

STATE OF MONTANA

WORKFORCE INNOVATION AND
OPPORTUNITY ACT
OPERATIONS MANUAL



PROGRAM YEAR 2020

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PURPOSE OF THE WIOA OPERATIONS MANUAL

This operations manual describes and documents the applicable process and procedures for implementation of WIOA Title 1B policies. It states/describes the standard procedures for performing appropriate operations to ensure consistence and adherence to current WIOA and State Displaced Homemaker (SDH) policies.

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MONITORING, EVALUATION AND TECHNICAL ASSISTANCE

OPERATIONAL GUIDANCE: Refer to the Monitoring, Audits, Performance and Sanctions Policy. The following is intended as guidance and clarification.

Technical Assistance:

Program Managers may provide technical assistance to State Displaced Homemaker and WIOA Adult, Youth and Dislocated Worker case managers through a variety of ways including:

One-on-one technical assistance through telephone or e-mail as appropriate for the situation.

Monthly Technical Assistance Calls: Program Managers provide technical assistance to WIOA and State Displaced Homemaker case managers on a monthly basis.

- First Thursday of Every Month at 10am
- Provides guidance on current issues or questions
- Power Point and materials are provided and posted on the WIOA website
- The TA Call is recorded and available for a limited time
- Content of the call is intended to provide technical assistance
- All case managers are required to attend or review the recording when time allows if attendance is not possible

New Case Manager Training: Program Managers provide technical assistance to all new WIOA Adult, Youth, Dislocated Worker and State Displaced Homemaker case managers.

Technical Assistance During the Monitoring Process: WIOA Program Managers schedule technical assistance and training with each service provider operating the State Displaced Homemaker Program, WIOA Adult, Youth and Dislocated Worker Programs. Technical assistance related to monitoring may be provided through virtual means.

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SERVICE PROVIDER REPORTING and AUDIT REQUIREMENTS

OPERATIONAL GUIDANCE: Refer to the Service Provider Reporting and Audit Requirements Policy. The following is intended as **guidance and clarification**.

PROGRAM REPORTING

All program reports are due the 25th day of the month following the end of the quarter.

ADULT REPORTING

Include the service provider, program, and program reporting period and quarter end date. The Quarterly Status Report (QSR) form provides these in drop down fields. The client number is **cumulative and should never decrease** quarter to quarter. The first quarter ending in the new program year should include previous program year's clients that are continuing enrollment. This does not include clients that were placed in follow up in the previous program year. The remaining quarters is the number from the previous quarter plus the new clients. See the chart below as an example.

1. Client Activity Table

A. Planned Clients

- The number of clients you planned to enroll for the quarter. This total should match your Project Operation Plan (POP)

B. Actual Clients Enrolled

- The number of clients enrolled for the quarter. This total may be higher than your planned clients.

C. Clients Co-enrolled in Another Program

- The number of clients co-enrolled in programs in addition to the Adult program.
- This number should include other employment and training programs your agency or another agency operates
 - ❖ e.g. TANF-Pathways, Vocational Rehabilitation
- This number should not exceed the number of **Actual Clients Enrolled**.

D. Clients Who Received Training

- The number of clients who attended training while enrolled. This number includes those who attended training funded by the Adult program, as well as those whose training was funded by another source.

This number should never exceed the number of **Actual Clients Enrolled**.

E. Clients Who Obtained a Credential

- The number of clients who attended training and obtained a credential.

- This number should never exceed the number of **Clients who received training.**
- F. Clients Who Obtained a Measurable Skills Gain**
- The number of clients who attended training and obtained one of the five classifications of a measurable skills gain.
 - This number should never exceed the number of **Clients Who Received Training.**
- G. Clients Closed from the Program**
- The number of clients whose enrollment has been closed for any reason.
 - This number should never exceed the number of **Actual Clients Enrolled.**
- H. Clients Closed to Employment**
- The number of clients whose enrollment has been closed due to employment.
 - This number should never exceed the number of **Clients Closed from the Program.**
- I. Clients Continuing Enrollment**
- The number of clients whose enrollment has not been closed and continue to receive services.
- J. Clients Enrolled via RESEA (JOB SERVICE PROVIDERS ONLY)**
- The total clients enrolled who were referred due to completing a RESEA appointment and enrolled in the program.
 - This number should not exceed the number of **Actual Clients Enrolled.**

Clients	Quarter ending September 30th	Quarter ending December 31st	Quarter ending March 31st	Quarter ending June 30th
A) Planned Clients to be enrolled from your POP.	5	14	19	24
B.) Actual Clients enrolled	5	15	21	27
C.) Clients co-enrolled in another program	3	10	13	15
D.) Clients who received training	3	8	11	16
E.) Clients who attained a credential	3	5	7	9
F.) Clients who obtained a Measurable Skills Gain	3	8	11	16
G.) Clients exited from the program	3	6	8	12
H.) Clients exited to employment	2	4	6	9
I.) Clients continuing enrollment	2	11	15	18
J.) UI Clients referred to Adult via RESEA* *Job Service only.	2	4	6	8

2. Complete the Narrative Section of the QSR. Each question should have a thorough account of your agencies activities during the quarter.

Success Stories: WIOA is interested in success stories that highlight clients in WIOA Adult Program. The format for adding the success stories to the quarterly narrative reports is as follows:

1. Tell the story and make it interesting;
2. Who is the client;
3. What type of service did they receive;
4. When did they receive the services (month and year);
5. Where did they receive the service (name of provider and city);
6. Why did they receive the services (what was their circumstances); and
7. How did the services or program impact their life for the better?

Client success stories may be shared with the United States Department of Labor (USDOL) however the service provider must provide a signed release/permission from the client prior to sharing their story with USDOL.

DISLOCATED WORKER REPORTING

Include the service provider, program, and program reporting period and quarter end date. The new QSR form provides these in drop down fields. The client number is **cumulative and should never decrease** quarter to quarter. Cumulative means in the first quarter, the number of clients carried from the previous program year plus the new clients.

The remaining quarters is the number from the previous quarter plus the new clients. See the chart below as an example.

1. Complete the Client Table.

A. Clients enrolled

- The number of clients enrolled for the quarter.

B. Clients enrolled via RESEA

- The total clients enrolled who were referred due to completing a RESEA appointment and enrolled in the program.
- This number should not exceed the number of **Clients enrolled**.

C. Clients co-enrolled in another program

- The number clients co-enrolled in programs in addition to the Dislocated Worker program.
- This number should include other programs your agency operates, as well as, programs operated by another agency.
- This number should not exceed the number of **Clients enrolled**.

D. Clients who received a Rapid Response service

- The number of clients enrolled and have received a Rapid Response service recorded in MIS. This service may be recorded at the time of enrollment into the Dislocated Worker program or up to 6 months prior to enrollment.
- This number should never exceed the number of **Clients enrolled**.

E. Clients who Received Training

- The number of clients who attended training while enrolled. This number includes those who attended training funded by the Dislocated Worker program, as well as, those whose training was funded by another source.
- This number should never exceed the number of **Clients Enrolled**.

F. Clients who obtained a measurable skills gain

- The number of clients who attended training and obtained one of the five classifications of a measurable skills gain.
- This number should never exceed the number of **Clients who received training**.

G. Clients who obtained a credential

- The number of clients who attended training and also obtained a credential.
- This number should never exceed the number of **Clients who received training**.

H. Clients exited from the program

- The number of clients whose enrollment has been closed for any reason.

- This number should never exceed the number of **Clients Enrolled**.

I. Clients exited to employment

- The number of clients whose enrollment has been closed due to employment.
- This number should never exceed the number of **Clients exited from the program**.

J. Clients continuing enrollment

- The number of clients whose enrollment has not been closed and continues to receive services.
- This number should equal the number of **Clients enrolled** minus the number of **Clients exited from the program**.

Clients	Quarter ending September 30th	Quarter ending December 31st	Quarter ending March 31st	Quarter ending June 30th
Clients enrolled	6	8		
Clients referred via RESEA	0	0		
Clients co-enrolled in another training program	2	4		
Clients who received a rapid response service	6	8		
Clients who received training	2	3		
Clients who obtained a measurable skills gain	0	0		
Clients who obtained a credential	0	0		
Clients exited from the program	4	4		
Clients exited to employment	2	2		
Clients continuing enrollment	2	4		

2. Complete the Narrative Section of the QSR. Each question should have a thorough account of your agencies activities during the quarter.

Success stories:

Success stories should include the clients name, background of the client, the services received during their enrollment, any accomplishments such as licenses or degrees obtained, and the employment outcome with wage information. **Success stories should NOT include the case managers opinion.**

Client success stories may be shared with USDOL however the service provider must provide a signed release/permission from the client prior to sharing their story with USDOL

YOUTH REPORTING

Report is due the 25th day of the month following the end of the Quarter.

Include the service provider's name, the program reporting period and the reporting quarter end date.

1. Client Table

Do not include clients who were closed or enrolled in follow up in the prior program year in these numbers.

The Plan numbers are pulled from the Project Operating Plan (POP). Enter the corresponding numbers from the POP to the Plan column in the QSR.

- A. Total Planned Clients:** The total planned and actual equals a+b
- Enter the total number of clients enrolled in the reporting quarter. These numbers in this column will be **cumulative**.
 - The numbers will generally be determined through the MIS Case Management Search or client files or a combination of both.
 - a. Total In-School Youth (ISY):**
 - Enter the total number of ISY enrolled in the reporting quarter. The numbers in this column will be **cumulative**.
 - b. Total Out-of-School (OSY)**
 - Enter the total number of OSY enrolled the reporting quarter. These numbers will be **cumulative**.
- B. Client Who Received Training**
- Enter the total number of clients that received training in the reporting quarter.
NOTE: For the QSRs, training counts should include any of the following:
 - WIOA **OSY** clients that your agency enrolled, placed into and paid for training (cost of instruction/cost of tuition);
 - clients that were already in training and then enrolled into the WIOA Youth and your agency supported the training in some manner;
 - clients that your agency helped prepare for the HiSET or High School Diploma and received the credential.
 - clients that are receiving Adult Basic/Literacy Services/Tutoring
- C. Work Experience (WEX):** These numbers will be the totals of **a through e** for each quarter. These numbers are not tied to the POP.

