standards Act requirements for an employer-employee relationship.
- Been chosen for training by an employer who is providing Incumbent Worker training under a completed agreement with EKCEP.

The Career Advisor must:

- Prove and document the client's need to train, according to state policy, within case notes.
- Complete an Individual Employment Plan with the help of the client.
- Ensure that an EKCEP Incumbent Worker Training Contract between the contractor and the employer has been properly executed.
- Ensure that the appropriate Incumbent Worker service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a person into Incumbent Worker Training, a Career Advisor should:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate Incumbent Worker service in KEE-Suite.
3. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to Incumbent Worker Training.
4. Verify with the IWT provider that the client is attending the work-based learning. Enter a case note recording this verification.
5. Enter a case note describing the placement into Incumbent Worker Training into the client's record in KEE-Suite. Due to the nature of the Incumbent Worker contracts, the client has been assessed by the employer and determined to be in need of the Incumbent Worker Training, after which the employer and EKCEP (and/or its contractor) have entered into the Incumbent Worker Training contract. Case notes must state that these assessments are in lieu of normal WIOA training assessments and Individual Employment Plan requirements.



**After Enrollment Procedure** – After a client is enrolled into an IWT, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through training. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs become evident.

**Completion Procedure** – After a client has completed training the Career Advisor must:

1. Complete the client from IWT in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Obtain a copy of any credential(s) earned by the client and upload into KEE-Suite.
3. Enter a case note into KEE-Suite that:
  - States that the client has completed training.
  - Records the credential(s) earned.
  - Records the date the credential was awarded.(For example case notes, see Case Note policy.)
4. Review the client's Individual Employment Plan and identify next steps.

## 5. Customized Training (CT)

Customized Training (CT) is occupational training that is developed to meet the specific needs of an employer or group of employers

CT is provided under a contract with the employer or group of employers in the public, non-profit, or private sectors. An EKCEP Industry Liaison develops the CT contract with the employer(s) and training provider(s) in coordination with Career Advisor(s). The contract establishes the curriculum for the CT.

The employer must pay a minimum of 25 percent of the cost of CT. The calculation of the cost of providing the training may include:

- Base wages or salaries paid to employees during the training period.
- Per diems paid to employees if training is provided away from the employer's work site or home area. Per diems will be limited to federally approved rates.
- Allowable, reimbursable travel expenses paid by the employer to transport the employee to the training.
- Tuition and fees at the standard rates which are charged to all those who receive the training.
- Books and supplies required for the training.
- Wages of the trainer.
- Facility costs.

CT requires that the participating employer(s):

- Commit to hire the clients who complete the training, in cases where applicants for new positions will be trained.

OR

- Commit to continue to employ the clients who complete the training, in cases where underemployed current workers will be trained.

CT may involve a varieties of partners and may include a variety of training methods including apprenticeships.

### Qualifying Prerequisites –

The Employer must:

- Pay a wage of at least **\$10.00** per hour for the job(s) for which CT will be provided.
- Be located within EKCEP's 23-county service area or be providing training to a client who resides within this area. (Employers within EKCEP's 23-county

service area will be given priority.)

- Be doing business in a sector that EKCEP has identified as a sector of emphasis for occupational training. These sectors include: healthcare; skilled trades; manufacturing; business services including information technology; and energy creation and transmission.

NOTE: CT may also be provided in other expanding or emerging industries or occupational areas when it is in the best interest of economic development and regional economic growth. These decisions may be made on a case-by-case basis by EKCEP under the direction of the Eastern Kentucky Workforce Innovation Board.

- Be training employees whose positions represent an expansion or extension of their workforce, not routine turnover.
- The maximum wage EKCEP will use as a basis for CT reimbursement is \$19.25 per hour, due to the state wage cap. The employer may choose to pay the trainee a higher wage. However, the employer is responsible for 100 percent of the wages above \$19.25 per hour; no portion of wages above \$19.25 per hour will be reimbursed by the CT.
- The employer is not eligible for CT funds if the company has relocated within the last 120 days from another location that resulted in the loss of jobs.
- The employer cannot use CT funded trainees to replace employees laid off within six months prior to the date of the CT application.
- The employer may choose to re-hire a previous employee for CT, but the position must be different from the one that was previously held at the company by that employee.

The client must:

- Be determined eligible for WIOA assistance.
- Have completed assessments to show a correlation between the client's skills and interests and the CT.
- Have a relationship with the employer who is providing Customized Training in which the client has been chosen to be hired by the employer upon completion of the CT or is an underemployed current employee of the employer, who has made a commitment to retain the client upon successful completion of the CT.

The Career Advisor must:

- Prove and document the client's need to train, according to state policy, within case notes.
- Complete an Individual Employment Plan with the help of the client.

- Ensure that an EKCEP Customized Training Contract between the contractor and the employer for the CT placement has been properly executed.
- Ensure that the appropriate Customized Training service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a client into Customized Training, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate Customized Training service in KEE-Suite.
3. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to Customized Training.
4. Verify with the Customized Training provider that the client is attending the training. Enter a case note recording this verification.
5. Enter a case note describing the placement into Customized Training into the client's record in KEE-Suite.

**After Enrollment Procedure** – After a client is enrolled into a CT, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through training and any job placement activities while in training. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs (e.g., referring to tutoring) become evident.
- Work to facilitate job placement activities as the client nears completion of his/her training.

**Completion Procedure** – After a client has completed training the Career Advisor must:

1. Complete the client from training in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Obtain a report of the client's final grades and upload into KEE-Suite, if applicable.
3. Obtain a copy of any credential(s) earned by the client and upload into KEE-Suite.
4. Enter a case note into KEE-Suite that:

- States that the client has completed training.
- Records the client's final grades, if applicable.
- Records the credential(s) earned.
- Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

5. Review the client's Individual Employment Plan and identify next steps.
6. Begin facilitating job placement activities for the client, if necessary.

## 6. Individual Training Account (ITA)

An Individual Training Account (ITA) is a payment agreement established on behalf of a client with a training provider. WIOA funds for an ITA can only be used to pay for training programs that are listed on Kentucky's Eligible Training Provider List (ETPL). Trainings must also fall within a sector that EKCEP has identified as a sector of emphasis for occupational training. These sectors include: healthcare; skilled trades; manufacturing; business services including information technology; and energy creation and transmission.

NOTE: ITAs may also be provided in other expanding or emerging industries or occupational areas when it is in the best interest of economic development and regional economic growth. These decisions may be made on a case-by-case basis by EKCEP under the direction of the Eastern Kentucky Workforce Innovation Board.

**Financial Aid Coordination** — All clients seeking an ITA for training that will be provided by an institution that is approved to administer Title IV funds under the Higher Education Act (HEA) must apply for financial aid. The amounts of WIOA funding to be allocated will take into account all other state and federal financial assistance that is available to the client.

The client should apply for financial aid as soon as possible. The Career Advisor should help the client complete the necessary application(s) for financial aid and/or refer the client to the training provider's financial aid office.

NOTE: WIOA funds are not to be included as "other income" on any financial aid application. WIOA funds are considered a resource only after financial aid eligibility is established.

**WIOA Application for Financial Assistance (WAFA)** — The WAFA is used to determine:

- If the client is in need of WIOA financial assistance.
- How the WIOA financial assistance, if needed, will be coordinated with other state and federal financial assistance.

The WAFA establishes the cost of attendance (COA) and the amount of financial need (if any) that remains after other state and federal financial assistance is considered. WIOA funds are used to meet only the portion of the remaining need that consists of direct training costs (i.e., tuition and fees). WIOA funds are not used to pay the other estimated associated costs of attendance, including books or supportive services such as transportation, meals, or childcare.

WIOA funds are a supplement to other sources of financial aid, excluding loans.

ITA costs are paid through a voucher system. A voucher will be issued after the need for assistance is established by completing the Wafa and the resources that will be used to meet the COA are identified. If the available assistance through WIOA, Pell, and other resources will not cover the total COA, the client must show how he/she will meet the remaining balance of the COA before a WIOA voucher will be issued. The Career Advisor should document in case notes how the client will meet the remaining balance of the COA. If the client cannot demonstrate how the entire COA will be paid, a WIOA voucher will not be issued.

Vouchers are generally written for a single term or semester. However, a voucher may be written for an entire training program if that program is not divided into terms or semesters. A completed copy of the electronic Wafa and Wafa voucher must be uploaded in KEE-Suite.

**Limits for Financial Assistance** — The limit for maximum financial assistance through an ITA is \$7,000.

The Wafa limits ITA funding to:

- \$2,000 per semester for full-time students.
- \$1,000 per semester for part-time students.
- \$1,000 per summer term.

Although there is no time limit for completing ITA training, it is expected that the approved training will be completed by the time the limit for WIOA financial assistance is reached.

**Eligible Training** — Training paid for through an ITA must be:

- In a career sector that EKCEP has identified as a sector of emphasis for occupational training. EKCEP may identify other sectors of emphasis by memo to meet changing conditions within the region.
- Provided by an eligible training provider approved by EKCEP.
- Provided by a training provider listed on Kentucky's Eligible Training Provider List (ETPL).

**Client Selection Procedures for ITAs: WIOA Adults** — The Workforce Investment Act requires that local workforce areas give priority to recipients of public assistance and low-income clients when selecting qualified adults into training. Veterans must also be given priority.

Program operators and Career Advisors must provide documentation that their client-selection process for ITAs gives priority to these groups in the following order of priority:

### **Order of Priority**

1st Priority: Veterans and/or eligible spouses who are public assistance recipients or low-income clients who also meet existing ITA eligibility requirements.

2nd Priority: Nonveterans who are public assistance recipients or low-income clients who also meet existing ITA eligibility requirements.

3rd Priority: Veterans and/or eligible spouses who meet existing ITA eligibility requirements.

4th Priority: Nonveterans who meet existing ITA eligibility requirements.

In order to adhere to this policy, Career Advisors are required to keep a complete record of the qualified Adult clients who were being considered for ITAs at the time of each selection process.

NOTE: WIOA regulations state, in accordance with 38 U.S. Code Part 4213, that “any amounts received as military pay or allowance by any person who served on active duty, and certain other specified benefits, must be disregarded when determining if a person is a ‘low-income client’ for eligibility purposes.”

**Client Selection Procedures for ITAs: WIOA Dislocated Workers** — The Workforce Investment Act requires that local workforce areas give priority to veterans when selecting qualified dislocated workers into training.

Program operators and Career Advisors must provide documentation that their client selection process for ITAs gives priority to these groups in the following order of priority:

### **Order of Priority**

1st Priority: Veterans and/or eligible spouses who meet existing ITA eligibility requirements.

2nd Priority: Nonveterans who meet existing ITA eligibility requirements.

In order to adhere to this policy, Career Advisors are required to keep a complete record of the qualified Dislocated Worker clients who were being considered for ITAs at the time of each selection process.

**Changes in Course of Study** — A client may be permitted to change an ITA-



funded course of study if the client has consulted his/her Career Advisor before making the change. Any decision to change a client's course of study should include a careful review of the effect on the client's chosen career path, the financial consequences, and the conditions that will be required for continued WIOA support. The new course of study must also be from the list of eligible training programs.

The Career Advisor must enter case notes and uploaded into KEE-Suite supporting documentation to justify any decision to change a client's course of study. The case notes should document that consideration was given to the financial support that will remain available to the client. (For example case notes, see Case Note policy.) A change in the course of study does not increase ITA funding limits.

**Withdrawal from Classes** — A client may elect to withdraw from or drop a class in accordance with school policy unless the change affects his/her status as a full-time student. If the change does affect the client's status as a full-time student, the client must consult his/her Career Advisor about the possible impact on his/her ITA benefits before making the change. The Career Advisor should ensure that the client understands that the funds spent on tuition for the dropped class(es) will not be replaced and therefore will affect the total tuition benefits available to help him/her complete training.

If a client changes status from full-time to part-time more than once, the Career Advisor may require the client to make up the dropped credit hours without WIOA assistance before the ITA assistance will be resumed. With approval of the Workforce Coordinator, a Career Advisor may choose to make exceptions for clients who have documented extenuating circumstances that caused the withdrawal.

If a client withdraws from or drops a class, the Career Advisor must enter a case note advising why the client withdrew or dropped. (For example case notes, see Case Note policy.)

**Changes in the Eligible Training Provider List (ETPL)** — When a training program is removed from the ETPL or is no longer approved by EKCEP, a client who has already started that training program may continue and complete that program of training as originally approved.