- Enter the total number of clients that received a WEX service or an incentive tied to WEX in the reporting quarter.
- D. Clients Who Received a Credential:** This category is not tied to the POP.
- Enter the total number of clients that received a credential in the reporting quarter.
- E. Clients Who Attained a Measurable Skills Gain (MSG):** This category is not tied to the POP.
- Enter the total number of clients that received an MSG in the reporting quarter.
- F. Total Exiters:** These numbers will be the totals of **a+b+c**.
- Enter the total number of exiters for the reporting quarter.
- G. Total Continuing Clients:** These numbers will be the total of **A** minus the total of **F**.
- Actual column – enter the total number of clients that will be continuing in WIOA.

Example Client Activity Table

<i>Cumulative record of client activity- planned vs. actual</i>	Client Activity							
	Qtr 1: July-Sept		Qtr 2: Oct-Dec		Qtr 3: Jan-Mar		Qtr 4: Apr-June	
	Plan	Actual	Plan	Actual	Plan	Actual	Plan	Actual
A. Total Planned Clients Carry in and New (total <u>a+b</u>)	29	32						
a. Total In-School Youth	4	5						
b. Total Out-of-School Youth	25	27						
B. Clients Who Received Training	1	0						
C. Work Experience (total of clients in a through e)	6	9						
a. Summer Employment Opportunities and other Employment Opportunities Throughout the Year	6	9						
b. Pre-Apprenticeship	0	0						
c. Internships and Job Shadowing	0	0						
d. OJT Opportunities	0	0						
e. Incentives Tied to Work Experiences	0	0						
D. Clients Who Received a Credential	1	0						
E. Clients Who Attained a Measurable Skills Gain	1	0						
F. Clients Exited from the Program (Total of a through c)	3	2						
a. Exited to Employment	0	0						
b. Exited to Post-Secondary Education	0	0						
c. Exited to Other	2	2						
G. Total Continuing Clients (A - F)	26	30						

2. EXPENDITURE TABLES

Expenditures should include WIOA funding spent on youth receiving follow-up services.

Out-of-School Youth (OSY) and In-School Youth (ISY) expenditures are documented on two separate expenditure tables. The Plan numbers are pulled from the Project Operating Plan (POP). Enter the corresponding numbers from the POP to the Plan column in the QSR.

ISY TABLE

I. Total Planned/Expended: The total planned/expended is the total expenditures of **A. + B.**

A. ISY Expenditures: The total of **1 through 3**

1. Work Experience (WEX) Expenditures: The total amount spent on any of the WEX categories **a through g. WEX staffing and overhead:** staff time spent working to identify and develop a WEX including; working with employers; time spent managing and evaluating the WEX; client and employer WEX orientation sessions; time spent on classroom training or the academic education related to the WEX; and providing employability/job readiness training to prepare youth for a work experience.

2. Supportive Services: Enter the total spent on supportive services in the quarter.

3. Other (Client only): Examples include the incentives and stipends that are not tied to WEX, and any costs associated with short-term prevocational training, tutoring services, financial literacy.

B. Case Management – Overhead and Staffing

Includes all other costs related to staffing and overhead/regular operating costs.

Example In-School Youth Expenditures Table

In-School (ISY) Youth Expenditures								
(Cumulative record of planned vs. actual expenditures)	Qtr 1: July-Sept		Qtr 2: Oct-Dec		Qtr 3: Jan-Mar		Qtr 4: Apr-June	
	Plan	Actual	Plan	Actual	Plan	Actual	Plan	Actual
I. Total Planned/Expended (A+B)	\$6,400.00	\$13,077.05						
A. ISY Expenditures (1 through 3)	\$3,100.00	\$9,480.02						
1 Work Experience (a through g)	\$2,825.00	\$9,480.02						
a. Summer Employment Opportunities and other Employment Opportunities Throughout the Year	\$1,625.00	\$8,686.16						
b. Pre-apprenticeship								
c. Internships and Job Shadowing								
d. OJT Opportunities								
e. WEX Incentives								
f. WEX Stipends								
g. WEX Staffing and Overhead	\$1,200.00	\$793.86						
2. Supportive Services	\$200.00	0.00						
3. Other (Client only)*	\$75.00	0.00						
B. Case management – Overhead and Staffing	\$3,300.00	\$3,597.03						

OSY TABLE

- I. **Total Planned/Expended:** The total planned/expended is the total expenditures of A + B.
 - A. **OSY Expenditures:** The total of 1 through 4
 1. **Work Experience (WEX) Expenditures:** The total amount spent on any of the WEX categories a through g.
 - o **WEX staffing and overhead:** staff time spent working to identify and develop a WEX including; working with employers; time spent managing and evaluating the WEX; client and employer WEX orientation sessions; time spent on classroom training or the academic education related to the WEX; and providing employability/job readiness training to prepare youth for a work experience.
 2. **Supportive Services:** Enter the total spent on supportive services in the quarter.
 3. **Other (Client only):** Examples include the incentives and stipends that are not tied to WEX, and any costs associated with short-term prevocational training, tutoring services, financial literacy.
 4. **Training Services:** Enter the total of a+b.
 - B. **Case Management – Overhead and Staffing**
Includes all other costs related to staffing and overhead/regular operating costs.

Example OSY Expenditure Tables

Out-of-School Youth (OSY) Expenditures								
(Cumulative record of planned vs. actual expenditures)	Qtr 1: July-Sept		Qtr 2: Oct-Dec		Qtr 3: Jan-Mar		Qtr 4: Apr-June	
	Plan	Actual	Plan	Actual	Plan	Actual	Plan	Actual
I. Total Planned/Expended (A+B)	\$30,825.00	\$24,789.69						
A. OSY Expenditures (1 through 4)	\$14,825.00	\$7,098.16						
1 Work Experience (a through g)	\$13,000.00	\$7,038.16						
a. Summer Employment Opportunities and other Employment Opportunities Throughout the Year	\$7,750.00	\$4,962.65						
b. Pre-apprenticeship	\$250.00	0.00						
c. Internships and Job Shadowing								
d. OJT Opportunities								
e. WEX Incentives								
f. WEX Stipends								
g. WEX Staffing and Overhead	\$5,000.00	\$2,075.51						
2. Supportive Services	\$1,125.00	\$60.00						
3. Other (Client only)*	\$200.00	\$0.00						
4. Training Services (a+b)	\$500.00	\$0.00						
a. ITA Training Costs								
b. Expenditures that Support Training	\$500.00	\$0.00						
B. Case management – Overhead and Staffing	\$16,000.00	\$17,691.53						

3. **REPORT NARRATIVE:** Provide a response to each item 1-9
 - #9 **Success Stories:** Use the following format when providing a client's success story:
 - 1) Client's name; 2) service(s) received; 3) month and year the client received the service; name of provider and city that provided the service); explain the client's

circumstance when they received the service; and describe how the services or program impacted the client's life for the better.

Client success stories may be shared with USDOL however the service provider must provide a signed release/permission from the client prior to sharing their story with USDOL.

FINANCIAL REPORTING

Report is due the 25th day of the month following the end of the Quarter.

Instructions for completing the ETA-9130:

- 1) **Agency Which Report is Submitted:** PRE_ENTERED
- 2) **Federal Grant or Other Identifying Number:** Contract Number
- 3) **Recipient Organization:** Name and complete address of the organizations
- 4) **A) Unique Entity Identifier:** Organization's DUNS Number
B) EIN: Organizations Employer Identification Number
- 5) **Recipient Account Number or Identify Number:** Enter account number, fund number, or other identifying number assigned by the organization. This number is for the recipient's use only and not required by DLI.
- 6) **Final Report:** Check YES or NO. Check YES only if it is the FINAL Report
- 7) **Basis of Accounting:** ACCRUAL has been pre-entered on all reports

DOL/ETA regulations require that all recipients report expenditures and program income on an accrual basis. For accrual basis reporting, accrued expenditures are recorded when a requirement to pay is established.

Note: Recipients are not required to change their accounting systems to accommodate DOL/ETA requirements that differ from their underlying accounting practices. Instead, recipients must furnish the required accrual information based on available documentation and best estimates.

- 8) **Project/Grant Period:** The beginning date of the grant award as defined in the contract.
Project/Grant Period: The ending date of the grant award as defined in the contract. This is the final date for which accrued expenditures can be incurred under the grant.
- 9) **Reporting Period End Date:** The last date of the quarter for which the cumulative data is provided on the Financial Report

Transactions

Enter cumulative amounts in the **Cumulative Column** for each line item requiring data entry, as of the reporting period end date.

Cumulative data for current reporting quarter will become **Previous Period Column** in following quarter. Enter totals in the Previous Period Column. **This Period** data will be automatically calculated. Use Section 12, Remarks, to provide any information deemed necessary to support/explain data provided in this section.

Federal Cash

10a) Cash Receipts: Enter the cumulative amount of **cash received from DLI** as of the reporting period end date. Note: Recipients operating on a reimbursement basis will not show cash receipts until it is actually drawn.

10b) Cash Disbursements: Enter the cumulative amount of cash disbursed from the cash receipts identified on 10a, as of the reporting period end date. Disbursements are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expenses charged to the award, and the amount of cash advances and payments made to subrecipients and subcontractors.

10c) Cash On Hand: This is an automatic calculation, which is Line 10a minus Line 10b.

The cash on hand amount should represent immediate cash needs. If any drawdowns were made prematurely, or there are other reasons for any excess cash on hand, an explanation should be provided in Section 12, Remarks.

Federal Expenditures and Unobligated Balance

10d) Total Federal Funds Authorized: This entry should agree with the grant award amount specified in the contract.

10e) Federal Share of Expenditures: Enter the cumulative amount of accrued expenditures for allowable costs associated with the funds authorized on Line 10d.

Accrued expenditures are the sum of actual cash disbursements for direct charges for goods and services; the amount of indirect expenses charged to the award; and the amount of cash advances and payments made to subrecipients and subcontractors, MINUS any rebates, refunds, or other credits; PLUS the total costs of all goods and property received or services performed, whether or not a cash payment has occurred. Accrued expenditures are to be recorded in the reporting quarter in which they occur, regardless of when the related cash receipts and disbursements take place.

This entry will usually be greater than Line 10b, cash disbursements, because accruals (goods and services received but not yet paid for) must be included on this line item. In addition, recipients operating on a reimbursement basis must report all

accrued expenditures (including cash disbursements) in the quarter in which they occur (no matter what source initially pays the costs.)

10f) Federal Share of Unliquidated Obligations: Enter any obligations (legal commitments to expend subject grant funds authorized) that have not yet been reported as an accrued expenditure or for which a cash disbursement has not yet occurred, as of the reporting period end date. Unliquidated obligations should include amounts which will become due to subrecipients and subcontractors. On the final report, this line item should be zero.

Do not include any amount on Line 10f that has been reported on Line 10e. Do not include any amount on Line 10f for a future commitment of funds (e.g., long-term contract) for which an obligation has not been incurred.)

10g) Total Federal Obligations: This is an automatic calculation, which is the sum of Lines 10e and 10f.

10h) Unobligated Balance of Federal funds: This is an automatic calculation, which is Line 10d minus Line Item 10g.

Recipient Share

10i) Recipient Share of Expenditures: Stand-In Costs: Enter any non-Federal third-party funds expended for the purposes or activities of subject grant. Expenditures identified on this line item must be allowable costs which could otherwise be paid for out of subject grant funds.

Program Income

10j) Total Federal Program Income Earned: Enter the total amount of program income earned as the result of allowable grant activity. The addition method for recording and reporting program income is required for all ETA programs/grants.

Either gross or net program income may be reported. If gross program income is reported, the costs for generating the income should be included on Line 10e. If net program income is reported, the costs for generating the income are subtracted from the total income earned before entering the net amount on 10j.

10k) Program Income Expended: Enter the total cumulative amount of accrued expenditures incurred against the program income earned on Line 10j.

NOTE: Program income is to be expended during the same grant period in which it is earned.

10l) Unexpended Program Income: This is an automatic calculation, which is Line 10j minus 10k.

Additional Expenditure Data Required

For the Youth Form

11a) Other Federal Funds Expended: Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

11b) Real Property Proceeds Expended: Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

11c) Out of School Youth Expenditures: Enter expenditures for allowable program activities for clients meeting eligibility criteria for out of school youth.

11d) In School Youth Expenditures: Enter expenditures for allowable program activities for clients meeting eligibility criteria for in school youth.

Lines 11c (Out-of-School Youth Expenditures) Plus 11d (In-School Youth Expenditures) should EQUAL Line 10e (Federal Share of Expenditures).

11e) Federal Share of Unliquidated Obligations for Pay-for-Performance Contracts: Enter any obligations incurred for pay-for-performance contracts for which an expenditure has not yet been recorded, as of the reporting period end date. This amount should represent the aggregate unliquidated obligations for pay-for-performance contracts for local areas and it is a portion of the amount reported in 10f (Federal Share of Unliquidated Obligations).

11f) Pay-for-Performance Contract Expenditures: Enter the cumulative amount of expenditures charged to the Local Youth grants for pay-for-performance contract costs. This line item should represent the total accrued pay-for-performance contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

11g) Work Experience Expenditures: Enter the cumulative amount of expenditures charged to the Local Youth grants for work experience activities. This line item should represent the total accrued work experience expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

WIOA Sec. 129 (c)(4) requires that a minimum of twenty percent of Federal funds allocated to local areas to carry out the local Youth program for a fiscal year must be expended on work experience activities.

For the Adult Form

11a) Other Federal Funds Expended: Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

11b) Real Property Proceeds Expended: Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

11c) Expenditure of Adult Funds on the DW Program: Enter expenditures resulting from the transfer of Adult funds to the DW program. (This entry represents Adult funds expended on the DW program.)

11d) Federal Share of Unliquidated Obligations for Pay-for-Performance Contracts:

Enter any obligations incurred for pay-for-performance contracts for which an expenditure has not yet been recorded, as of the reporting period end date. This amount should represent the aggregate unliquidated obligations for pay-for-performance contracts for local areas and it is a portion of the amount reported in 10g (Federal Share of Unliquidated Obligations).

11e) Pay-for-Performance Contract Expenditures: Enter the cumulative amount of expenditures charged to the Local Adult grants for pay-for-performance contract costs. This line item should represent the total accrued pay-for-performance contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

11f) Transitional Jobs Expenditures: Enter the cumulative amount of expenditures charged to the Local Adult grants for transitional jobs costs. This line item should represent the total accrued transitional jobs contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

11g) Incumbent Worker Training Expenditures: Enter the cumulative amount of expenditures charged to the Local Adult grants for incumbent worker training costs. This line item should represent the total accrued incumbent worker training contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures)

For the Dislocated Worker Form

11a) Other Federal Funds Expended: Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

11b) Real Property Proceeds Expended: Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

11c) Expenditure of DW Funds on Adult Program: Enter expenditures resulting from the transfer of DW funds to the Adult program. (This entry represents DW funds expended on the Adult program.)

11d) Federal Share of Unliquidated Obligations for Pay-for-Performance Contracts:

Enter any obligations incurred for pay-for-performance contracts for which an expenditure has not yet been recorded, as of the reporting period end date. This amount should represent the aggregate unliquidated obligations for pay-for-performance contracts for local areas and it is a portion of the amount reported in 10f (Federal Share of Unliquidated Obligations).

11e) Pay-for-Performance Contract Expenditures: Enter the cumulative amount of expenditures charged to the Local Dislocated Worker grants for pay-for-performance contract costs. This line item should represent the total accrued pay-for-performance contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

11f) Transitional Jobs Expenditures: Enter the cumulative amount of expenditures charged to the Local Dislocated Worker grants for transitional jobs costs. This line item should represent the total accrued transitional jobs contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

11g) Incumbent Worker Training Expenditures: Enter the cumulative amount of expenditures charged to the Local Dislocated Worker grants for incumbent worker training costs. This line item should represent the total accrued incumbent worker training contract expenditures for all local areas and it is a portion of the amount reported in 10e (Federal Share of Expenditures).

For the Rapid Response Form

11a) Other Federal Funds Expended: Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.

11b) Real Property Proceeds Expended: Enter expenditures resulting from the sale of real property purchased with ETA (ES or UI) funds.

11c) Rapid Response Funds Expended on Other Statewide Programs: Enter the cumulative amount of Rapid Response funds expended on other statewide programs, regardless of whether the funds were expended at the State or local level. This line item is a portion of the amount reported in 10e (Federal Share of Expenditures).

For the Basic Form

11a) Other Federal Funds Expended: Enter other Federal non-DOL ETA funds expended for the same purpose for which subject grant was awarded.'

Remarks, Certification, and Agency Use Only

12) Remarks: Enter any explanations deemed necessary or information required by DLI.

13a) Typed or Printed Name and Title of Authorized Certifying Official: Enter the name and title of the authorized certifying official.

13b) Signature of Authorized Certifying Official: The authorized certifying official must sign here.

13c) Telephone (Area Code, Number and Extension): The telephone number of certifying individual.

13d) Email Address: The email address of the certifying individual

13e) Date Report Submitted (Month, Day, Year): The date the FR is submitted to DLI.

14) Agency Use Only: This section is reserved for DOL/ETA use.

GRANT AGREEMENT CLOSEOUT

WIOA CLOSEOUT PACKAGE

The closeout forms will be sent to the service provider at the end of the grant period.

Please submit the following documents to the Workforce Services Division, P.O. Box 1728, Helena, MT 59624.

1. Closeout Cover Sheet
2. Program Income Report
3. Final Requisition for Cash or Refund Due
4. Assignment of Refunds, Rebates, and Credits
5. Subgrantee Release
6. Inventory Control Statement
7. Final ETA-9130 Financial Report
 - For Adult and DW include both 1st and 2nd increment FINAL report

The closeout cover sheet must be signed by the by the subgrant signatory.

Remember to include **both 1st increment and 2nd increment ETA-9130 Financial Reports for Adult and DW.

CLOSEOUT INSTRUCTIONS

1) CLOSEOUT COVER SHEET:

- Check the appropriate boxes.
- Enter the name of the subgrantee.
- Enter the date on which the report is being submitted.
- Enter signature of subgrant signatory.
- Enter name and title of subgrant signatory.

*The report must be signed and dated by an authorized signer.

2) PROGRAM INCOME REPORT:

- Enter the name of the subgrantee as shown on your Subgrant Signature Sheet.
- Enter the number of the subgrant for which the closeout report is being prepared.
- Enter the ending date of the subgrant.
- Enter the date on which the report is being submitted.

Line 1: Enter total program income earned as a result of the subgrant.

3) FINAL REQUISITION FOR CASH OR REFUND DUE:

- Enter the name of the subgrantee as shown on your Subgrant Signature Sheet.
- Enter the number of the subgrant for which the closeout report is being prepared.
- Enter the date on which the report is being submitted.

Line 1: Enter total subgrant amount.

Line 2: Enter total cash received to date.

Line 3: Enter total expenditures as reported on the Closeout Final Financial Report.

Line 4: Subtract Line 3 from Line 2. A positive amount is the final cash requested. A negative amount is the refund due to the Montana Department of Labor and Industry and must be submitted with closeout package.

4) SUBGRANT ASSIGNMENT OF REFUNDS, REBATES, AND CREDITS:

- Enter subgrantee name.
- Enter subgrant address.
- Enter subgrant number.
- Enter name of subgrantee organization.
- Enter name and title of subgrant signatory.

5) SUBGRANTEE RELEASE:

- Enter subgrant number.
- Enter (in writing) the total of amounts paid and payable under this subgrant.
- Enter (in figures) the total of amounts paid and payable under this subgrant.
- Enter name and address of subgrantee organization.