**Academic Readiness** — A client who is seeking an ITA for training that will earn credit toward an educational credential (i.e., diploma, degree, or certificate) must demonstrate that he/she is academically ready for the training before an ITA will be provided. Clients must demonstrate their academic readiness for a specific training as required by the training provider that will exempt them from taking any developmental courses.

Clients who are required to take non-credit developmental courses are not eligible

for an ITA and may be referred to Skills U Adult Education for remedial services and/or considered for other more appropriate services.

Clients seeking an ITA in programs that do not require entrance exams and non-credit developmental classes may demonstrate their academic readiness for training by:

- Having a high school diploma or GED.
- Having a TABE score of 9.0 or higher in Reading and Math.
- Holding or earning a Silver National Career Readiness Certificate.
- Completing specific levels of Work SENSE training. The levels that must be completed by each client will be determined by the Career Advisor.

**Academic Performance** — To continue receiving WIOA assistance with the cost of training, a client must maintain:

- A cumulative grade point average (GPA) of 2.0 or above.

OR

- The minimum satisfactory grade level established by a training provider that does not use the 4.0 grading system.

The client must provide his/her Career Advisor with a transcript for each school term (or a summary of progress if attending training with a provider that does not use letter or number grades). The Career Advisor will review the client's cumulative GPA and progress at the end of each grading period prior to issuing a voucher for continuing training.

Clients who lose eligibility because their GPA fell below the 2.0 limit may be reconsidered after they regain the minimum 2.0 GPA. With the approval of the Workforce Coordinator, a Career Advisor may choose to make exceptions for clients whose GPA falls below 2.0 due to extenuating circumstances. The circumstances that led to the exception must be documented in the case notes.

Clients who are required to take non-credit developmental courses after being enrolled in an ITA may continue to receive tuition assistance for all credit bearing classes. Non-credit developmental courses are not eligible for an ITA and must be excluded from calculations when completing a WAFA.

The Career Advisor should ensure that the client understands that the funds spent on tuition for any failed class(es) that require the client to repeat the class(es) will not be replaced and therefore will affect the total tuition benefits available to help him/her complete training.

**Waivers** — Career Advisors or contractors may submit a request to EKCEP for any of the following ITA waivers:

- Sector Restriction Waiver — Career Advisors or contractors may request that a specific client be allowed an ITA to support a program of training for an occupation that is not in a career sector that EKCEP has identified as a sector of emphasis for occupational training, or that is not currently approved by EKCEP, or that may not be listed on the ETPL. This waiver will only be approved in cases in which an employer has provided a written statement indicating that they will hire the client at a self-sufficient wage (or higher) during or after the training.
  
- Tuition Limit Waiver — Career Advisors or contractors may request permission to pay for tuition in excess of the ITA training limitations. The request must include a full description of the extenuating circumstances that justify the waiver. This request will be considered only when the training:
  - Will produce a self-sufficient wage.
  - Is in a career sector that EKCEP has identified as a sector of emphasis.
  
- Academic Readiness Waiver — Career Advisors or contractors may request a waiver of the requirement that a client cannot be eligible for an ITA if he/she requires a developmental class or classes. This waiver will be granted only in cases in which an authorized official from the training institution provides a written statement indicating that the institution will provide the needed developmental classes at no cost to WIOA or the client while the client is enrolled in the program of study.

These waivers must be granted in writing by EKCEP before the start of the training period. A copy of the written approval of a waiver must be uploaded into KEE-Suite. The granting of the waiver should be entered into KEE-Suite in a case note.

## **Qualifying Prerequisites –**

The client must:

- Be determined eligible for WIOA assistance.
- Apply for federal or other financial aid through the school or training provider.  
NOTE: Clients cannot be required to take out loans for school.
- Have received a detailed assessment of his/her employment outlook that takes into account all surveys, testing results, diagnostic assessment tools, and in-depth interviews with his/her Career Advisor.
- Lack the marketable credentials needed for self-sufficient and sustainable employment in the local area. The documented lack of a suitable credential and/or skills must be entered into the client's case notes. (For example case notes, see Case Note policy.)

- Be pursuing training that is in a sector that EKCEP has identified as a sector of emphasis for occupational training OR have received a written waiver from the sector of emphasis requirement.
- Meet the academic readiness level required for the training.
- Be accepted into the program of study and have fulfilled all pre-requisites for that program of study, undergrad degrees not requiring pre-requisites do not apply to this rule.

The Career Advisor must:

- Complete the Training Assessment and clearly answer all the information to document the client's need to train, according to state policy.
- Complete an Individual Employment Plan with the help of the client that is based on:
  - The results of the client's surveys, tests, assessments, and interviews.
  - A realistic understanding of the opportunities available in the current labor market.

This Individual Employment Plan must clearly identify:

- The client's employment goals.
- Any barriers to employment faced by the client.
- Ensure that the appropriate ITA service has been created in KEE-Suite prior to the scheduled start date.
- If training requires Workforce Coordinator approval, training must be approved prior to the start of training.
- Work with the client and the training provider to complete the Wafa prior to the start of training.
- Document the Wafa results by uploading in KEE-Suite (e.g., unofficial transcript, class schedule) and in case notes. (For example case notes, see Case Note policy.)

**Enrollment Procedure** — When enrolling a client into ITA training, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate ITA service in KEE-Suite, indicating the correct course of study, the correct training provider, and the correct funding stream.
3. Verify with the training provider that the client is enrolled and attending the training. Enter a case note recording this verification.
4. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to ITA service.

**After Enrollment Procedure** – After a client is enrolled into an ITA, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through training and any job placement activities while in training. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs (e.g., referring to tutoring) become evident.
- Work to facilitate job placement activities as the client nears completion of his/her training.

**Completion Procedure** – After a client has completed training the Career Advisor must:

1. Complete the client from training in KEE-Suite by verifying that the ITA training end date is correct or enter the end date for the ITA training service.
2. Obtain a report of the client's final grades and upload into KEE-Suite.
3. Obtain a copy of any degree(s), certificate(s), or diploma(s) earned by the client and upload into KEE-Suite.
4. Enter a case note into KEE-Suite that:
  - States that the client has completed training.
  - Records the client's final grades.
  - Records the credential(s) (degree, certificate, or diploma) earned.
  - Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

5. Review the client's Individual Employment Plan and identify next steps.
6. Begin facilitating job placement activities for the client.

## 7. Non-Individual Training Account (Non-ITA)

Non-Individual Training Account (Non-ITA) is a payment agreement established on behalf of a group of clients with a training provider.

Non-ITA is provided under a contract with EKCEP (or its contractor) with a training provider. EKCEP develops the Non-ITA contract with the training provider in coordination with contractor staff. The contract establishes the curriculum for the Non-ITA and must address the minimum level of Work SENSE training that will be required by the contract.

### Qualifying Prerequisites –

The client must:

- Be determined eligible for WIOA assistance.
- Have received a detailed assessment of his/her employment outlook that takes into account all surveys, testing results, diagnostic assessment tools, and in-depth interviews with his/her Career Advisor.
- Lack the marketable credentials needed for self-sufficient and sustainable employment in the local area. The documented lack of a suitable credential and/or skills must be entered into the client's case notes. (For example case notes, see Case Note policy.)
- Be pursuing training that is in a sector that EKCEP has identified as a sector of emphasis for occupational training OR have received a written waiver from the sector of emphasis requirement.
- The client must meet the academic readiness level required for the training.

The Career Advisor must:

- Complete the Training Assessment and clearly answer all the information to document the client's need to train, according to state policy.
- Complete an Individual Employment Plan with the help of the client that is based on:
  - The results of the client's surveys, tests, assessments, and interviews.
  - A realistic understanding of the opportunities available in the current labor market.

This Individual Employment Plan must clearly identify:

- The client's employment goals.
- Any barriers to employment faced by the client.
- Ensure that the appropriate Non-ITA service has been created in KEE-Suite prior to the scheduled start date.
- If training requires Workforce Coordinator approval, training must be approved prior

to the start of training.

- Work with the client and the training provider to complete the WAFAs prior to the start of training.
- Upload the WAFAs results into KEE-Suite (e.g., unofficial transcript, class schedule) and in case notes. (For example case notes, see Case Note policy.)

**Enrollment Procedure** — When enrolling a client into Non-ITA training, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate Non-ITA service in KEE-Suite, indicating the correct course of study, the correct training provider, and the correct funding stream.
3. Verify with the training provider that the client is enrolled and attending the training. Enter a case note recording this verification.
4. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to the Non-ITA service.

**After Enrollment Procedure** – After a client is enrolled into a Non-ITA, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through training and any job placement activities while in training. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs (e.g., referring to tutoring) become evident.
- Work to facilitate job placement activities as the client nears completion of his/her training.

**Completion Procedure** – After a client has completed training the Career Advisor must:

1. Complete the client from training in KEE-Suite by verifying that the Non-ITA training end date is correct or enter the end date for the Non-ITA training service.
2. Obtain a report of the client's final grades and upload into KEE-Suite.
3. Obtain a copy of any degree(s), certificate(s), or diploma(s) earned by the client and upload into KEE-Suite.

4. Enter a case note into KEE-Suite that:

- States that the client has completed training.
- Records the client's final grades.
- Records the credential(s) (degree, certificate, or diploma) earned.
- Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

5. Review the client's Individual Employment Plan and identify next steps.

6. Begin facilitating job placement activities for the client.



## 8. Supportive Services

Supportive Services are services that are necessary to enable a client to participate in WIOA training activities. Supportive Services assistance may also be provided to enable clients to buy items needed for employment. These services may include, but are not limited to:

- Tools
- Boots
- Books and other related school supplies
- Permit and/or License fees
- Uniforms/work clothing
- Meals
- Transportation
- Other items by special request

The payment may be made as an advance before the purchase (with Career Advisor verification) or reimbursement after purchase with a receipt. In either case, the Career Advisor must verify costs and that the item(s) are required for training or employment. The Career Advisor must provide documentation of the costs and the need in case notes and upload into KEE-Suite.

No limit is set for Supportive Services assistance related to training or employment, as contractor budgets allow.

### **Transportation Supportive Services for Clients Enrolled in Training —**

Supportive Services for clients who are enrolled in training will consist of commuting assistance, provided according to the following guidelines:

- Commuting assistance may be paid if the distance to the training site is over 50 miles one way from the client's residence.
- Commuting assistance may be paid in advance or through reimbursement for round-trip travel from the client's residence to the training site for each day of class.
- The Career Advisor will calculate mileage reimbursement based on the current EKCEP rate (which is also the State rate, updated quarterly).
- Payment is limited to \$250 per week for each client in short-term training (6 months or less).
- Payment is limited to \$750 per month for each client in long-term training (over 6 months).
- Clients who are in long-term training may choose to use their payment for hotel lodging or housing while they are in training, rather than to commute on a daily basis. However, the Career Advisor will still calculate the amount of the

reimbursement based on the current EKCEP mileage rate (which is also the State rate, updated quarterly) for each day of class.

**Gas Cards as Supportive Services** — Supportive Services assistance through gas cards may be provided to enrolled clients under these circumstances using the following guidelines:

- The client is enrolled in training, for which he/she travels 50 miles or less one way, and is at risk of dropping out of training due to the expense of travel. (This risk may include the loss of Unemployment Insurance benefits.)

**OR**

- The client has difficulty affording the fuel costs that result from consistent involvement in strategic job search activities. (This difficulty may include the loss of Unemployment Insurance benefits.) To qualify, this client must exhibit motivation, attend career advising appointments, and need gas card assistance to continue submitting job applications and resumes, obtaining job interviews, and attending job fairs. There is no minimum or maximum travel mileage required to receive Supportive Services assistance for job search activities through gas cards.

Each client must be approved for gas card assistance by the appropriate EKCEP Workforce Coordinator on a case-by-case basis. The contractor's gas card log sheet must be completed when the gas card is distributed. The Career Advisor must provide documentation of each client's qualifying circumstances in case notes.

Supportive Services assistance through gas cards is limited to \$350 per client, as contractor budgets allow.

### **Qualifying Prerequisites –**

The client must:

- Be determined eligible for WIOA assistance.
- Have a working relationship with the Career Advisor who has determined a client has a need for Supportive Services.
- Have documented a need for the Supportive Services assistance.

The Career Advisor must:

- Complete an Individual Employment Plan with the help of the client.
- Ensure that proper documentation related to the Supportive Service request uploaded to KEE-Suite.
- If Supportive Services requires Workforce Coordinator approval, it must be approved prior to payment.