Line 1: Enter any costs that have been incurred, but have not been paid, and are not specified elsewhere in this closeout package.

- Enter the day, month, year this report was prepared.
- Enter name and title of signatory.

6) STATEMENT OF INVENTORY CONTROL:

- Enter the subgrantee name
- Enter the subgrant number.
- List all equipment purchased with funds provided by the subgrant.

- Enter name and title of signatory.

AUDIT REQUIREMENTS

Service Providers that expend \$750,000 or more in a year in Federal awards shall have an audit conducted for that year in accordance with the requirements contained in 2 CFR

200.501. The provisions of 2 CFR Subpart F, Audit Requirements, will apply to audits of non-Federal entity fiscal years beginning on or after December 26, 2014. The revised audit requirements are not applicable to fiscal years beginning prior to that date.

Please send a copy of the final audit report to the Program Monitoring Unit. The report is due within the earlier of 30 days after publication of the auditor's report, or nine months after the end of the audit period.

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GENERAL ELIGIBILITY DETERMINATION PROCESS

OPERATIONAL GUIDANCE: Refer to the General Eligibility Policy. The following is intended as guidance and clarification.

For **WIOA Adults and Dislocated Workers**, career services beyond self-service and information activities requires formal enrollment. In other words, if the provision of the service is characterized by significant staff involvement and funded by Title IB, the individual must be registered. These services are considered qualifying services that “trigger” participation:

Staff-assisted job search & placement including career counseling;
Staff-assisted job referrals;
Staff-assisted job development.

In the case of **WIOA youth** enrollment WIOA youth become a youth client after eligibility is determined, an objective assessment is performed, the ISS service has been provided and the youth receives one of the youth elements.

Referral

Service providers shall provide information to eligible applicants, whether enrolled in WIOA or not, of the services available through WIOA service providers, including information regarding the opportunities for nontraditional training and employment. Determination may be made prior to enrollment in WIOA to refer an eligible applicant to another service agency or training and education program deemed more suitable for the individual. Each service provider shall ensure that an eligible applicant who cannot be served by its program is referred to an appropriate agency, both within and outside the WIOA system that may be able to better serve the applicant.

Confidentiality and Release of Information

State and federal privacy laws safeguard an individual's privacy from the misuse of federal and state records and provide individuals access to their records. Providers must maintain client and applicant files in a manner to safeguard confidentiality.

Funding source agencies have access to client files. Access to files should be granted on a "need to know" basis. If other agencies, prospective employers, or other individuals or agencies request access to information in a file, an authorization of release for the information must be obtained from the client. A "Sample Authorization of Release Form" is shown in the forms section of the WIOA Website. The sample form may be used as an Authorization form with the agency's name inserted on the form. Clients should sign the form only after all information is complete.

Access to the records from other agencies may also require authorization for release of information.

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ADULT ELIGIBILITY AND SERVICE PRIORITY

OPERATIONAL GUIDANCE: Refer to the Adult Policy. The following is intended as **guidance and clarification**.

Eligibility documentation must be present in the file prior to enrollment. Case Managers should use the Adult Verification form as a tool to ensure all eligibility documentation has been obtained.

WIOA adult program service providers shall provide assessment as appropriate for clients according to the following criteria of each level of assessment:

Initial Assessment

Initial assessment of occupational abilities, interest, attitudes, job search readiness and self-sufficiency will be made available to clients, and may include but is not limited to:

- Occupational ability, interest and attitude assessments that help the customer/client to make an informed decision about career options and pathways.
- A review of the customer's/client's job search readiness may be used to determine what other services they may need or want to achieve their employment goals.
- An estimate of income needed to be self-sufficient to help guide job search activities.

Clients have access on-line assessment tools and should be staff assisted with these tools when appropriate.

Assessment should be an on-going process that will help identify the need for individualized and or training services and the specific services needed. WIOA service providers should analyze all of available assessment data to create the Individual Employment Plan (IEP) and throughout the delivery of services for the client while enrolled.

When determining a need for WIOA funded intensive services, the following information may be reviewed:

- Work history;
- Support service needs;
- Educational level;
- Reading and math skills (if known);

Comprehensive Assessment

Following enrollment in WIOA and prior to receiving training services, all clients must receive a comprehensive assessment for:

- Documenting the rationale for providing training services; and
- Helping the client determine what training program will best meet their career goals and needs.

When determining if client requires training to reach their employment goal, the following factors could be considered.

- Work history
- Education level

- Current labor market opportunities
- Earning ability without the training
- An estimate of income needed to become self sufficient
- Assessments tools including but not limited to MCIS, COPS-COPES-CAPS, eSKILLS testing, LMI sites, etc.

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DISLOCATED WORKER ELIGIBILITY

Operational Guidance: Refer to the Dislocated Worker Policy. The following is intended as **guidance and clarifications**.

Eligibility documentation must be present in the file prior to enrollment. Case Managers should use the Dislocated Worker Verification form as a tool to ensure all eligibility documentation has been obtained.

Job Attached – any person seeking services who is job attached is considered likely to return to the previous industry and therefore does not meet the eligibility for Dislocated Worker.

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YOUTH ELIGIBILITY

Operational Guidance: Refer to the WIOA Youth Program Policy. The following is intended as **guidance and clarifications.**

Eligibility documentation must be present in the file prior to enrollment. Case Managers should use the appropriate Youth (OSY, ISY or 5% low-income exception) Verification form as a tool to ensure all eligibility documentation has been obtained.

Determining eligibility based on In-School Youth (ISY) and Out-of-school Youth (OSY) status
Requirement: Seventy-five (75%) of WIOA youth expenditures must be spent on OSY youth.

WIOA youth policy says that school status is based on the status at the time the eligibility determination was made. Once the school status is determined that status remains the same throughout the youth's participation in the WIOA youth program.

ISY is a youth who is at least 14 years and no older than 21 (21 years/364 days) and is attending any school, including youth attending secondary school, post-secondary school, an alternative school or registered home school at the time of enrollment.

- Youth attending high school equivalency (HSE) programs, including those considered to be dropout re-engagement programs, funded by the public K-12 school system that are classified by the school system as still enrolled in school are considered ISY;
- If a youth is enrolled in the WIOA program **between** high school graduation and post-secondary education, the youth is considered an ISY if they have registered for post-secondary education, even if they have not begun postsecondary classes at the time of enrollment;
- If the youth is enrolled in any credit-bearing postsecondary education classes, including credit-bearing community college classes and credit-bearing continuing education classes, then they are considered attending postsecondary education and an ISY;
- Youth that is homeschooled and the courses of study are recognized and approved by the school superintendent of the county in which the youth resides is an ISY.

OSY is a youth who is at least 16 years and no older than 24 (24 years/364 days) and is **not** attending any school at the time of enrollment.

- If a youth is a high school dropout at enrollment and returns to secondary education the youth remains an OSY;
- If a youth graduates high school and registers for postsecondary education but does not ultimately follow through with attending postsecondary education, then the youth would be considered an OSY if the eligibility determination is made **after** the point that the youth decided not to attend postsecondary education;
- If the youth is only enrolled in non-credit-bearing postsecondary classes, they would not be considered attending postsecondary school and an OSY;
- Youth that is homeschooled, but the courses are **neither** recognized **nor** approved by the school superintendent of the county in which the youth resides is an OSY;
- Youth attending adult education are OSY;
- Youth attending YouthBuild or Job Corps programs are OSY.

Determining Eligibility Based on Income

Not all youth are required to be low-income to qualify for the WIOA youth program. To determine whether a youth must be low-income the case manager has to first determine whether the youth is an ISY or OSY.

Low Income Requirement

Youth that meet any one of the following criteria are considered low-income:

- youth's total family income does not exceed the 70% of the lower living standard income levels (LLSIL); or
- youth in any stage of the foster care system; or
- homeless or a runaway youth; or
- youth that is receiving, or is a member of a family that is receiving or in the past 6 months has received SNAP or TANF; or
- youth that is receiving Supplemental Security Income (SSI); or
- youth that is receiving State or local income-based public assistance; or
- ISY youth that is eligible to receive a free or reduced priced lunch; or
- an OSY that is a parent living in the same household as a child who receives or is eligible to receive free or reduced-price lunch based on their income level, then such an OSY would meet the low-income criteria based on his/her child's qualification.

ISY: All ISY must be low income except for those youth that are eligible under the 5% low-income exception.

An ISY with a disability must provide proof of low income. If the family income exceeds the Lower Living Standard Income Levels (LLSIL), the youth may be enrolled as a family size of one if their own income level is at or below the LLSIL.

OSY: The low-income requirement applies only to the following barriers:

- youth is a recipient of a secondary school diploma or its recognized equivalent and is either basic skill deficient; or
- is an English language learner; or
- youth requires additional assistance to enter or complete an education program or to secure or hold employment.

OSY who have any of the other barriers e.g., disability, dropout, offender, pregnant/parenting, homeless do not need to be low-income.

Five (5) percent low-income exception: WIOA allows a low-income exception for 5 percent of ISY and OSY who would ordinarily be required to be low-income for eligibility purposes and meet all other eligibility criteria for WIOA youth but are not low-income.

The 5% low-income exception is based on the percent of youth (ISY and OSY) enrolled in a local area and the 5% percent low-income exception quickly reaches the maximum enrollments allowed. Case managers need to send an email to the Youth Program Manager requesting to enroll the youth using the 5% exception **prior** to enrolling the youth.

Identifying Youth Eligibility Barriers: Case managers should be working with applicants in determining barriers during the pre-application assessment process, so they will end up with one specific barrier that makes them eligible for the WIOA youth program for which the applicant will need to provide documentation for verification.

There is no limit to the number of barriers however the client must provide documentation to verify every barrier checked on the application and in MWorks which could be place an unnecessary burden on the client. Any other barriers identified by the client should be addressed on the ISS and documented in case notes.