- Ensure that the appropriate Supportive Services service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a client into Supportive Services, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate Supportive Services service in KEE-Suite.
3. Enter a case note describing the placement into Supportive Services into the client's record in KEE-Suite. (For example case notes, see Case Note policy)
4. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to Supportive Services.

**After Enrollment Procedure** – After a client is enrolled into a Supportive Services, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress and any job placement activities. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs become evident.

**Completion Procedure** – After a client has completed training the Career Advisor must:

1. Complete the client from Supportive Services in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Obtain a copy of any credential(s) earned by the client and upload into KEE-Suite.
3. Enter a case note into KEE-Suite that:
  - States that the client has completed Supportive Services.
  - Records the credential(s) earned.
  - Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

4. Review the client's Individual Employment Plan and identify next steps.
5. Begin facilitating job placement activities for the client, if necessary.

## 10. Needs-Based Payments

These payments will provide a much-needed service to our clients and help ensure their success in their training programs. All Needs-Based Payment requests must be approved by the appropriate EKCEP Workforce Coordinator.

Clients who meet all the qualifications for Needs-Based Payments may receive Needs-Based Payments **for no more than 52 weeks**.

**Calculation Method** — Needs-Based Payments will be made monthly, but are based on the weekly UI amount the client was receiving before UI benefits were exhausted, if the client received UI benefits.

The maximum amount provided as Needs-Based Payments to any one client (and family) will not exceed the lower amount of:

- \$400 per week.

OR

- The weekly amount of UI that the client was receiving before exhausting UI benefits, if less than \$400 per week.

Clients must provide documentation of previous UI benefits to enable their Career Advisor to determine their appropriate Needs-Based Payment. To calculate the monthly payment amount, use the formula: Weekly UI multiplied by 52 (Weeks), then divided by 12 (Months), equals the Monthly Payment Amount.

$$\underline{(\text{Weekly UI} \times 52)} \div 12 = \underline{\text{Monthly Payment Amount}}$$

For example:    **\$400** (UI per week) X **52** = **\$20,800**  
                         **\$20,800 / 12** (months)    = **\$1,733.33** Monthly Payment

If the amount received prior to benefits being exhausted is less than \$400, use that lower amount in the same formula.

For example:    **\$320** (UI per week) X **52** = **\$16,640**  
                         **\$16,640 / 12** (months)    = **\$1,386.67** Monthly Payment

For clients who did not qualify for UI as a result of a qualifying layoff, the weekly payment may not exceed the poverty level for an equivalent period.

### **Qualifying Prerequisites —**

The client must:

- (a) Be enrolled in a program of training which is directly linked to the employment opportunities in the EKCEP local area or in another area in which the student will be willing to relocate. Trainings must also fall within a sector that EKCEP has identified as a sector of emphasis for occupational training. These sectors include: healthcare; skilled trades; manufacturing; business services including information technology; and energy creation and transmission.

**AND**

- (b) Be enrolled in a program of training services under WIOA Section 134(d)(2) by the end of the 13th week after the most recent lay-off that resulted in the determination of the worker's eligibility as a dislocated worker, or, if later, by the end of the 8th week after the worker is informed that a short-term lay-off will exceed six months, per WIOA Section 134(d)(3)(B);

**AND**

- (c) Be unemployed, and:

- Not qualify or have ceased to qualify for unemployment compensation, including UI, EUC and EB, or trade adjustment assistance under TAA or NAFTA-TAA.

**OR**

- Be a displaced homemaker (an individual who has been providing unpaid services to family member[s] in the home and who has been dependent on the income of another family member but is no longer supported by that income and that family member has ceased to qualify for UI benefits) who is experiencing difficulty in obtaining or upgrading employment.

Needs-Based Payments will be paid to only one member of the family. If a family has both a dislocated worker and a displaced homemaker receiving training assistance, only one Needs-Based Payment will be provided.

Adults, Dislocated Workers and Displaced Homemakers in training must follow all EKCEP policies and procedures for Individual Training Accounts (ITAs) or Non-ITA Training. In addition, clients receiving Needs-Based Payments must:

- Be enrolled in school on a full-time basis.
- Remain in training in consecutive terms (i.e., may not skip a term) in order to remain eligible for Needs-Based Payments.

- Notify their school and the appropriate Career Advisor if they are no longer attending school on a full-time basis or if they change their program of study.
- Notify their appropriate Career Advisor of any change in their employment status during the Needs-Based Payments period. Needs-Based Payments must immediately be discontinued for clients who have gained employment.
- Complete a monthly attendance sheet.
- Not be receiving income or allowances such as:
  - Employer severance;
  - TRA under TAA of NAFTA/TAA;
  - Union member supplemental benefits;
  - Payments under WIOA such as Internships; wages under OJT, Work Experience or other activities under WIOA where payments may be available (not including Supportive Services).

NOTE: If a client is eligible to receive any of the above listed assistance but is not receiving it, the Career Advisor and other staff should make every effort to ensure that the other assistance is obtained before approving the application for Needs-Related Payments, in accordance with Section 134 of the WIOA.

Furthermore, WIOA Needs-Based Payments should not replace or reduce any other federal financial assistance for which the client may be eligible or entitled, including WIOA support payments.

The Career Advisor must:

- Complete an Individual Employment Plan with the help of the client.
- Ensure that proper documentation related to the Needs-Based Payment request uploaded to KEE-Suite.
- If Needs-Based Payment requires Workforce Coordinator approval, must be approved prior to payment.
- Ensure that the appropriate Needs-Based Payment service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a client into Needs-Based Payment, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate Needs-Based Payment service in KEE-Suite.
3. Enter a case note describing the placement into Needs-Based Payment into the client's record in KEE-Suite. (For example case notes, see Case Note policy.)
4. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to Needs-Based Payment.

**After Enrollment Procedure** – After a client is enrolled into NBP, the Career Advisor must:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes and activities regarding progress through training and any job placement activities while in training. Activities must be entered into KEE-Suite during each interaction. An open service will not prevent a client from exiting the WIOA enrollment in KEE-Suite. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs (e.g., referring to tutoring) become evident.
- Work to facilitate job placement activities as the client nears completion of his/her training.

**Completion Procedure** – After a client has completed training the Career Advisor must:

1. Complete the client from NBP in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Obtain a copy of any credential(s) earned by the client and upload into KEE-Suite.
3. Enter a case note into KEE-Suite that:
  - States that the client has completed NBP.
  - Records the credential(s) earned.
  - Records the date the credential was awarded.

(For example case notes, see Case Note policy.)

4. Review the client's Individual Employment Plan and identify next steps.
5. Begin facilitating job placement activities for the client.

## 10. Relocation Assistance

Relocation Assistance can be provided to registered Adult or Dislocated Worker clients who are eligible for Individualized Career Services and need to relocate over 50 miles from their residence in order to accept employment. Relocation Assistance can be provided only when the following conditions are met:

- It has been determined that there is no reasonable expectation that the client can obtain suitable work within the commuting area in which he/she resides. Case notes must document this finding.
- The client has either been hired for or received a bona fide offer of suitable work of long-term duration in the area of intended relocation. “Suitable work” is work that matches the client’s skills, abilities and income needs. The Career Advisor must verify this offer of permanent employment and document the verification on the Employment Verification form and in the client’s case notes. The case notes should also include the data that indicate that the work is suitable for this client.
- The client must be unable to obtain adequate relocation assistance through other programs providing such services.

The Career Advisor must document the estimated expenses involved in relocation and input the amounts on the Relocation Assistance Request form. Relocation Assistance can cover up to 90% of the estimated costs, up to a total award amount of \$3,000. The form must be signed by the Career Advisor and the contractor’s WIOA Director, and then, if required, forwarded to the appropriate EKCEP Workforce Coordinator. The EKCEP Workforce Coordinator will determine whether the Relocation Assistance is approved. If it is approved, the Workforce Coordinator will sign the form and return it to the Career Advisor. The Career Advisor must upload a copy of the form into KEE-Suite and document the approval in the case notes.

The total amount of Relocation Assistance paid to one client may not exceed \$3,000. Approved Relocation Assistance may be paid as long as contractor budgets allow.

### Qualifying Prerequisites –

The client must:

- Be determined eligible for WIOA assistance.
- Have a working relationship with the Career Advisor who has determined a client has a need for Relocation Assistance.
- Have documented a need for the Relocation Assistance.



The Career Advisor must:

- Complete an Individual Employment Plan with the help of the client.
- Ensure that proper documentation related to the Relocation Assistance request uploaded to KEE-Suite.
- If Relocation Assistance requires Workforce Coordinator approval, must be approved prior to payment.
- Ensure that the appropriate Relocation Assistance service has been created in KEE-Suite prior to the scheduled start date.

**Enrollment Procedure** — When enrolling a client into Relocation Assistance, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the appropriate Relocation Assistance service in KEE-Suite.
3. Enter a case note describing the placement into Relocation Assistance into the client's record in KEE-Suite. (For example case notes, see Case Note policy)
4. Complete and upload into KEE-Suite the applicable paperwork and documentation relating to Relocation Assistance.

**Completion Procedure** – After a client has completed Relocation Assistance, the Career Advisor must:

1. Complete the client from Relocation Assistance in KEE-Suite by verifying that the end date is correct or enter the end date for the service.
2. Enter a case note into KEE-Suite that states that the client has completed training. (For example case notes, see Case Note policy.)
3. Review the client's Individual Employment Plan and identify next steps.

## **G. Completions and Exits**

**Completion** – A client’s completion from a WIOA service should be documented in KEE-Suite with a corresponding case note within 10 days of the completion. The successful or unsuccessful completion must also be documented case notes.

**Exit** – When a client has had a lapse of 90 calendar days without any activities, the client will exit the Workforce Case enrollment. WIOA Paid Services will not prevent a client from exiting in KEE-Suite. Career Advisors must ensure that they are documenting interactions with clients on a regular basis through activities and case notes.

**Global Exclusion** – The Workforce Case may have to be exited if the client meets one of the global exclusion reasons. The reasons for an exit using a global exclusion are:

- The client has become incarcerated in a correctional institution.
- The client will require medical treatment that is expected to last more than 90 days and will prevent the client from obtaining employment.
- The client is deceased.
- The client is a member of the National Guard or other reserve military unit and is called to active duty for at least 90 days.
- The client is a participant in the foster care system and has moved from the local workforce area.

## **H. Follow-Up**

Follow-Up services must be provided to Adults and Dislocated Workers who have successfully completed Individualized or Paid Services and have obtained unsubsidized employment. Follow-Up activities are geared towards helping the client retain employment through services such as counseling and referral to partner agencies. Clients receiving Follow-Up services may not receive Supportive Services. If client requires Supportive Services following obtaining unsubsidized employment, a waiver must be requested from EKCEP.

**Follow-Up for Adults and Dislocated Workers** — Follow-Up must be provided for 12 months following completion to unsubsidized employment for all clients who have successfully completed Individualized or Paid Services. There is no enrollment into a Follow-Up service in KEE-Suite. Follow-Up requires a monthly follow-up contact and case note.

Attachment One, Follow Up Determination Flow Chart, will define when Follow-Up is required for Adults and Dislocated Workers.

***I. Performance***

WIOA tracks client performance on the basis of job retention, wage gain, credential attainment, completions, and placements. Performance measures are negotiated annually and reflected within the executed EKCEP WIOA contract. All participant information must be entered and documented into the KEE Suite data management system. Only the information reported in this system will count towards performance.

## **Section Four: Record Keeping and Reporting**

### **A. Case Notes**

Case notes synthesize and supplement information about a client and are intended to document the delivery and justification for WIOA services and activities. Case notes provide:

- Accurate record keeping that helps the Career Advisor plan, implement, and evaluate the services for each client.
- Accountability for the client, the Career Advisor, the contractor, and EKCEP.

A Career Advisor should record a case note whenever:

- A face-to-face meeting with a client has occurred.
- A phone conversation with a client has occurred.
- An electronic conversation with a client has occurred.
- A significant event related to the client's life or progress within the program has occurred.

Case notes should be written at the time of the event or contact and entered into KEE-Suite within 10 days.

### **B. Case Note Contents**

All case notes should begin with the year, month, and day of the event, numerically in the following format: YYYY/MM/DD. (Example: March 17, 2019 would be written as 2019/03/17.) The KEE-Suite system date cannot be relied upon to document the date of the case note. The system date for case note changes based upon any modifications to the original case note.

Case notes should include the:

- Purpose of the interaction with the client.
- Content of the interaction with the client.
- Outcome of the interaction with the client.
- Plans (i.e., next steps) resulting from the interaction with the client.

Case notes should not include:

- Judgmental opinions.
- Offensive or derogatory statements.

- Slang, clichés or jargon.
- Comments that reinforce stereotypes.
- Confidential medical information.
- Comments that are not relevant to the client’s participation in WIOA services or activities.
- Any personal information regarding someone other than the client.

### C. Types of Case Notes

Case notes can be divided into the following classifications:

1. **Intake Case Note** – The intake case note records the initial contact with the client prior to WIOA enrollment. This case note will include:

- A statement describing why the client came into the office.
- A statement describing the response or action taken by the Career Advisor, including any WIOA service(s) made available to the client.

#### Intake Case Note Format:

“YYYY/MM/DD

*[Client Name] came into the office today inquiring about [topic]. I [insert actions taken with client]. The client was referred to [Partner or Non-Partner name] for [services provided by Partner or Non-Partner]. The [List] activity was added in KEE-Suite.”*

#### Example Intake Case Note 1:

“2019/07/04

*Kim came into the office today inquiring about a Job Fair. I provided her with the upcoming Job Fair brochure and gave her the date, time, and location. The Received Basic Career Service (Staff Assisted) activity was added in KEE-Suite.”*

#### Example Intake Case Note 2:

“2019/07/04

*Phil came into the office today inquiring about training. I explained our services to Phil and referred him to the Skills U Adult Education program to take the TABE test. He is scheduled to meet with me on 2019/07/21 to discuss the results of his test and the services that we may provide him. The Referred to Adult Education activity was added in KEE-Suite.”*

2. **Certification Case Note** – The certification case note records the verification of eligibility and items for data validation. The certification case note should include:

- A statement that the client has provided the proper documentation needed for eligibility. (It is not necessary for the case note to list each document provided.)

- A statement describing the client’s circumstances and personal characteristics, such as:
  - Food stamp recipient.
  - Veteran.
  - Single parent.
  - Dislocated Worker.
  - Incumbent Worker.
  - Displaced homemaker.
  - Individual with a disability.
  - High school dropout.
  - Basic skills deficient.
  - Unemployed.
  - Employed.
  - Underemployed.
  - Offender (criminal justice).
  
- A statement that gives the name of each assessment and/or test (e.g., TABE, NCRC) given to the client and its results.
  
- A statement detailing any additional activities required by the client such as:
  - Work SENSE workshop.
  - Work Certified training.
  - Academic enrichment.

Certification Case Note Format:

“YYYY/MM/DD

*[Client Name] provided me with all the source documents needed to determine eligibility. He/she is a(n) [NDWG, Displaced Homemaker, basic skills deficient, unemployed, under-employed, employed, food stamp recipient, single parent, individual with a disability, high school dropout — include all that apply].*

*[Client Name] was given the [TABE, NCRC, other test or assessment] and his/her scores showed [results of the tests/assessments]. The [List] activity was added in KEE-Suite. His/Her goal is to become a [career or occupation].”*

Example Certification Case Note:

“2019/07/04

*Carol provided me with all the source documents needed to determine eligibility. She is an adult, unemployed, single parent who is receiving food stamps. She has taken the TABE test and scored proficient in reading (11.9) but deficient in math (7.2). Based upon her TABE test results, I referred Carol to the Skills U Adult Education center for academic enrichment. Her goal is to become a*

*Certified Nurse's Assistant. The Referred to Adult Education activity was added in KEE-Suite."*

- 3. General Contact Case Notes** – General contact case notes provide information about any contact between the Career Advisor and a client, including career-advising appointments. A contact case note should include the manner or medium through which the contact took place and content of the contact, as shown in the format and examples below:

Contact Case Note Format 1 – Contact:

*"YYYY/MM/DD*

*I contacted [Client Name] by [email, text, phone call, Facebook]. We discussed [describe]. We worked on [describe]. The [List] activity was added in KEE-Suite."*

Example Contact Case Note (Format 1 — Contact):

*"2019/07/04*

*I contacted Chloe by Facebook. We discussed her recent interview with XYZ Manufacturing. We worked on how to follow up with an employer following an interview. The Received Career Services – Staff Assisted activity was added in KEE-Suite.*

Contact Case Note Format 2 – Career Advising Appointment:

*"YYYY/MM/DD*

*I met with [Client Name] for a career advising appointment. We discussed [describe]. We worked on [describe]. The [List] activity was added in KEE-Suite."*

Example Contact Case Note (Format 2 – Career Advising Appointment):

*"2019/07/04*

*I met with Mark for a career advising appointment. We discussed available Hot Jobs and I gave him a flyer for an upcoming job fair. We worked on his resume to give to employers at the job fair. The Received Staff Assisted Job Search Activities activity was added in KEE-Suite."*

Contact Case Note Format 3 — Referral

*"YYYY/MM/DD*

*[Client Name] participated in a career advising appointment. We discussed [describe]. He/she identified a need for [List Need] that can be addressed with [List Partner/Non-Partner Agency Name]. I provided him/her with [contact information, flyer, etc.] for assistance. [Please document if you contacted the partner directly for the client]. The [List] activity was added in KEE-Suite."*

Example Contact Case Note (Format 3 — Referral)

*"2019/07/04*

*Paul participated in a career advising appointment. We discussed his upcoming interview for a position with the local hospital. He identified a need for interview clothes that can be addressed with assistance from the Salvation Army. I provided him with contact information for the Salvation Army representative to receive assistance. The Referred to External Partner activity was added in KEE-Suite.”*

NOTE – If the contact or career advising appointment involved training, Individual Employment Plan development, or other ongoing services, the Career Advisor may want to use the case-note formats provided below for those specific services and activities.

- 4. Opportunity Enrollment Case Notes** – Opportunity enrollment case notes document a client’s enrollment into a WIOA opportunity (e.g., Work SENSE training). Opportunity enrollment case notes will include the name of the Opportunity and verification that the client participated, as shown in the formats and examples below:

Work SENSE Training Case Note Format:

*“YYYY/MM/DD*

*[Client Name] attended Work SENSE training at [Location]. The client’s training attendance was verified by [Verifier’s Name] with [Training Provider] at [Verifier’s Contact Information]. The client was verified as an attendee in the Opportunity. The [List] activity was added in KEE-Suite.”*

Example Work SENSE Training Case Note:

*“2019/07/04*

*Jill attended Work SENSE training at KCC JobSight Hazard. The client’s training attendance was verified by Bonnie with EKCEP at 606.436.5751. The client was verified as an attendee in the Opportunity. The Received Staff Assisted Career Guidance Services activity was added in KEE-Suite.”*

Ethics SENSE Training Case Note Format:

*“YYYY/MM/DD*

*[Client Name] attended Ethics SENSE training at [Location]. The client’s training attendance was verified by [Verifier’s Name] with [Training Provider] at [Verifier’s Contact Information]. The client was verified as an attendee in the Opportunity. The [List] activity was added in KEE-Suite.”*

Example Ethics SENSE Training Case Note:

*“2019/07/04*

*Mark attended Ethics SENSE training at Bell-Whitley CAA. The client’s training attendance was verified by Bonnie with EKCEP at 606.436.5751. The client was verified as an attendee in the Opportunity. The Received Staff Assisted Career Guidance Services activity was added in KEE-Suite.”*



Workshop Case Note Format:

*“YYYY/MM/DD*

*[Client Name] attended the [workshop name] workshop at [Location]. The client’s attendance was verified by Workshop Facilitator/Career Advisor [Verifier’s Name]. The client was verified as an attendee in the Opportunity. The [List] activity was added in KEE-Suite.”*

Example Workshop Case Note:

*“2019/07/04*

*Kate attended the Financial Literacy Workshop at the Inez KCC. The client’s attendance was verified by Workshop Facilitator/Career Advisor Jesse. The client was verified as an attendee in the Opportunity. The Received Basic Career Service (Staff Assisted) activity was added in KEE-Suite.”*

Job Fair Case Note Format:

*“YYYY/MM/DD*

*[Client Name] attended the [Job Fair Name] Job Fair at [Location]. The client was verified as an attendee in the Opportunity. The [List] activity was added in KEE-Suite.”*

Example Job Fair Case Note:

*“2019/07/04*

*Sara attended the Mega Job Fair at East Kentucky Expo Center. The client was verified as an attendee in the Opportunity. The Received Staff Assisted Job Search Activities activity was added in KEE-Suite.”*

5. **Assessment Case Notes** – Assessment case notes document formal client assessments for any client entering into individualized services, in order to help determine the client’s interests, skills, and aptitudes in relation to specific occupations and industries. Formats and examples of Individual Employment Plan case notes appear below:

Assessment Case Note Format:

*“YYYY/MM/DD*

*[Client Name] completed the [Career Coach/CareerScope/Other] Assessment. His/her [Career Coach/CareerScope/Other] assessment score was XXX. This score [supports/doesn’t support] a career in [list career]. The [List] activity was added in KEE-Suite.”*

Example Assessment Case Note:

*“2019/07/04*

*Bart completed the Career Coach Assessment. His Career Coach assessment score was RSC (Realistic, Social, Conventional). This score supports a career in Construction Laborer. The Staff Assisted Career Guidance Services activity was added in KEE-Suite.”*

6. **Individual Employment Plan Case Notes** – Individual Employment Plan case notes document progress the Career Advisor and client have made together toward developing and defining the client’s career goals and identifying the steps needed to achieve the defined goal. Formats and examples of Individual Employment Plan case notes appear below:

Individual Employment Plan Case Note Format 1:

*“YYYY/MM/DD*

*[Client Name] is interested in creating a plan to develop his/her career options. He/she is interested in a career in [list specific occupations, career fields, etc.]. He/she completed the [Career Coach/CareerScope/Other] Assessment. His/her [Career Coach/CareerScope/Other] assessment score was XXX. This score [supports/doesn’t support] a career in [list career]. The next steps will be to [list next steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals. The [List] activity was added in KEE-Suite.”*

Example Individual Employment Plan Case Note (Format 1):

*“2019/07/04*

*Rodney is interested in creating a plan to develop his career options. He is interested in a career in Construction Laborer. He completed the Career Coach Assessment. His Career Coach assessment score was RSC (Realistic, Social, Conventional). This score supports a career in Construction Laborer. The next steps will be to review his current skills and education to determine what is transferrable to a Construction Laborer position. An appointment has been made for 2019/07/11 to continue working on career goals. The Staff Assisted Career Guidance Services activity was added in KEE-Suite.”*

Individual Employment Plan Case Note Format 2:

*“YYYY/MM/DD*

*[Client Name] is working on a career goal of becoming a [List Career]. The regional labor market information for [List Career] career path shows [List Labor Market Information]. The next steps will be to [List Next Steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals. The [List] activity was added in KEE-Suite.”*

Example Individual Employment Plan Case Note (Format 2):

*“2019/07/04*

*Kortney is working on a career goal of becoming a Registered Nurse. The regional labor market information for Registered Nurse career path shows an expected 19% growth between 2012 and 2022. The entry level salary for a*

*Registered Nurse in 2014 was \$41,754 per year. Kortney will have to complete an Associate's Degree or Bachelor's Degree in Nursing and be licensed as a Registered Nurse in order to obtain employment in this career path. The next steps will be to review post-secondary colleges and universities that offer a Registered Nursing program, the associated costs, and the requirements to enter a Registered Nursing Program. An appointment has been made for 2019/07/11 to continue working on career goals. The Staff Assisted Career Guidance Services activity was added in KEE-Suite."*

Individual Employment Plan Case Note Format 3:

*"YYYY/MM/DD*

*[Client Name] is working on a career goal of becoming a [List Career]. [Client Name] has the following skills, education, and employment history that support this career path: [List Skills, Education, and Employment History]. In order to secure a career as a [List Career], [Client Name] would need to acquire these skills: [List Skills]. This career path [requires/does not require] postsecondary training. Therefore, the client [will need no further training/will need to complete a [Duration] training in [Training Program] in order to obtain this employment]. The next steps will be to [List Next Steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals. The [List] activity was added in KEE-Suite."*

Example Individual Employment Plan Case Note (Format 3):