To be identified as an **OSY** the youth must **not** be attending any school at the time of enrollment. Refer to the Youth Program Policy for the complete list of barriers that apply to OSY.

To be identified as an **ISY** the youth must be **attending** school at the time of enrollment. Refer to the Youth Program Policy for the complete list of barriers that apply to OSY

Requires Additional Assistance to enter or complete an educational program or to secure and hold employment. WIOA added an additional barrier for youth ages 14-24 that require additional assistance to complete an educational program or to secure and hold employment. This barrier is generally used when the youth doesn't meet the criteria for any other WIOA youth barrier.

ISY that requires additional assistance to complete an educational program is a youth who:

- is at risk of dropping out of high school as documented by his/her school; or
- had previously dropped out of an educational program but has returned to school (including an alternative school); or
- has below average grades; or a youth with poor attendance patterns in an educational program during the last 12 calendar months; or
- has been suspended or expelled from school within the last 12 calendar months; or
- has previously been placed in out-of- home care (foster care, group home for more than 6 months).

ISY that requires additional assistance to secure or hold employment is a youth who:

- has not held a job for more than three consecutive months; or
- has a poor work history to include no work history; or
- has been fired from a job in the last 6 calendar months; or lacks work readiness skill necessary to obtain and/or retain employment.

Five (5) Percent – Youth Requires Additional Assistance:

Service providers are encouraged to serve those ISY youth that have the more significant barriers in the WIOA Title I youth program which is why WIOA set the enrollment limit for using either of these barriers to 5%.

The 5% percent low-income exception quickly reaches the maximum enrollments allowed so case managers need to send an email to the Youth Program Manager requesting to enroll the youth using the 5% exception **prior** to enrolling the youth.

OSY that requires additional assistance to complete an educational program is a youth who:

- needs a high school diploma; or
- has dropped out of a post-secondary educational program during the last 12 calendar months; or
- has a diploma but requires additional education to obtain or retain employment

OSY that requires additional assistance to secure or hold employment including a youth with diploma or equivalent and who:

- is not currently attending any school; and
- has not held a full-time job for more than three consecutive months; or
- has a poor work history, to include no work history; or
- has been fired from a job in the last six calendar months; or
- lacks work readiness skills necessary to obtain and/or retain employment.

There is no limit for enrolling OSY using either of the requires additional assistance barriers.

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STATE DISPLACED HOMEMAKER ELIGIBILITY

OPERATIONAL GUIDANCE: Refer to the State Displaced Homemaker Policy. The following is intended as **guidance and clarification**.

Eligibility

1. Loss of support could mean a death or divorce within the timeline established in the State Displaced Homemaker Policy.
2. Caring for the home and family generally refers to the care of the applicant's parents, spouse, siblings, other relatives and children.
3. A criminal offender is eligible if they meet any one of the Eligibility Requirements for the SDH program.

Services

The needs of displaced homemakers are extensive. Besides the problems associated with economic loss – child care, transportation, housing and lack of basic necessities – the disruption of family life may result in emotional, medical and legal difficulties. Displaced homemakers often lack self-confidence and self-esteem, which can be formidable barriers to employment. Meeting these needs is achieved through counseling, training, jobs, services and health care.

Generally, any services provided to adults and dislocated workers through the WIOA Title IB program are available to State Displaced Homemaker clients, including developing an Individual Employment Plan (IEP), providing skills assessment and testing and similar activities described in the Assessment and IEP sections of this manual. ITAs and Occupational Skills training are also available to State Displaced Homemaker clients.

State Displaced Homemaker providers receive very little funding for this program therefore co-enrollment in WIOA Title IB Adult and Youth programs is encouraged as appropriate. Whenever co-enrollment occurs SDH and Adult providers should work closely to determine the best way to serve the client and leverage funding.

Referral

Displaced homemakers often lack self-confidence and self-esteem, which can be formidable barriers to employment. Crisis intervention and counseling are often critical preliminary needs of displaced homemakers. Referral to relevant community service agencies will provide information and assistance with respect to such items as health care, financial matters, education, nutrition, and legal problems.

Follow-up

Enrollment into follow-up is **not** required for SDH clients. If a client is enrolled in follow-up financial assistance may be provided.

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SELECTIVE SERVICE REGISTRATION REQUIREMENTS

OPERATIONAL GUIDANCE: Refer to the Selective Service Registration Requirements Policy. The following is intended as **guidance and clarification**

What to do if an applicant is over 25 and doesn't remember registering:

1. Have the applicant provide a copy of the **Selective Service Verification** from the Selective Service website.
2. If the applicant has registered with Selective Service as required and is otherwise eligible then continue with the enrollment process.

What happens if the individual never registered with Selective Service or can't provide documentation?

1. Service providers must require that males 26 years and over request a **Status Information Letter** before making a determination that the failure to register was knowing and willful.
2. An individual may obtain a **Status Information Letter** from Selective Service if he:
 - a. Believes that he was not required to register; or
 - b. Did register but cannot provide any of the documentation as described in the Selective Service Policy on the WSD website.
3. If the **Status Information Letter** indicates that the applicant was **not** required to register for Selective Service, he **is eligible** for WIOA funded programs.
4. If the **Status Information Letter** indicates that the applicant was required to register but can't because he is 26 or older then case managers would not enroll him until it can be determined that his failure to register was not knowing and willful.

What happens if the Status Information Letter says that the applicant was required to register but is no longer within the age of registration?

1. Only the service provider has the responsibility of requesting and evaluating the documentation and determining whether the failure to register was knowing and willful. Considerations for determining whether the failure to register was "knowing" and "willful" are described in detail in the Selective Service Registration Requirements Policy on the WSD policy website. (Refer to Determining Knowing and Willful Failure to Register below)

2. The applicant should be encouraged to offer as much evidence and in as much detail as possible. Documentation includes a written applicant statement and supporting documentation of his circumstances at the time of the required registration and the reasons for failure to register.

Registration Requirements for Males Under 26 years of Age

1. Youth providers are reminded to establish a tickler file to remind them to assist those youth who were under 18 at enrollment in registering for selective service within the required timeline.
2. Service providers that exit a male client who turns 18 while enrolled in WIOA and refuses to comply with Selective Service Registration requirements would not place that youth in follow up.
3. Failure to register within the required time frame may result in disallowed costs. When a Youth client turns 18 years of age during enrollment, the case manager shall assist the Youth to register with selective service. Registration has to happen within 30 days of turning 18.

Transgender - Individuals who are born female and changed their gender to male are not required to register. U.S. citizens or immigrants who are born male and changed their gender to female are still required to register.

OPM notes that "transgender" refers to people whose gender identity and/or expression is different from the sex assigned to them at birth (e.g. the sex listed on an original birth certificate). The OPM Guidance further explains that the term "transgender woman" typically is used to refer to someone who was assigned the male sex at birth but who identifies as a female. Likewise, OPM provides that the term "transgender man" typically is used to refer to someone who was assigned the female sex at birth but who identifies as male.

NOTE: Transgender students are welcome to contact Selective Service regarding their registration requirements if they are unclear about how they should answer Question 21 or Question 22 on the Free Application for Federal Student Aid (FAFSA) or need a status information letter from Selective Service that clarifies whether or not they are exempt from the registration requirement. This can be done by calling our Registration Information Office on 1-888-655-1825. Individuals who have changed their gender to male will be asked to complete a request form for a status information letter and provide a copy of their birth certificate. One exemption letter may be used in multiple school financial aid processes.

Determining Knowing and Willful Failure to Register

1. The Case manager determines if the failure was knowing and willful. As an example, if the client was a conscientious objector and failed to register, that would be knowing and willful. In this case, the client would not be eligible to receive services.
2. As part of the documentation of failing to register for selective service, the case manager shall gather an applicant statement explaining why the client did not register for selective service.
3. A best practice would be for the case manager to set up a reminder on their calendar or other tickler system for when a Youth turns 18.

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SOCIAL SECURITY NUMBER PROCEDURE

OPERATIONAL GUIDANCE: Refer to the Social Security Number Procedure Policy. The following is intended as **guidance and clarification**.

Clients having a Social Security card may be hesitant to have a copy of the card made by case managers. In cases like this, The Verification of Documentation (WIOA.53) form should be used. The form states the client's name and SSN. The form must be signed by the case manager and maintained in the client's file.

Procedure for Obtaining Social Security Number

Providers should assist the applicant in obtaining a SSN from the Social Security Administration. If the applicant does not have a Social Security Number a block or pseudo-number should be assigned.

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ASSESSMENT AND PLANNING

OPERATIONAL GUIDANCE: Refer to the appropriate Program Policy. The following is intended as **guidance and clarification**.

Providers should use MCIS or other tools that are most appropriate to assess the needs of the individual client. For example: If an individual has been successfully participating in a training program and needs assistance to complete the training; or they have prior training and experience in an occupation, but simply need an additional certification or help with license renewal, then they may only need the Resume Builder tool to assist in their job search.

Assessing the Client: The assessment of the client accounts for the client's family situation, work history, education, occupational skills, interests, aptitudes, attitudes towards work, motivation, behavior patterns affecting employment potential, financial resources and needs, supportive service needs, and personal employment information as it relates to the local labor market. The name(s) of the assessor, name(s) of clients being assessed, and assessment results need to be identified on the IEP/ISS.

Initial assessments such as interest inventories, career assessment, and similar assessments (other than basic skills assessments) conducted by other human service programs or educational institutions within the last six months may be used where appropriate, rather than requiring the client to undergo additional duplicative assessments, which may disrupt and discourage further participation. However, the service provider should evaluate the information provided and complete updated assessments if needed for effective WIOA program planning; and update the ISS/IEP appropriately.

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INDIVIDUAL EMPLOYMENT PLAN (IEP)

OPERATIONAL GUIDANCE: Refer to the Adult and Dislocated Worker Program Policies. The following is intended as **guidance and clarification**.

An Individual Employment Plan (IEP) is required for Adult and Dislocated Worker clients in WIOA Title IB Individualized Career and Training services. Case Managers must use the IEP form WIOA.16. The IEP is developed in partnership with the client, as this is a continual process. The IEP identifies where the client is, where the client wants to be and the appropriate mix and sequence of services and support to reach a realistic employment goal. The development of the IEP and updates or revisions should be based upon the results of the comprehensive assessment process.

The IEP service should be opened at enrollment and closed when the employment goal has been established. If the employment goal is modified during participation the IEP service should be opened and closed to reflect the change.

Service and Activities

X= Initiates Participation & Extend Exit	Service Definition	Action
Eligibility		
	<p>Eligibility Determination of eligibility to receive assistance. This service needs to be recorded for all clients enrolled in a program.</p> <p>Note: Open service again if determining eligibility for another program at a later date.</p>	Close immediately when determination is completed.
Assessment		
X	<p>Initial Assessment Initial assessment of skills and services needed which may include assessment of skill levels, aptitudes, abilities, and supportive service needs.</p>	Open when service starts, close when service ends or is completed.
X	<p>Comprehensive Assessment Comprehensive and specialized assessments of the skill levels and service needs, which may include diagnostic testing and use of other assessment tools, and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals.</p> <p>This is the first service that should be open for Adult & Dislocated Workers. It will trigger participation.</p>	Open when service starts, close when service ends or is completed.

Basic Career Services		
	<p>Determining Eligibility for Financial Assistance Assistance in establishing eligibility for programs of financial aid assistance for training and education programs which are not funded under WIOA and are available in the local area.</p>	Open when service starts, close when service ends or is completed.
	<p>Employment/Labor Market Information Provision of employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas. Labor Market Information (LMI) must be provided to clients in every program.</p>	Open when service starts, close when service ends or is completed.
	<p>Information on Performance and Program Costs Associated with Eligible Training Provider List Provision of performance information and program cost information on eligible providers of training services, youth activities, adult education, postsecondary vocational education, vocational education activities available to school dropouts under Carl Perkins, and vocational rehabilitation program activities.</p>	Open when service starts, close when service ends or is completed.
	<p>Information on Supportive and Follow-Up Services Provision of accurate information relating to the availability of supportive and follow-up services, including child care and transportation available in the local area, and referral to such services as appropriate.</p> <p>REMINDER: Supportive Services during follow-up are not allowed with WIOA Adult and Dislocated Worker funds.</p>	Open when service starts, close when service ends or is completed.
	<p>Intake & Orientation Provide intake and orientation services (which may include worker profiling) available through the one-stop delivery system.</p>	Open when service starts, close when service ends or is completed.
	<p>Job Search WIOA Case Manager provides services to assist clients in job search for employment.</p> <p>Note: Case notes should describe what assistance was provided.</p>	Open when service starts, close when service ends or is completed.
	<p>Local Workforce Area Performance Information Provision of information regarding how the local area is fulfilling performance measures and any additional performance information with respect to the one-stop delivery system in the local area.</p>	Open when service starts, close when service ends or is completed.
	<p>Rapid Response Provide information about services available to dislocated workers. This service can be provided one-on-one or in a group setting. This service may only be used by the agency funded for Rapid Response</p>	Open when service starts, close when service ends or is completed.
	<p>Unemployment Information Provision of information regarding filing claims for unemployment compensation.</p>	Open when service starts, close when service ends or is completed.

Basic Education		
X	Adult Basic/Literacy Services/Tutoring \$\$\$ Basic education for individuals (16 years or older), even if they have already earned a high school diploma or GED, to help them attain proficiencies equivalent to ninth grade level, or to improve basic skills to a level greater than that which the individual is required to have to attend a training institute or get and keep employment.	Open when service starts, close when service ends or is completed.
X	English as a Second Language Training for customers who speak English at a level which does not provide adequate functioning on the job or in society.	Open when service starts, close when service ends or is completed.
Case Management		
	Case Management Provide coordination and delivery of the appropriate mix of activities, services and support for individuals in a WIOA program from point of enrollment to exit from WIOA.	Open this service at enrollment and keep open during participation and Follow-Up.
Employment Related Education		
X	ABE/Literacy Combined with training \$\$\$ Adult education and literacy activities provided in combination with services described in WIOA Section 134(c)(3)(D). REMINDER: Enter any credentials and measurable skill gains earned in MWORKS.	Open when service starts, close when service ends.
X	Combined Workforce Training with Related Instruction \$\$\$ Programs that combine workplace training with related instruction, which may include cooperative education programs. REMINDER: Enter any credentials and measurable skill gains earned in MWORKS.	Open when service starts, close when service ends.
X	Distance Learning \$\$\$ All costs associated with distance online training curriculums. Must result in a certification, credential, or degree. REMINDER: Enter any credentials and measurable skill gains earned in MWORKS.	Open when service starts, close when service ends.
X	Entrepreneurial Training \$\$\$ Training designed to provide the knowledge and skills necessary to start a business. REMINDER: Enter any credentials and measurable skill gains earned in MWORKS.	Open when service starts, close when service ends.
X	Occupational Skills Training \$\$\$ Occupational skills training, including training for nontraditional employment and for training programs operated by the private sector. REMINDER: Enter any credentials and measurable skill gains earned in MWORKS.	Open when service starts, close when service ends

X	<p>Skills Upgrade & Retraining \$\$\$ These are courses that develop professional competencies that are particularly relevant to a vocational/occupational goal. It must be demonstrated that the training will result in the workers' acquisition of transferable skills or an industry-recognized certification or credential. REMINDER: Enter any credentials and measurable skill gains earned in MWORKS.</p>	Open when service starts, close when service ends
X	<p>Training-Related Materials/Supplies \$\$\$ Payment of costs related to training programs. This service is used when paying a vendor other than the training provider for these goods/services. Training-related purchases may include books, uniforms or other clothing required for training, or supplies (e.g., tools, specialized computer software) required to start, continue, or complete a training program. This service should only be used in cases where an ITA has been established, and items are not purchased from the training facility. This is included on page 2 of the ITA.</p>	Open when service starts, close when service ends or is completed.
Follow-Up Services		
	<p>Follow-Up Services Provide follow-up services that may be available to clients, including counseling regarding the workplace, for clients who are placed in unsubsidized employment, for not less than twelve (12) months after the first day of the employment, as appropriate. Follow-Up Contact is not required for Adult and Dislocated Worker clients unless the client exits to self-employment, railroad employment, federal government employment, or agricultural employment.</p>	Open when service starts, close when service ends or is completed.
Individualized Career Services		
X	<p>Career Planning Provide comprehensive guidance and career counseling either one-on-one to an individual or in a group setting, including peer groups. This can include career and job search planning information and support, as well as referrals to other types of counseling services, as needed and appropriate for the client. Note: Describe the service you provided in a case note.</p>	Open when service starts, close when service ends or is completed.
X	<p>Financial Literacy Services Provide services to help create household budgets; initiate savings plans; make informed financial decisions about education, retirement, home ownership, wealth building; other savings goals; manage spending, credit, and debt, including credit card debt, effectively; increase awareness of availability and significance of credit reports and credit scores in obtaining credit, including determining accuracy and how to correct inaccuracies in reports and scores and their effect on credit terms; support ability to understand, evaluate, and compare financial products, services and</p>	Open when service starts, close when service ends or is completed.

	<p>opportunities; and support activities that address particular financial literacy needs of non-English speakers, including providing the support through the development and distribution of multilingual financial literacy and education materials.</p> <p>Note: Describe the service you provided in a case note</p>	
X	<p>Individual Employment Plan Development of an individual employment plan (IEP) to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the client to achieve the employment goals.</p> <p>Note: If there is a change in the plan during participation, open a new Individual Employment Plan Service and close when the planning is complete</p>	Open when the service starts, close when you have developed the Individual Employment Plan. .
X	<p>Out of Area Job Search \$\$\$ Activities related to securing job openings within the United States that are outside the customer's 50 mile one-way from place of residence. Includes travel, per-diem, and lodging if appropriate. Must be approved before the activity begins. The employment plan must document that there is no reasonable expectation of obtaining suitable employment in the commuting area and there is a reasonable expectation of employment outside the commuting area. Interviews must be verified.</p>	Open when service starts, close when service ends.
X	<p>Short Term Pre-Vocational Services \$\$\$ Short-term pre-vocational or job readiness services include: development of learning and communication skills, and Soft Skills development that includes interviewing skills, punctuality, personal maintenance skills, and professional conduct, to prepare individuals for unsubsidized employment or training; a preparatory service that provides academic and/or employment-related training to clients who are in need of a short-term service to upgrade their current skills.</p> <p>Examples may be short term computer classes, software training (e.g. Excel or Word), or online access to test preparation for exams such as NCLEX or First Aid/CPR. This type of training does not provide an industry recognized certificate or credential upon completion (does not require ETPL documentation in the client's file).</p>	Open when service starts, close when service ends or is completed.
X	<p>Supportive Service Assessment To be used when a case manager provides an assessment of the financial needs of a client when providing supportive services.</p>	Open and close immediately each time an assessment has been done.
Supportive Services		
	<p>Childcare \$\$\$ - A service provided to ensure proper care of children while the parent or guardian is participating in an employment and training program. A person in the client's immediate or extended family may perform childcare only after all other sources of day care</p>	Open when service starts, close when service ends or is completed.