*"2019/07/04*

*Mickey is working on a career goal of becoming a Class A CDL Driver. Mickey has the following skills, education, and employment history that support this career path: experience driving large trucks during 12-year employment on a strip-mining job. He also has a high school diploma. In order to secure a career as a Class A CDL Driver, Mickey would need to acquire these skills: training and licensure as a Class A CDL Driver. This career path requires postsecondary training. Therefore, the client will need to complete a four-week training in Class A CDL in order to obtain this employment. The next steps will be to review training programs that offer Class A CDL training, the associated costs, and the requirements to enter a Class A CDL training program. An appointment has been made for 2019/07/13 to continue working on career goals. The Staff Assisted Career Guidance Services activity was added in KEE-Suite."*

Individual Employment Plan Case Note Format 4:

*"YYYY/MM/DD*

*[Client Name] is working on a career goal of becoming a [List Career]. [Client Name] and I worked on his/her Individual Employment Plan and completed the information in KEE-Suite. The next steps will be to [List Next Steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals. The [List] activity was added in KEE-Suite."*

Example Individual Employment Plan Case Note (Format 4):

*“2019/07/04*

*Amy is working on a career goal of becoming a Phlebotomist. Amy and I worked on her Individual Employment Plan and completed the information in KEE-Suite. The next step will be to update her resume to reflect her completion of Phlebotomy training. An appointment has been made for 2019/07/12 to continue working on career goals. The Staff Assisted Career Guidance Services activity was added in KEE-Suite.”*

Individual Employment Plan Case Note Format 5:

*“YYYY/MM/DD*

*[Client Name] is working on a career goal of becoming a [List Career]. Today, we worked on [List Activities] to further his/her progress toward reaching his/her goal. The next steps will be to [List Next Steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals. The [List] activity was added in KEE-Suite.”*

Example Individual Employment Plan Case Note (Format 5):

*“2019/07/04*

*Emily is working on a career goal of becoming a Welder. Today, we worked on updating her resume to further her progress toward reaching her goal. The next steps will be to submit her resume for welding positions in her area. An appointment has been made for 2019/07/07 to continue working on career goals. The Staff Assisted Career Guidance Services activity was added in KEE-Suite.”*

- 7. Service Case Notes: Work Experience** — Service case notes document the client’s enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Work Experience appear below:

Work Experience Enrollment Case Note Format:

*“YYYY/MM/DD*

*[Client Name] was enrolled into Work Experience on YYYY/MM/DD. He/she will be working for [Employer], beginning on YYYY/MM/DD. The [List] activity was added in KEE-Suite.”*

Example Work Experience Enrollment Case Note:

*“2019/09/04*

*Ellen was enrolled into Work Experience on 2019/08/15. She will be working for Acme World Energy, beginning on 2019/09/05. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Work Experience Progress Case Note Format:

*“YYYY/MM/DD*

[Client Name] continues to participate in Work Experience at [Employer]. The timesheet shows that he/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. A copy of the timesheet has been uploaded into KEE-Suite. A Voucher and Expense for the timesheet has been completed. His/her supervisor [Name] reported that the client [Document Work Experience Progress, Issues]. [Client Name] has participated in [time frame] of weekly career advising. During the career advising session, we discussed [Document career advising session topics]. *The [List] activity was added in KEE-Suite.*

#### Example Work Experience Progress Case Note:

“2019/07/04

Ryan continues to participate in Work Experience at the Brock Law Office. The timesheet shows that he has completed 160 of the allotted 480 hours as of 2019/06/30. A copy of the timesheet has been uploaded into KEE-Suite. A Voucher and Expense for the timesheet has been completed. His supervisor Brock reported that the client continues to do well with basic assistant duties such as answering phones, sending email, and greeting clients. There are no issues at this time. Ryan has participated in one hour of weekly career advising. During the career advising session, we discussed how to provide good customer service to those clients he encounters while at Brock Law Office. *The Received Career Services (WIOA) activity was added in KEE-Suite.*”

#### Work Experience Completion Case Note Format

“YYYY/MM/DD

[Client Name] has completed Work Experience with [Employer] as a [Position]. The Work Experience completion date was YYYY/MM/DD. He/she completed XXX total training hours. A Voucher and Expense for the timesheet has been completed. [Client Name] has obtained the following skills as a result of the Work Experience: [List Job Skills Obtained that were detailed in the Work Experience Agreement.] Upon completion of the Work Experience, he/she [continues/does not continue] employment with [Employer] as a [Position]. [If continues, add:] He/she is earning an hourly wage of \$XX.XX, as verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment.] *The [List] activity was added in KEE-Suite.*”

#### Example Work Experience Completion Case Note

“2019/07/04

Michael has completed Work Experience with Acme Welding as a Welder. The Work Experience completion date was 2019/06/30. He completed 240 total training hours. A Voucher and Expense for the timesheet has been completed. Michael has obtained the following skills as a result of the Work Experience: arc welding, MIG welding, TIG welding, and gas pipe welding. Upon completion of the Work Experience, he does not continue employment with Acme Welding. The

employment was not continued because the position was a temporary one to build welding skills for future employment opportunities. *The Received Career Services (WIOA) activity was added in KEE-Suite.*”

8. **Service Case Notes: Internship** — Service case notes document the client’s enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Internship appear below:

Internship Enrollment Case Note Format:

“YYYY/MM/DD

[Client Name] was enrolled into Internship on YYYY/MM/DD. He/she will be working for [Employer], beginning on YYYY/MM/DD. *The [List] activity was added in KEE-Suite.*”

Example Internship Enrollment Case Note:

“2019/09/04

Emma was enrolled into Internship on 2019/08/15. She will be working for Regional Healthcare, beginning on 2019/09/05. *The Received Career Services (WIOA) activity was added in KEE-Suite.*”

Internship Progress Case Note Format:

“YYYY/MM/DD

[Client Name] continues to participate in an Internship at [Employer]. The timesheet shows that he/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. A copy of the timesheet has been uploaded into KEE-Suite. A Voucher and Expense for the timesheet has been completed. His/her supervisor [Name] reported that the client [Document Internship Progress, Issues]. *The [List] activity was added in KEE-Suite.*”

Example Internship Progress Case Note:

“2019/07/04

Ethan continues to participate in an Internship at the Justice Management Firm. The timesheet shows that he has completed 320 of the allotted 480 hours as of 2019/04/15. A copy of the timesheet has been uploaded into KEE-Suite. A Voucher and Expense for the timesheet has been completed. His supervisor Terry reported that the client continues to do well with basic assistant duties such as answering phones, sending email, and greeting clients. There are no issues at this time. *The Received Career Services (WIOA) activity was added in KEE-Suite.*”

Internship Completion Case Note Format

“YYYY/MM/DD

[Client Name] has completed Internship with [Employer] as a [Position]. The Internship completion date was YYYY/MM/DD. He/she completed XXX total training hours. A Voucher and Expense for the timesheet has been completed. [Client Name] has obtained the following skills as a result of the Internship: [List Job

Skills Obtained that were detailed in the Internship Agreement.] Upon completion of the Internship, he/she [continues/does not continue] employment with [Employer] as a [Position]. [If continues, add: He/she is earning an hourly wage of \$XX.XX, as verified by [Verifier's Name] with [Verifier's Employer] at [Verifier's Contact Information]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment.] *The [List] activity was added in KEE-Suite.*"

#### Example Internship Completion Case Note

"2019/07/04

James has completed an Internship with XYZ Coding as a Software Programmer. The Internship completion date was 2019/06/30. He completed 600 total training hours. A Voucher and Expense for the timesheet has been completed. Michael has obtained the following skills as a result of the Internship: writing/updating computer software programs, solving known errors in software, and developing new software programs to meet the client's needs. Upon completion of the Internship, he does not continue employment with XYZ Coding. He gained employment with Software Logistics as a Programmer on 2019/07/02. *The Received Career Services (WIOA) activity was added in KEE-Suite.*"

9. **Service Case Notes: On-the-Job Training (OJT)** — Service case notes document the client's enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for OJT appear below:

#### OJT Enrollment Case Note Format:

"YYYY/MM/DD

*[Client Name] has expressed an interest in working for [Employer] as a [Position]. He/she has completed the [Type of Aptitude Assessment] to determine that he/she has the minimum skills required for the position. [If no assessment has been completed or necessary, describe the transferrable skills the client has in lieu of the aptitude assessment]. [Employer Representative], [Representative's Title], has committed to hire [Client Name] and requested that he/she be placed with the company for OJT. The OJT will cover XXX total training hours. [Client Name] will receive an hourly rate of \$XX.XX, with a reimbursement rate of XX% for the employer. The maximum reimbursement for the OJT will be \$XXXX.XX. The OJT will involve training [Client Name] on the following job skills, with these estimated training hours: [Job Skill #1 (Training Hours), Job Skill #2 (Training Hours), Job Skill #3 (Training Hours)]. [Client Name] began work at [Employer] as part of an OJT agreement on YYYY/MM/DD, as verified by [Verifier's Name] with [Verifier's Employer] at [Verifier's Contact Information]. The estimated OJT completion date will be YYYY/MM/DD. The Received Career Services (WIOA) activity was added in KEE-Suite."*

#### Example OJT Enrollment Case Note:

*"2019/07/04*

*Ben has expressed an interest in working for Spotlight Advertising as a Media Buyer. He has transferrable skills for this position due to having previous sales experience. However, his previous experience did not include marketing or the computer skills necessary to be a successful Media Buyer. Carolyn, Owner of Spotlight Advertising, has committed to hire Ben and requested that he be placed with the company for OJT. The OJT will cover 640 total training hours. Ben will receive an hourly rate of \$14.75, with a reimbursement rate of 90% for the employer. The maximum reimbursement for the OJT will be \$8,496.00. The OJT will involve training Ben on the following job skills, with these estimated training hours: Sales and Marketing (360 hours), Customer and Personal Service (240 hours), Computers and Electronics (480 hours), Communications and Media (640 hours), and Establishing and Maintaining Relationships (480 hours). Ben began work at Spotlight Advertising as part of an OJT agreement on 2019/07/04, as verified by Carolyn with Spotlight Advertising by email (carolyn@spotlightads.com). The estimated OJT completion date will be 2019/09/30. The Received Career Services (WIOA) activity was added in KEE-Suite."*

OJT Progress Case Note Format 1:

*"YYYY/MM/DD*

*[Client Name] continues to participate in an OJT at [Employer]. He/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. A Voucher and Expense for the invoice has been completed. His/her supervisor, [Name], reported that the client [Document OJT Progress, Issues]. The [List] activity was added in KEE-Suite."*

Example OJT Progress Case Note (Format 1):

*"2019/07/04*

*Tara continues to participate in an OJT at City Ambulance Service. She has completed 240 of the allotted 480 hours as of 2019/06/30. A Voucher and Expense for the invoice has been completed. Her supervisor, Dorothy, reported that the client is improving her EMT skills, especially patient assessment. Tara is punctual and completes all her tasks daily and there are no issues with her performance. The Received Career Services (WIOA) activity was added in KEE-Suite."*

OJT Progress Case Note Format 2

*"YYYY/MM/DD*

*[Client Name] continues to participate in an OJT at [Employer] as a [Position]. He/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. A Voucher and Expense for the invoice has been completed. [Client Name] reported that [document OJT progress, client needs, issues]. The [List] activity was added in KEE-Suite."*



### Example OJT Progress Case Note (Format 2)

*“2019/07/04*

*Clark continues to participate in an OJT at New Autos Dealership as a Mechanic. He has completed 40 of the allotted 480 hours as of 2019/07/04. A Voucher and Expense for the invoice has been completed. Clark reported that he is learning about the mechanic processes required by the dealership. He reports that he is in need of a set of automotive hand tools, as they are not provided by the employer. I will follow up with him to get the proper documentation to submit a Supportive Services request. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

### OJT Progress Case Note Format 3 (Written and Entered by Employer Account Representative)

*“YYYY/MM/DD*

*[Client Name] continues to participate in an OJT at [Employer] as a [Position]. He/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. A Voucher and Expense for the invoice has been completed. [Client Name] reported that [document OJT progress, client needs, issues]. His/her Supervisor, [Name], reported that the client [document OJT progress, issues]. The [List] activity was added in KEE-Suite.”*

### Example OJT Progress Case Note (Format 3 -- by Employer Account Representative)

*“2019/07/04*

*Aubrey continues to participate in an OJT at City Newspaper as a Copy Editor. She has completed 80 of the allotted 480 hours as of 2019/07/01. A Voucher and Expense for the invoice has been completed. Aubrey reported that she is learning about the newspaper industry, how to correctly edit newspaper copy, and has no additional needs at this time. Her Supervisor, Kim, reported that the client is a quick learner who is doing very well at improving her editing skills. There are no issues at the current time. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