	have been exhausted. The payment shall be made to the childcare provider, not the client.	
	Health Care and Medical Services \$\$\$ Services of a one-time nature, such as a physical examination, prescription drugs, prescription eyeglasses, immediate dental care, and mental health care which are needed to enable an individual to participate in any training or re-employment activity.	Open when service starts, close when service ends or is completed.
	Housing \$\$\$ Housing assistance includes supportive service payments for rent. Payments are not allowed for titled or deeded items or when recovery of the expense is anticipated. Such items include: rent deposits or housing deposits; mortgage payments; homeowners' insurance; and property taxes.	Open when service starts, close when service ends or is completed.
	Needs-Related Payments \$\$\$ Provide direct financial assistance to clients for the purpose of enabling individuals to participate in training. See Supportive Service Policy for additional information.	Open when service starts, close when service ends or is completed.
	Other Supportive Services \$\$\$ Services not included elsewhere which are reasonable and necessary for a WIOA client to complete their individual employment plan or individual service strategy, and/or obtain or retain employment or complete education goals.	Open when service starts, close when service ends or is completed.
X	Out of Area Job Search Assistance \$\$\$ Activities related to securing job openings within the United States that are outside the customer's 50 mile one-way from place of residence. Includes travel, per-diem, and lodging if appropriate. Must be approved before the activity begins. The employment plan must document that there is no reasonable expectation of obtaining suitable employment in the commuting area and there is a reasonable expectation of employment outside the commuting area. Interviews must be verified.	Open when service starts, close when service ends or is completed.
	Out of Area Training Assistance \$\$\$ Assistance with costs out of the area for training mileage, meals and lodging that are incurred for the client to attend training out of the area.	Open when service starts, close when service ends or is completed.
	Relocation Assistance \$\$\$ All costs such as moving van/truck rental, mileage, meals, and lodging that are incurred to relocate a client and the client's family out of the service area to begin employment.	Open when service starts, close when service ends or is completed.
	Transportation \$\$\$ A service to ensure mobility between home and the location of employment, training and/or other supportive services. For WIOA programs, transportation assistance can include but is not limited to: intercommunity travel, automobile repair, automobile insurance, automobile registration and public transportation. Car payments and purchase of vehicles are NOT allowable.	Open when service starts, close when service ends or is completed.

	Work Related Materials/Supplies \$\$\$ Purchase of materials/supplies that are required to start or retain employment. This includes items such as tools and computer software, uniforms or other clothing required for work.	Open when service starts, close when service ends or is completed.
Work Site Learning		
X	Apprenticeship \$\$\$ Classroom training and on-the-job training combination that leads to skilled labor status. Programs must be approved and recorded by the ETA/Bureau of Apprenticeship and Training or by a recognized State Apprenticeship Agency.	Open when service starts, close when service ends or is completed.
X	Customized Training \$\$\$ Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.	Open when service starts, close when service ends or is completed.
X	On the Job Training (OJT) \$\$\$ Training by an employer that is provided to a paid client while engaged in productive work in a job that provides knowledge or skills essential to the full and adequate performance of the job.	Open when service starts, close when service ends or is completed.
X	Work Experience/Internships \$\$\$ Work experience is a planned, structured learning experience that takes place in an employer's workplace (private for profit, non-profit, or public sector) for a limited period of time.	Open when service starts, close when service ends or is completed.

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INDIVIDUAL SERVICE STRATEGY (ISS)

OPERATIONAL GUIDANCE: Refer to the Youth Program Policy. The following is intended as **guidance and clarification.**

PURPOSE OF THE INDIVIDUAL SERVICE STRATEGY (ISS)

The ISS is the tool used by case managers and WIOA youth clients to develop the plan for providing services to the client throughout enrollment in the WIOA youth program. Having a well-developed ISS and related documentation is a vital part of case management and is required by the USDOL regulations.

The ISS:

1. represents an individual plan for each client and includes: 1) an employment goal, 2) appropriate achievement objectives, including educational goals, and 3) appropriate services that are tied to the results of the objective assessment;
2. is a detailed, unique, individual strategy for each client that is the basis for the overall case management strategy;
3. is considered a living document, to be reviewed and updated based on the needs of each client;
4. can be used as a tool for ongoing conversations with clients about goals, service needs and progress; update strategies and activities as they occur and/or as life changes require; and to document referral and contact information for services obtained from partner organizations.

Case managers should use the ISS to document achievements in measurable and attainable short-term and long-term goals that both reflect the client's interests and incorporate career pathway planning. The goals should not be vague nor considered as one-size fits all, such as "Long-term employment" or "Get a degree."

Setting personal and social goals may help with personal development, where the client's career and education goals should drive service delivery.

Case managers should document the client's progress, activities completed, benchmarks reached, and any other accomplishments. The ISS can be revised, as needed, at any time during the client's participation in the WIOA youth program to help the client achieve their goal(s).

ISS and MIS: The development of the ISS is one of four services that must be opened in MIS at enrollment to initiate participation in the WIOA youth program. The ISS service is generally opened and closed on the same day however the service should not be closed before the other three services (eligibility, objective assessment and one or more youth element) have been opened in MIS.

The ISS service may be opened and closed numerous times during the client's participation in the WIOA youth program to reflect changes in the employment or education goals.

Maintain a hardcopy of the ISS and any changes pertinent to the client's goals, services and/or activities needed to attain their goals in the client file.

DEVELOPMENT OF THE ISS

The ISS should be customized to fit the needs of the client. **Complete each section as it applies to the client at the time. Enter N/A in sections that are not applicable. The case manager and client can go back at any time and complete or revise sections as appropriate.**

- Enter the client's name; the date the case manager and client began working on the ISS; the school status at enrollment; and the client's goal(s).

OBJECTIVE ASSESSMENT RESULTS

ACADEMIC SECTION

OSY that have dropped out of school and have been determined, **after enrollment**, to be Basic Skills Deficient (BSD) by an approved Adult Ed provider or other approved TABE administrator and provides a copy of the TABE test results;

1. Enter the TABE Test Results:
2. Check BSD yes or no; and
3. Describe the plan for improvement.

Please Note:

1. **Basic Skills Deficient** is not an allowable barrier for OSY that have dropped out of school; and
2. OSY are no longer required to test within 10 days of enrollment.

OSY with high school diploma that are using the basic skills deficient barrier must provide at least one piece of documentation from the following list of acceptable documents as verification that they are Basic Skills Deficient **prior** to enrollment; assessment test results, applicable records such as transcripts/grades, academic assessments or other school documentation from an educational institution (must be secondary education).

1. Assessment Test Results: If the client received help from an approved Adult Ed provider and provides a copy of the TABE test results:
 - Enter the TABE Test Results:
 - Check BSD yes or no; and
 - Describe the plan for improvement.

OR

2. If the client provides any of the other documentation as described in above:
 - Check BSD yes or no; and
 - Describe the plan for improvement.

ISY that provide proof that they are Basic Skills Deficient **at** enrollment

- Enter Highest Grade Completed for both OSY and ISY; and
- Describe the plan for improvement.

PERSONAL AND BASIC RESOURCE NEEDS, INTERESTS AND HOBBIES – Get to Know the Client!

1. Assist the client in identifying any personal and basic resource needs.
2. Help them identify strengths, challenges and/or barriers and services/resources or referrals;
 - Ask about their interests and hobbies, what they like to do for fun; and

their interests in work or life.

ASSESSMENTS

- Document the assessments completed by the client e.g., if the client completed Reality Check note that in the MCIS assessments completed;
- Identify potential careers;
- If the client has only completed one assessment add N/A on the other assessments;

MAIN GOALS

There are three goal types:

- Educational;
- Occupational/Employment; and
- Personal/Social Goal

Work with the client on developing short-term and long-term goals; and document the performance indicator that is linked to the educational, occupational or employment goal(s). (Refer to the Performance Measures Policy on the WSD policy website for performance indicators)

DETERMINING THE PROGRAM ELEMENTS NEEDED TO ACHIEVE GOAL

Refer to the **Youth Training, Elements, And Services** in this section for assistance in determining which youth elements and services should be provided together and documented on the ISS and opened in MIS.

a. Improving educational achievement

Example: ISY is attending Alternative Education.

- (1) Check Tutoring: study skills training, and instruction leading to secondary school completion, including dropout prevention strategies; **and**
- (2) Check Alternative secondary school offerings.
- (3) Open the HS Diploma/HS Equivalency service in MIS

b. Preparing for and succeeding in employment

Example: The client that has never had employment of any kind but are interested in a work experience and has a few ideas of what they might like.

- (1) Check Labor Market & employment information including career awareness, career counseling and career exploration services;

Open this service in MIS and leave it open while the client is receiving this service.

- (2) Check paid & unpaid work experience

This WEX should be documented on the ISS however the service should not be opened in MIS until the client is ready to start the WEX.

c. Personal/Social Goal

Example: The client wants to be placed on a WEX but is lacking skills in several areas and needs help with that before placing them at a worksite.

Check leadership development opportunities/opportunities to develop social behaviors, other soft skills, and leadership opportunities.

Open this service in MIS and leave it open until while the client is receiving this service.

PROVIDING INCENTIVES AND STIPENDS

The decision to provide an incentive should not be an afterthought but an agreement between the client and the case manager when developing the ISS. (Refer to the WIOA Youth Program Policy on the WSD website for requirements for providing incentives and stipends)

a. Incentive

Example: The plan is to give the client an incentive for attaining a certificate

(1) Check incentive on the ISS and document the plan to provide an incentive in a case note.

- Open this service in MIS when the client has provided the appropriate documentation. Make the payment and close the service.

b. Stipend

Example: The plan is to give the client a stipend for the time spent in Leadership Development classes.

(1) Check stipend on the ISS and document the plan for providing the stipend(s) in a case note.

- Open this service in MIS when the client has provided the appropriate documentation. Make the payment and close the service.

ACTION STEPS FOR EACH SECTION CHECKED ON THE ISS

Document action steps and referrals if applicable; and

- Enter comments;
- Enter the date the element was opened;
- Enter the projected end date;
- Enter the actual end date;
- Check yes or no for successful completion; and
- Explain - describe the results.

WIOA Client Agreement and the Equal Opportunity and Grievance Notice

Review each item of the Client Agreement and the EO and Grievance Notice with the client; Case manager and client sign and date the agreement; and The signed original goes in the client's file and a copy goes to the client.