### OJT Monitoring Case Note Format

*“YYYY/MM/DD*

*[Client Name] is participating in an OJT at [Employer] as a [Position]. [Client Name] began work at [Employer] as part of an OJT agreement on YYYY/MM/DD. The estimated OJT completion date will be YYYY/MM/DD. An on-site OJT monitoring was conducted on YYYY/MM/DD with [Employer Representative], [Representative's Title]. [Describe findings, progress, review of timesheets/invoices, and facilities]. During the on-site OJT monitoring, I met with [Client Name] and discussed [progress, issues, needs]. The [List] activity was added in KEE-Suite.”*

### Example OJT Monitoring Case Note Format

*"2019/07/04*

*Preston is participating in an OJT at Next Day Parcels as a Delivery Driver. Preston began work at Next Day Parcels as part of an OJT agreement on 2019/05/01. The estimated OJT completion date will be 2019/08/31. An on-site OJT monitoring was conducted on 2019/07/04 with Jane, HR Representative. The monitoring revealed that the employer is complying with all sections of the OJT contract. A copy of the client's timesheets was kept with the OJT invoices. There were no safety concerns noted. During the on-site OJT monitoring, I met with Preston and discussed that he is doing well with the OJT, learning and improving his skills. He states that he is on time for his shift and enjoys working for the employer. The Received Career Services (WIOA) activity was added in KEE-Suite."*

#### OJT Completion Case Note Format

*"YYYY/MM/DD*

*[Client Name] has completed an OJT with [Employer] as a [Position]. The OJT completion date was YYYY/MM/DD. He/she completed XXX total training hours. A Voucher and Expense for the invoice has been completed. He/she has obtained the following skills as a result of the OJT: [List Job Skills Obtained that was detailed in the OJT Contract.] Upon completion of the OJT, [Client Name] [continues/does not continue] employment with [Employer] as a [Position]. [If continues, add:] He/she is earning an hourly wage of \$XX.XX, as verified by [Verifier's Name] with [Verifier's Employer] at [Verifier's Contact Information]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment.] The [List] activity was added in KEE-Suite."*

#### Example OJT Completion Case Note

*"2019/07/04*

*Tina has completed an OJT with Grayson Insurance Company as an Insurance Agent. The OJT completion date was 2019/06/28. She completed 480 total training hours. A Voucher and Expense for the invoice has been completed. She has obtained the following skills as a result of the OJT: knowledge of insurance policy requirements, ability to initiate and complete sales, computer skills to track and update current and potential clients. Upon completion of the OJT, Tina continues employment with Grayson Insurance Company as an Insurance Agent. She is earning an hourly wage of \$14.00, as verified by Jason with Grayson Insurance Company at 606.333.3333. The Received Career Services (WIOA) activity was added in KEE-Suite."*

- 10. Service Case Notes: Incumbent Worker Training** — Service case notes document the client's enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Incumbent Worker Training appear below:

Incumbent Worker Training Enrollment Case Note Format:

*“YYYY/MM/DD*

*[Client Name] was enrolled into Incumbent Worker Training on YYYY/MM/DD. He/she is a current employee of [Employer] and receiving training in [Skills]. The training will be delivered by [Training Provider]. The [List] activity was added in KEE-Suite.”*

Example Incumbent Worker Training Enrollment Case Note:

*“2019/11/23*

*Alex was enrolled into Incumbent Worker Training on 2019/11/22. He is a current employee of Expert Plumbing Service and will be receiving training in computer aided design software for designing plumbing structures. The training will be delivered by Modern Plumbing Software CAD. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Incumbent Worker Training Progress Case Note Format:

*“YYYY/MM/DD*

*[Client Name] continues to participate in Incumbent Worker Training at [Employer]. The invoice shows that he/she has completed XXX of the required XXX training hours as of YYYY/MM/DD. A copy of the invoice has been uploaded into KEE-Suite. A Voucher and Expense for the invoice has been completed. His/her supervisor [Name] reported that the client [Document Incumbent Worker Progress, Issues]. The [List] activity was added in KEE-Suite.”*

Example Incumbent Worker Training Progress Case Note:

*“2019/12/04*

*Keith continues to participate in Incumbent Worker Training at the Expert Plumbing Service. The invoice shows that he has completed 20 of the required 200 training hours as of 2019/12/04. A copy of the invoice has been uploaded into KEE-Suite. A Voucher and Expense for the invoice has been completed. His supervisor Fred reported that the client continues to do well with learning about how to design plumbing systems using a computer. He has passed his first module and there are no issues at this time. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Incumbent Worker Training Completion Case Note Format

*“YYYY/MM/DD*

*[Client Name] has completed Incumbent Worker Training with [Employer] as a [Position]. The Incumbent Worker completion date was YYYY/MM/DD. He/she completed XXX total training hours. A Voucher and Expense for the invoice has been completed. [Client Name] has obtained the following skills as a result of the Incumbent Worker Training: [List Job Skills Obtained that were detailed in the Incumbent Worker contract.] Upon completion of the Incumbent Worker Training, he/she [continues/does not continue] employment with [Employer] as a*

*[Position]. [If continues, add: He/she is earning an hourly wage of \$XX.XX, as verified by [Verifier's Name] with [Verifier's Employer] at [Verifier's Contact Information]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment.] The [List] activity was added in KEE-Suite."*

Example Incumbent Worker Training Completion Case Note

*"2019/07/04*

*Gary has completed the Incumbent Worker Training with Modern Plumbing Software CAD and has gained the skills to operate computer aided design software for plumbing systems. The Incumbent Worker Training completion date was 2019/06/30. He completed 200 total training hours. A Voucher and Expense for the invoice has been completed. Gary has obtained the following certifications as a result of the Incumbent Worker Training: creating/editing plumbing designs, identifying problem locations during times of water/sewer line breakages, and developing new plumbing designs to meet the client's needs. Upon completion of the Internship, he continues employment with Expert Plumbing Service. Since his completion of the Incumbent Worker Training, he has received a pay increase of \$2 per hour due to the new skills he has obtained. The Received Career Services (WIOA) activity was added in KEE-Suite."*

- 11. Service Case Notes: Customized Training** — Service case notes document the client's enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Customized Training appear below:

Customized Training Enrollment Case Note Format:

*"YYYY/MM/DD*

*[Client Name] was enrolled into Customized Training on YYYY/MM/DD. He/she will be working for [Employer], beginning on YYYY/MM/DD, and receiving training in [Skills]. The training will be delivered by [Training Provider]. The [List] activity was added in KEE-Suite."*

Example Customized Training Enrollment Case Note:

*"2019/11/23*

*Dave was enrolled into Customized Training on 2019/11/21. He will be working for Acme Tool Mfg., beginning on 2019/11/30, and receiving training in computer-guided lathe operation. The training will be delivered by MasterLathe Corp. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Customized Training Progress Case Note Format:

*"YYYY/MM/DD*

*[Client Name] continues to participate in a Customized Training at [Employer]. His/her instructor [Name] reported that the client [Document Customized Training Progress, Issues]. The [List] activity was added in KEE-Suite."*

Example Customized Training Progress Case Note:

*“2019/07/04*

*Shawn continues to participate in a Customized Training with MasterLathe Corporation. His instructor Jay reported that the client continues to do well learning how to operate a computer-guided lathe. He has learned the basic skills and maneuvers and is now learning more complex topics related to operating a computer-guided lathe. There are no issues at this time. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Customized Training Completion Case Note Format

*“YYYY/MM/DD*

*[Client Name] has completed the Customized Training with [Employer] as a [Position]. The Customized Training completion date was YYYY/MM/DD. He/she completed XXX total training hours. A Voucher and Expense for the invoice has been completed. [Client Name] has obtained the following skills as a result of the Customized Training: [List Job Skills Obtained that were detailed in the Internship Agreement.] Upon completion of the Customized Training, he/she [continues/does not continue] employment with [Employer] as a [Position]. [If continues, add: He/she is earning an hourly wage of \$XX.XX, as verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment.] The [List] activity was added in KEE-Suite.”*

Example Customized Training Completion Case Note

*“2019/07/04*

*Johnny has completed the Customized Training with MasterLathe Corporation, learning to operate a computer-guided lathe. The Customized Training completion date was 2019/06/30. A Voucher and Expense for the invoice has been completed. He completed three training modules for 75 total training hours. Johnny has obtained the following skills as a result of the Customized Training: setting up the machine for proper operation, basic machining skills, and determining tool offsets. Upon completion of the Customized Training, he continues employment with Acme Tool Manufacturing. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

12. **Service Case Notes: Individual Training Account (ITA)** — Service case notes document the client’s enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for an ITA appear below:

ITA Enrollment Case Note Format:

*“YYYY/MM/DD*

*[Client Name] was enrolled into ITA training on YYYY/MM/DD. He/she will be pursuing a [degree/certification] in [course of study] at [Training Provider or*

*Institution]. I contacted [Training Provider or Institution] and spoke with [Name and Title], who verified that [Client Name] began attending training on YYYY/MM/DD. The [List] activity was added in KEE-Suite.”*

Example ITA Enrollment Case Note:

*“2019/09/01*

*Beth was enrolled into ITA training on 2019/08/21. She will be pursuing a degree in nursing at Southeast Community and Technical College (SEKCTC). I contacted SEKCTC by phone at 606-555-1234 and spoke with Ann Smith, registrar, who verified that Beth was in attendance as of 2019/09/01. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

ITA Progress Case Note Format:

*“YYYY/MM/DD*

*[Client Name] is currently enrolled in ITA training in [Training]. He/she states that [Document Training Progress, Issues]. He/she reported that he/she [needs/does not need] additional assistance with current training. [If There Are Needs, Explain Here.] His/her instructor, [Name], reported that the client [Document Training Progress, Issues] and [is attending class regularly/has had attendance issues]. [If There Are Attendance Issues, Explain Here.] The [List] activity was added in KEE-Suite.”*

Example ITA Progress Case Note:

*“2019/07/04*

*Kyle is currently enrolled in ITA training in Mortuary Science. He states that training is going well and he is learning new skills and techniques weekly. He reported that he does not need additional assistance with current training. His instructor, Ben, reported that the client does really well comprehending the material, uses his training in the laboratory setting, and is attending class regularly. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

ITA Completion Case Note Format

*“YYYY/MM/DD*

*[Client Name] completed his/her ITA training in [Training] on YYYY/MM/DD. He/she [obtained/did not obtain] a [degree/certification] in [Training], as documented by the [transcript, certificate, diploma, license] and has been uploaded into KEE-Suite. [If the client does not successfully complete training, provide information why the training was not continued and whether the client or training provider chose to end the training.] The [List] activity was added in KEE-Suite.”*

Example ITA Completion Case Note

*“2019/07/04*

*Tabitha completed her ITA training in LPN on 2019/06/30. She obtained an Associate's Degree in Licensed Practical Nursing, as documented by the diploma uploaded into KEE-Suite. The Received Career Services (WIOA) activity was added in KEE-Suite."*

- 13. Service Case Notes: Non-Individual Training Account (Non-ITA) —** Service case notes document the client's enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for a Non-ITA appear below:

Non-ITA Enrollment Case Note Format:

*"YYYY/MM/DD*

*[Client Name] was enrolled into Non-ITA training on YYYY/MM/DD. He/she will be pursuing a [degree/certification] in [course of study] at [Training Provider or Institution]. I contacted [Training Provider or Institution] and spoke with [Name and Title], who verified that [Client Name] began attending training on YYYY/MM/DD. The [List] activity was added in KEE-Suite."*

Example Non-ITA Enrollment Case Note:

*"2019/09/01*

*Charlotte was enrolled into Non-ITA training on 2019/08/21. She will be pursuing a certification as a CNC operator at Southern Training Institute. I contacted Southern Training Institute by phone at 606-555-1234 and spoke with Jack Collins, registrar, who verified that Charlotte was in attendance as of 2019/09/01. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Non-ITA Progress Case Note Format:

*"YYYY/MM/DD*

*[Client Name] is currently enrolled in Non-ITA training in [Training]. He/she states that [Document Training Progress, Issues]. He/she reported that he/she [needs/does not need] additional assistance with current training. [If There Are Needs, Explain Here.] His/her instructor, [Name], reported that the client [Document Training Progress, Issues] and [is attending class regularly/has had attendance issues]. [If There Are Attendance Issues, Explain Here.] The [List] activity was added in KEE-Suite."*

Example Non-ITA Progress Case Note:

*"2019/07/04*

*Noah is currently enrolled in Non-ITA training for CNC Operator certification. He states that training is going well and he is learning new skills and techniques weekly. He reported that he does not need additional assistance with current training. His instructor, Mike, reported that the client does really well comprehending the material, uses his training in the shop setting, and is*

*attending class regularly. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

#### Non-ITA Completion Case Note Format

*“YYYY/MM/DD*

*[Client Name] completed his/her Non-ITA training in [Training] on YYYY/MM/DD. He/she [obtained/did not obtain] a [degree/certification] in [Training], as documented by the [transcript, certificate, diploma, license] uploaded into KEE-Suite. [If the client does not successfully complete training, provide information why the training was not continued and whether the client or training provider chose to end the training.] The [List] activity was added in KEE-Suite.”*

#### Example Non-ITA Completion Case Note

*“2019/07/04*

*Ava completed her Non-ITA training in CNC operation on 2019/06/30. She obtained a certification as a CNC Operator, as documented by the certificate uploaded into KEE-Suite. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

- 14. Service Case Notes: Supportive Services for Training** — Service case notes document the client’s enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Supportive Services for training appear below:

#### Supportive Services for Training Enrollment Case Note Format:

*“YYYY/MM/DD*

*[Client Name] was enrolled into Supportive Services on YYYY/MM/DD. He/she will need assistance with [books, attire, travel, etc.] in order to successfully complete training in [Training]. The [List] activity was added in KEE-Suite.”*

#### Example Supportive Services for Training Enrollment Case Note:

*“2019/11/23*

*Chelsea was enrolled into Supportive Services on 2019/11/23. She will need assistance with books and supplies in order to successfully complete training in Dental Assistant. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

#### Supportive Services for Training Case Note Format 1 — Books/Attire/Shoes/

##### Supplies:

*“YYYY/MM/DD*

*[Client Name] is currently enrolled in [Training] training. He/she is required to purchase the following items for the training: [List Books, Attire, Shoes, Supplies]. He/she has purchased [List of Items Purchased]. The total cost of those items is \$XXX.XX. He/she provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a*



*copy of the approval has been uploaded into KEE-Suite. He/she received a reimbursement check on YYYY/MM/DD. The [List] activity was added in KEE-Suite."*

Example Supportive Services for Training Case Note (Format 1 — Books/Attire/Shoes/Supplies):

*"2019/07/04*

*Heather is currently enrolled Electrical Technology training. She is required to purchase the following items for the training: volt meter and hand tools. She has purchased a volt meter and a set containing 50 hand tools and attachments. The total cost of those items is \$625.00. She provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. She received a reimbursement check on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Supportive Services for Training Case Note Format 2 — Legal/Medical Requirements for Class:

*"YYYY/MM/DD*

*[Client Name] is scheduled to begin training in [Training] on YYYY/MM/DD. He/she is required to receive a [Physical, Immunization, Medical Test, Background Check] prior to beginning training. The total cost is \$XXX.XX. He/she provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a reimbursement check on YYYY/MM/DD. The [List] activity was added in KEE-Suite."*

Example Supportive Services for Training Case Note (Format 2 — Legal/Medical Requirements for Class):

*"2019/07/04*

*Nicole is scheduled to begin training for a CDL on 2019/07/23. She is required to receive a DOT Physical prior to beginning training. The total cost is \$100.00. She provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. She received a reimbursement check on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Supportive Services for Training Case Note Format 3 — Travel Assistance:

*"YYYY/MM/DD*

*[Client Name] is currently enrolled in [Training] training. He/she is traveling XX.X miles one way from his/her home at [Residence Address] to training at [Training Provider Address], as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. He/she requested assistance with travel costs due to financial hardship. He/she will be traveling XXX.X miles per week for training. The current mileage reimbursement rate is*

*\$X.XX cents per mile. The total mileage cost per week for training is \$XXX.XX. [If This Amount Exceeds Current Policy Limitations, Note This And State The Amount Requested.] The client's attendance was verified by [Verifier's Name] at [Training Provider]. The travel assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a travel assistance check on YYYY/MM/DD for travel conducted during the week of YYYY/MM/DD – YYYY/MM/DD. The [List] activity was added in KEE-Suite."*

Example Supportive Services for Training Case Note (Format 3 — Travel Assistance):

*"2019/07/04*

*Dale is currently enrolled in Lineman training. He is traveling 57.2 miles one way from his home at 123 Main Street in Salyersville, KY, to training at 456 Technical Training Way in Hazard, KY, as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. He requested assistance with travel costs due to financial hardship. He will be traveling 572 miles per week for training. The current mileage reimbursement rate is \$0.41 cents per mile. The total mileage cost per week for training is \$234.52. The client's attendance was verified by Julie at Hazard Community and Technical College. The travel assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. He received a travel assistance check on 2019/07/04 for travel conducted during the week of 2019/06/24 – 2019/06/30. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Supportive Services for Training Case Note Format 4 — Travel Assistance for Gas Cards:

*"YYYY/MM/DD*

*[Client Name] is currently enrolled in [Training] training. He/she is traveling XX.X miles one way from his/her home at [Residence Address] to training at [Training Provider Address], as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. He/she requested assistance with travel costs due to financial hardship. He/she will be traveling XXX.X miles per week for training. The client's attendance was verified by [Verifier's Name] with [Training Provider] at [Verifier's Contact Information]. The travel assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a \$XX.XX gas card on YYYY/MM/DD for travel conducted during the week of YYYY/MM/DD – YYYY/MM/DD. The [List] activity was added in KEE-Suite."*

Example Supportive Services for ITA Training Case Note (Format 4 — Travel Assistance for Gas Cards):

*"2019/07/04*

*Rosalie is currently enrolled in Medical Billing and Coding training. She is traveling 34.5 miles one way from her home at 789 Second Street in*

*Barbourville, KY to training at 1011 College Way in Pineville, KY, as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. She requested assistance with travel costs due to financial hardship. She will be traveling 345 miles per week for training. The client's attendance was verified by April with Medical Billing Professional Training at 606.234.5678. The travel assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. She received a \$50.00 gas card on 2019/07/04 for travel conducted during the week of 2019/06/24 – 2019/06/30. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Supportive Services for Training Case Note Format 5 — Travel Assistance for Training Testing:

*"YYYY/MM/DD*

*[Client Name] is currently enrolled in [Training] training. He/she is required to complete an exam on YYYY/MM/DD in order to receive his/her [Career License/Certification]. He/she is traveling XX.X miles one way from his/her home at [Residence Address] to the examination at [Examination Location], as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. He/she requested assistance with travel and lodging costs due to financial hardship. The distance is XXX.XX miles round trip. The current mileage reimbursement rate is \$X.XX cents per mile, making the total cost for one round trip \$XXX.XX. The lodging cost was \$XXX.XX for one night's stay. The total reimbursement amount was \$XXX.XX. He/she provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a reimbursement check on YYYY/MM/DD. The [List] activity was added in KEE-Suite."*

Example Supportive Services for Training Case Note (Format 5 — Travel Assistance for Training Testing):

*"2019/07/04*

*Brandon is currently enrolled in Paramedic training. He is required to complete an exam on 2019/06/11 in order to receive his paramedic license. He is traveling 74.3 miles one way from his home at 234 Route 1 in Inez, KY to the examination at 567 Test Way in Ashland, KY, as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. He requested assistance with travel and lodging costs due to financial hardship. The distance is 148.6 miles round trip. The current mileage reimbursement rate is \$0.41 cents per mile, making the total cost for one round trip \$60.93. The lodging cost was \$122.90 for one night's stay. The total reimbursement amount was \$183.83. He provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. He received a*

*reimbursement check on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Supportive Services for Training Case Note Format 6 — Fees for Class:

*“YYYY/MM/DD*

*[Client Name] is currently enrolled in [Training] training. He/she is required to pay a fee of \$XXX.XX for his/her [Exam, Permit, License, Professional Organization Membership]. He/she provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a reimbursement check on YYYY/MM/DD. The [List] activity was added in KEE-Suite.”*

Example Supportive Services for Training Case Note (Format 6 — Fees for Class):

*“2019/07/04*

*Keith is currently enrolled in Surgical Technology training. He is required to pay a fee of \$110.00 for his certification exam. He provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. He received a reimbursement check on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Supportive Services Completion Case Note Format

*“YYYY/MM/DD*

*[Client Name] has been completed from Supportive Services on YYYY/MM/DD. He/she has no current needs for additional Supportive Services related to [Training]. The [List] activity was added in KEE-Suite.”*

Example Supportive Services Completion Case Note

*“2019/07/04*

*Adele has been completed from Supportive Services on 2019/07/04. She has no current needs for additional Supportive Services related to her Classroom Training as a Medical Transcriptionist. The [List] activity was added in KEE-Suite.”*

- 15. Service Case Notes: Supportive Services for Employment —** Service case notes document the client’s enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Supportive Services for employment appear below:

Supportive Services for Employment Enrollment Case Note Format:

*“YYYY/MM/DD*

*[Client Name] was enrolled into Supportive Services on YYYY/MM/DD. He/she will need assistance with [tools, uniforms, travel, etc.] in order to obtain*

*employment as a [Position] at [Employer]. The [List] activity was added in KEE-Suite.”*

Example Supportive Services for Employment Enrollment Case Note:

*“2019/11/23*

*Luis was enrolled into Supportive Services on 2019/11/23. He will need assistance with uniforms in order to obtain employment as a Respiratory Technician at Community Hospital. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Supportive Services for Employment Case Note Format 1 — Travel Assistance for Gas Cards:

*“YYYY/MM/DD*

*[Client Name] attended a [Job Fair, Interview, Job Search] at [Location] on YYYY/MM/DD to attempt to secure employment. The distance is XX.X miles one way from his/her home at [Residence Address] to the location at [Address], as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. He/she requested assistance with travel costs due to financial hardship. The client’s attendance was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. The travel assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a \$XX.XX gas card on YYYY/MM/DD. The [List] activity was added in KEE-Suite.”*

Example Supportive Services for Employment Case Note (Format 1 — Travel Assistance for Gas Cards):

*“2019/07/04*

*Nikki attended a Job Fair at Harlan Center on 2019/07/02 to attempt to secure employment. The distance is 37.2 miles one way from her home at 987 Hwy 119, Whitesburg, KY, to the location at 222 Main St., Harlan, KY, as documented by directions computed online. A copy of these online directions has been uploaded into KEE-Suite. She requested assistance with travel costs due to financial hardship. The client’s attendance was verified by April with EKCEP at 606.436.5751. The travel assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. She received a \$25.00 gas card on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Supportive Services for Employment Case Note Format 2 — Attire/Shoes/Supplies:

*“YYYY/MM/DD*

*[Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is required to purchase [Attire, Shoes, Supplies] for employment that are not provided by the employer. He/she has purchased: [List of Items Purchased]. The total cost of those items is \$XXX.XX. He/she provided receipts and requested reimbursement for the costs. The*

*reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a reimbursement check on YYYY/MM/DD. The [List] activity was added in KEE-Suite.”*

Example Supportive Services for Employment Case Note (Format 2 — Attire/Shoes/ Supplies):

*“2019/07/04*

*James has secured employment as an Automotive Mechanic at Repair Body Shop on 2019/07/01. He is required to purchase an automotive hand tools set for employment that is not provided by the employer. He/she has purchased: a 210-piece automotive hand tools set. The total cost of those items is \$299.00. He provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. He received a reimbursement check on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Supportive Services for Employment Case Note Format 3 — Legal/Medical Requirements:

*“YYYY/MM/DD*

*[Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is required to receive a [Physical, Immunization, Medical Test, Background Check] prior to beginning employment. The total cost is \$XXX.XX. He/she provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. The client received a reimbursement check on YYYY/MM/DD. The [List] activity was added in KEE-Suite.”*

Example Supportive Services for Employment Case Note (Format 3 — Legal/Medical Requirements):

*“2019/07/04*

*Becky has secured employment as a CNA at Golden Nursing Home on 2019/07/14. She is required to receive a TB Skin Test prior to beginning employment. The total cost is \$45.00. She provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been uploaded into KEE-Suite. She received a reimbursement check on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Supportive Services Completion Case Note Format

*“YYYY/MM/DD*

*[Client Name] has been completed from Supportive Services on YYYY/MM/DD. He/she has no current needs for additional Supportive Services related to [Employment]. The [List] activity was added in KEE-Suite.”*

Example Supportive Services Completion Case Note

*"2019/07/04*

*Rachel has been completed from Supportive Services on 2019/07/04. She has no current needs for additional Supportive Services related to Work Experience. The Received Career Services (WIOA) activity was added in KEE-Suite."*

16. **Service Case Notes: Needs-Based Payment** — Service case notes document the client's enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Needs-Based Payment appear below:

Needs-Based Payment Enrollment Case Note Format:

*"YYYY/MM/DD*

*[Client Name] was enrolled into Needs-Based Payment on YYYY/MM/DD. He/she has exhausted his/her UI benefits and is not currently employed. The lack of income is providing a financial hardship and may place his/her continued attendance in the current training program at risk. I have verified that the client was enrolled into a WIOA eligible training by the end of the 13th week after the most recent lay-off that resulted in a determination of the worker's eligibility as a dislocated worker. The [List] activity was added in KEE-Suite."*

Example Needs-Based Payment Enrollment Case Note:

*"2019/11/23*

*Rose was enrolled into Needs-Based Payment on 2019/11/23. She has exhausted her UI benefits and is not currently employed. The lack of income is providing a financial hardship and may place her continued attendance in the current training program at risk. I have verified that she was enrolled into a WIOA eligible training by the end of the 13th week after the most recent lay-off that resulted in a determination of her eligibility as a dislocated worker. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Needs-Based Payments Case Note Format:

*"YYYY/MM/DD*

*[Client Name] is currently enrolled in [Training] training at [Training Provider]. He/she has exhausted his/her UI benefits and is not currently employed. The lack of income is providing a financial hardship and may place his/her continued attendance in the current training program at risk. His/her calculated monthly Needs-Based Payment is \$XXXX.XX. The client's training attendance was verified by [Verifier's Name] with [Training Provider] at [Verifier's Contact Information]. The Needs-Based Payment for [Month, Year] has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received the Needs-Based Payments check on YYYY/MM/DD. The [List] activity was added in KEE-Suite."*

Example Needs-Based Payments Case Note:

*"2019/07/04*

*Rick is currently enrolled in Radiology training at Hazard Community and Technical College. He has exhausted his UI benefits and is not currently employed. The lack of income is providing a financial hardship and may place his continued attendance in the current training program at risk. His calculated monthly Needs-Based Payment is \$1733.33. The client's training attendance was verified by Walt with Hazard Community and Technical College at walt@ashlandctc.edu. The Needs-Based Payment for July 2019 has been approved and a copy of the approval has been uploaded into KEE-Suite. He received the Needs-Based Payments check on 2019/07/04. The Received Career Services (WIOA) activity was added in KEE-Suite."*

Needs-Based Payment Completion Case Note Format

*"YYYY/MM/DD*

*[Client Name] has been completed from Needs-Based Payments on YYYY/MM/DD. He/she has no current needs for Needs-Based Payments due to completing his/her training at [Training Institution]. The [List] activity was added in KEE-Suite."*

Example Needs-Based Payment Completion Case Note

*"2019/07/04*

*Colleen has been completed from Needs-Based Payments on 2019/07/04. She has no current needs for Needs-Based Payments due to completing her training at Big Sandy Community and Technical College. The Received Career Services (WIOA) activity was added in KEE-Suite. "*

17. **Service Case Notes: Relocation Assistance** — Service case notes document the client's enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Relocation Assistance appear below:

Relocation Assistance Enrollment Case Note Format:

*"YYYY/MM/DD*

*[Client Name] was enrolled into Relocation Assistance on YYYY/MM/DD. [Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is relocating to [City, State] for this employment position. The [List] activity was added in KEE-Suite."*

Example Relocation Assistance Enrollment Case Note:

*"2019/11/23*

*Sophia was enrolled into Relocation Assistance on 2019/11/23. She has secured employment as a Speech Pathologist at Child Therapy Services on 2019/11/28. She is relocating to Louisville, Kentucky for this employment position. The Received Career Services (WIOA) activity was added in KEE-Suite."*



Relocation Assistance Case Note Format:

*“YYYY/MM/DD*

*[Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is relocating to [City, State] for this employment position. He/she requested assistance with relocation costs due to financial hardship. The client’s employment was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. The Relocation Assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. He/she received a Relocation Assistance check on YYYY/MM/DD in the amount of \$XXXXX. The [List] activity was added in KEE-Suite.”*

Example Relocation Assistance Case Note:

*“2019/07/04*

*Susie has secured employment as a Store Manager at Good Foods Grocery Store on 2019/07/15. She is relocating to Bristol, VA, for this employment position. She requested assistance with relocation costs due to financial hardship. The client’s employment was verified by Jenny with Good Foods Grocery Store at 276.888.1707. The Relocation Assistance has been approved and a copy of the approval has been uploaded into KEE-Suite. She received a Relocation Assistance check on 2019/07/04 in the amount of \$3,000. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

Relocation Assistance Completion Case Note Format

*“YYYY/MM/DD*

*[Client Name] has been completed from Relocation Assistance on YYYY/MM/DD. He/she has received a Relocation Assistance payment to assist with relocation expenses. [Client Name] [continues/does not continue] employment as a [Position] at [Employer]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment]. The [List] activity was added in KEE-Suite.”*

Example Relocation Assistance Completion Case Note

*“2019/07/04*

*Tanner has been completed from Relocation Assistance on 2019/07/04. He has received a Relocation Assistance payment to assist with relocation expenses. Tanner continues employment as a Conductor at Pennsylvania Railroad. The Received Career Services (WIOA) activity was added in KEE-Suite.”*

18. **Progress Case Notes** – Progress case notes provide detailed continual reporting of the client’s progress, changing circumstances, and action steps planned or taken in response to this progress. These case notes justify WIOA program services and activities. Progress case notes should include reports of:

- Client's grades.
- Successful completion of a class, program, curriculum, training, or GED.
- Changes in classes (dropped or added) or course of study.
- Changes in course of study and any consequences.
- Any difficulties the client is having and the actions recommended to assist the client.
- Results of any previously recommended actions.

Examples of progress case notes for specific services and activities appear in the sections above that address other case notes for the same service or activity.

19. **Completion Case Notes** – Completion case notes document a client's completion from a WIOA service and the outcome. Completion case notes will include:

- A statement showing the end date of the service.
- A statement indicating whether the client completed the service successfully or unsuccessfully.
- A statement that provides the client's plan of action and next steps.

Formats and examples for completion case notes for specific services and activities appear in this section where those services are discussed.

20. **Completion to Employment Case Notes** — A completion to employment case note documents the client's completion from WIOA services to employment. Completion to employment case notes will include:

- A statement that the client was completed from WIOA services to employment.
- The source of confirmation that the client is employed.
- The starting date for the client's job.
- The client's job title.
- The client's hourly pay rate, if available.
- The number of hours per week the client is working.
- The name of the client's supervisor at work.

Completion to Employment Case Note Format 1:

*"YYYY/MM/DD*

*[Client Name] is employed with [Employer Name]. I contacted the Human Resource Department at [Phone Number] and spoke with [Name and Title], who verified that [Client Name] began employment on Year/Month/Day as a [Job Title/Position] under the supervision of [Supervisor's Name]. He/She works [number] hours per week at \$[wage] per hour."*

Example Completion to Employment Case Note (Format 1):

*"2019/07/04*

*Jane is employed with Acme Wholesale. I contacted the Human Resource Department at 606-555-1234 and spoke with John Jones, Personnel Director, who verified that Jane began employment on 2019/07/02 as an order fulfillment clerk under the supervision of Wanda Wilson. She works 38 hours per week at \$15.75 per hour."*

Completion to Employment Case Note Format 2:

*"YYYY/MM/DD*

*[Client Name] gained employment as a [Job Title] with [Employer] at [Street Address] in [City] on YYYY/MM/DD. His/her employment was verified by [Verifier's Name] with [Verifier's Employer] at [Verifier's Contact Information]. The ~~[List] activity was added in KEE-Suite."~~*

Example Completion to Employment Case Note (Format 2):

*"2019/07/04*

*Rodney gained employment as a Diesel Mechanic with Ace Mechanic Shop at 314 Hwy 23 in Louisa, KY. His employment was verified by Mark with Ace Mechanic Shop at 606.223.9876."*

**21. Follow-up Case Notes: All Clients** — Follow-up case notes are required for 12 months following completion to unsubsidized employment for all clients who have successfully completed Individualized or Paid Services. There is no enrollment into a Follow-Up service in KEE-Suite. Follow-Up will require a monthly follow-up contact and case note. A follow up case note should include:

- The date Year/Month/Day that the client was contacted.
- The method of communication (phone call, email, mail, office visit, etc.)
- Any information regarding the clients progress or need for additional assistance.

Follow-up Case Note Format:

*"YYYY/MM/DD*

*I contacted [Client Name] by [phone/email/mail/in person]. He/she is [Employment Status Update] and does/doesn't need additional assistance at this time. [If additional assistance is provided, describe the assistance/services.]"*

Example Follow-up Case Note:

*"2019/07/04*

*I contacted Michelle by email at hername@email.net. She is still employed at Community Hospital as a Registered Nurse and said she doesn't need additional assistance at this time."*

**22. Performance Quarters After Exit Case Notes** — When Career Advisors check on clients to ensure that they continue to be employed in the quarters after exit, the results of the call must be recorded in a case note, as shown below:

Performance Quarters After Exit Case Note Format:

*“YYYY/MM/DD*

*[Client Name] [continues/does not continue] employment as [List Position] with [Employer Name]. His/her employment was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. This is his/her [First/Second/Third/Fourth] post quarter following exit from WIOA services.”*

Example Performance Quarters After Exit Case Note:

*“2019/07/04*

*Maggie continues employment as a Clinical Medical Assistant with Dr. Baker’s Medical Practice. Her employment was verified by Deanna with Dr. Baker’s Medical Practice at 606.859.1234. This is her fourth post quarter following exit from WIOA services.”*

## **Section Five: Information Management**

### **A. Data Entry into KEE-Suite**

Data entered into KEE-Suite provides multiple advantages to clients. The data provides:

- An accurate record of the client's progress.
- A logical outline of the client's goals and career plans.
- Documentation of the client's successes in reaching his/her career goals.
- Access to the client's resume for potential employers.
- An opportunity for clients to be matched to open jobs in the system by partner agencies.
- Specific groups of job seekers (e.g., veterans) with significant advantages in a highly competitive job market.
- Useful information to other partner agencies within the workforce system.

Data in KEE-Suite also provides proof of the workforce system's effectiveness in matching people to jobs and supports the continued funding of its programs. The data provides a means of gauging individual programs' effectiveness in client completion and eventual employment in specific areas of employment that show growth in EKCEP's economic area.

Career Advisors should enter data into KEE-Suite when:

- A client self-registers without any agency involvement.
- A client wants to develop a resume and search for employment on his/her own.
- A client wants assisted self-services from a contractor agency.
- Any time a Career Advisor provides significant assistance to a client.
- A client is determined to be eligible for any WIOA service.
- A client is entered into any WIOA service.

Data entered into KEE-Suite should be:

- Entered in a timely manner, but not more than 10 days following an event or contact.
- Grammatically correct and accurate because large portions of KEE-Suite data will also appear on the client's resume.
- Kept up to date in order to keep the client's information current for potential employers. This especially applies to contact information.
- A running account of the client's career plans, goals and progress.

- Used to produce a resume that could immediately get the attention of a potential employer and get the client a job.

Data entered into KEE-Suite should **never** include:

- Personal information that might embarrass the client.
- Medical information that would violate HIPPA privacy laws if revealed.
- Information that would cast the client in a poor light to potential employers.
- Information that the case manager only assumes or observes without direct confirmation from the client.
- Opinions or judgments by the case manager.
- Errors in grammar, spelling, or punctuation.
- False or misleading information.

### **B. Client File Requirements**

Contractors are responsible for maintaining all client records. Contractors must upload into KEE-Suite all documentation that supports the determination that the client was eligible for WIOA, as well as supporting documentation for any other WIOA services in which the client is enrolled.

Clients' records may be monitored by EKCEP, the Commonwealth of Kentucky's Division of Workforce Services, and the U.S. Department of Labor.

In the event that a client file cannot be located in KEE-Suite, justification must be provided as to why the file cannot be located. If the file cannot be located, the contractor must submit a corrective action plan to be implemented. Additionally, any expenditure associated with the client whose file-cannot be located will be considered questionable costs. If the file cannot be located for monitoring or data validation purposes, it will be marked "Unable to Locate" and will fail all monitoring and data validation measures.

## Attachment One: Follow-Up Determination Flow Chart