YOUTH TRAINING, ELEMENTS, AND SERVICES

SCENARIO	YOUTH ELEMENT	SERVICE(S)
Student attending High School earning HS Diploma	Tutoring, Study Skills and Instruction	HS Diploma/HS Equivalency
Student attending alternative High School earning HS Diploma	Tutoring, Study Skills and Instruction and Alternative secondary school services	HS Diploma/HS Equivalency
Student attending High School AND earning dual credits at a local college.	Tutoring Study Skills and Instruction and Occupational Skills Training (YOU)	HS Diploma/HS Equivalency and Appropriate Training Service
HS Dropout earning HiSET at Adult Education	Tutoring, Study Skills and Instruction	HS Diploma/HS Equivalency and Adult Basic/Literacy Services/Tutoring
HS Dropout - trying to get them back into a High School Program		
HS Dropout - started to attend alternative HS	Tutoring, Study Skills and Instruction and Alternative secondary school services	HS Diploma/HS Equivalency
HS Graduate going to Adult Ed to bring up their basic skills	None	Adult Basic/Literacy Services/Tutoring
HS Graduate going to post-secondary	Occupational Skills Training (YOU)	
Youth client who is receiving services to help prepare for and transition to postsecondary education and training: exploring postsecondary schools, exploring registered apprenticeships, assisting youth prepare for SAT/ACT, assisting with college admission applications, researching and applying for scholarships, completing Financial Aid applications	Postsecondary preparation and transition activities	
In-School Youth (attending High School) receiving Occupational Skills Training (not paid by WIOA Youth)	Tutoring Study Skills and Instruction, Occupational Skills Training (YOU)	Appropriate Training Service
In-School Youth (attending Alternative High School) receiving Occupational Skills Training (not paid by WIOA Youth)	Tutoring Study Skills and Instruction, Alternative High School, and Occupational Skills Training (YOU)	HS Diploma/HS Equivalency and Appropriate Training Service
In-School Youth (attending Post-Secondary)	Occupational Skills Training (YOU)	
In-School Youth (attending alternative school), is doing WEX in the occupation they are receiving training for (example: Attending alternative school, has a WEX at a nursing home, and is taking C.N.A classes)	Alternative High School, WEX, Tutoring Study Skills and Instruction, Occupational Skills Training (YOU), and Education offered concurrently with workforce preparation and training for a specific occupation.	HS Diploma/HS Equivalency, Appropriate Training Service
Youth Client attending a Pre-Apprenticeship class	Work Experience (Paid or Unpaid)	

MWORKS SERVICES DEFINITIONS

The following table provides youth service definitions; services that initiate participation and extend exit; services with \$\$\$ attached: and action required for opening and closing each service.

X= Initiates Participation & Extend Exit	Youth Service Definition	Action
Eligibility		
	<p>Eligibility Determination of eligibility to receive assistance. This service needs to be recorded for all clients enrolled in a program.</p> <p>Note: Open service again if determining eligibility for another program at a later date.</p>	Close immediately when determination is completed.
Assessment		
X	<p>Objective Assessment Objective assessment of skills by administering/participating in skills testing, such as reading/math, aptitude, interest, work maturity tests, and medical/mental health evaluations. This is the first service that should be open for Youth Clients. It will trigger participation after eligibility has been determined, the ISS has been developed, and the client has received one of the Youth Elements.</p>	Use this service to record applicable assessments. Open when service starts, close when service ends or is completed. This service should be opened and closed each time an objective assessment is provided.
Basic Career Services		
	<p>Determining Eligibility for Financial Assistance Assistance in establishing eligibility for programs of financial aid assistance for training and education programs which are not funded under WIOA and are available in the local area.</p>	Open when service starts, close when service ends or is completed.
	<p>Employment/Labor Market Information Provision of employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas. Labor Market Information (LMI) must be provided to clients in every program.</p>	Open when service starts, close when service ends or is completed.

	NOTE: WIOA Youth service providers should open the youth element that provides Labor Market Information in place of this service.	
	Information on Performance and Program Costs Associated with Eligible Training Provider List Provision of performance information and program cost information on eligible providers of training services, youth activities, adult education, postsecondary vocational education, vocational education activities available to school dropouts under Carl Perkins, and vocational rehabilitation program activities.	Open when service starts, close when service ends or is completed.
	Information on Supportive and Follow-Up Services Provision of accurate information relating to the availability of supportive and follow-up services, including child care and transportation available in the local area, and referral to such services as appropriate.	Open when service starts, close when service ends or is completed.
	Intake & Orientation Provide intake and orientation services (which may include worker profiling) available through the one-stop delivery system.	Open when service starts, close when service ends or is completed.
	Job Search WIOA Case Manager provides services to assist clients in job search for employment. Note: Case notes should describe what assistance was provided.	Open when service starts, close when service ends or is completed.
	Local Workforce Area Performance Information Provision of information regarding how the local area is fulfilling performance measures and any additional performance information with respect to the one-stop delivery system in the local area.	Open when service starts, close when service ends or is completed.
	Rapid Response Provide information about services available to dislocated workers. This service can be provided one-on-one or in a group setting. This service may only be used by the agency funded for Rapid Response	Open when service starts, close when service ends or is completed.
	Unemployment Information Provision of information regarding filing claims for unemployment compensation.	Open when service starts, close when service ends or is completed.
Basic Education		
X	Adult Basic/Literacy Services/Tutoring \$\$\$ Basic education for individuals (16 years or older), even if they have already earned a high school diploma or GED, to help them attain proficiencies equivalent to ninth grade level, or to improve basic skills to a level greater than that which the individual is required to have to attend a training institute or get and keep employment.	Open when service starts, close when service ends or is completed.
X	English as a Second Language	Open when service starts, close when

	Training for customers who speak English at a level which does not provide adequate functioning on the job or in society.	service ends or is completed.
X	High School Equivalency/High School Diploma Activities related to completing a high school equivalency (HSE) certificate or high school diploma.	Open when service starts, close when service ends or is completed.
Case Management		
	Case Management Provide coordination and delivery of the appropriate mix of activities, services and support for individuals in a WIOA program from point of enrollment to exit from WIOA.	Open this service at enrollment and keep open during participation and Follow-Up.
Employment Related Education		
X	ABE/Literacy Combined with training \$\$\$ Adult education and literacy activities provided in combination with services described in WIOA Section 134(c)(3)(D). REMINDER: Enter any credentials and measurable skill gains earned in MWORKS.	Open when service starts, close when service ends.
Follow-Up Services		
	Follow-Up Services \$\$\$ Provide follow-up services that may be available to clients, including counseling regarding the workplace, for clients who are placed in unsubsidized employment, for not less than twelve (12) months after the first day of the employment, as appropriate.	Open when service starts, close when service ends or is completed.
Individualized Career Services		
X	Career Planning Provide comprehensive guidance and career counseling either one-on-one to an individual or in a group setting, including peer groups. This can include career and job search planning information and support, as well as referrals to other types of counseling services, as needed and appropriate for the client. Note: Describe the service you provided in a case note.	Open when service starts, close when service ends or is completed.
X	Short Term Pre-Vocational Services \$\$\$ Short-term pre-vocational or job readiness services include: development of learning and communication skills, and Soft Skills development that includes interviewing skills, punctuality, personal maintenance skills, and professional conduct, to prepare individuals for unsubsidized employment or training; a preparatory service that provides academic and/or employment-related training to clients who are in need of a short-term service to upgrade their current skills. Examples may be short term computer classes, software training (e.g. Excel or Word), or online access to test preparation for exams such as NCLEX or First Aid/CPR. This type of training does not provide an industry recognized certificate or credential upon completion (does not require ETPL documentation in the client's file).	Open when service starts, close when service ends or is completed.

X	<p>Supportive Service Assessment To be used when a case manager provides an assessment of the financial needs of a client when providing supportive services.</p>	Open and close immediately each time an assessment has been done.
Supportive Services		
	<p>Childcare \$\$\$ - A service provided to ensure proper care of children while the parent or guardian is participating in an employment and training program. A person in the client's immediate or extended family may perform childcare only after all other sources of day care have been exhausted. The payment shall be made to the childcare provider, not the client.</p>	Open when service starts, close when service ends or is completed.
	<p>Health Care and Medical Services \$\$\$ Services of a one-time nature, such as a physical examination, prescription drugs, prescription eyeglasses, immediate dental care, and mental health care which are needed to enable an individual to participate in any training or re-employment activity.</p>	Open when service starts, close when service ends or is completed.
	<p>Housing \$\$\$ Housing assistance includes supportive service payments for rent. Payments are not allowed for titled or deeded items or when recovery of the expense is anticipated. Such items include: rent deposits or housing deposits; mortgage payments; homeowners' insurance; and property taxes.</p>	Open when service starts, close when service ends or is completed.
	<p>Needs-Related Payments \$\$\$ Provide direct financial assistance to clients for the purpose of enabling individuals to participate in training. See Supportive Service Policy for additional information.</p>	Open when service starts, close when service ends or is completed.
	<p>Other Supportive Services \$\$\$ Services not included elsewhere which are reasonable and necessary for a WIOA client to complete their individual employment plan or individual service strategy, and/or obtain or retain employment or complete education goals.</p>	Open when service starts, close when service ends or is completed.
X	<p>Out of Area Job Search Assistance \$\$\$ Activities related to securing job openings within the United States that are outside the customer's 50 mile one-way from place of residence. Includes travel, per-diem, and lodging if appropriate. Must be approved before the activity begins. The employment plan must document that there is no reasonable expectation of obtaining suitable employment in the commuting area and there is a reasonable expectation of employment outside the commuting area. Interviews must be verified.</p>	Open when service starts, close when service ends or is completed.
	<p>Out of Area Training Assistance \$\$\$ Assistance with costs out of the area for training mileage, meals and lodging that are incurred for the client to attend training out of the area.</p>	Open when service starts, close when service ends or is completed.

	<p>Relocation Assistance \$\$\$ All costs such as moving van/truck rental, mileage, meals, and lodging that are incurred to relocate a client and the client's family out of the service area to begin employment.</p>	Open when service starts, close when service ends or is completed.
	<p>Transportation \$\$\$ A service to ensure mobility between home and the location of employment, training and/or other supportive services. For WIOA programs, transportation assistance can include but is not limited to: intercommunity travel, automobile repair, automobile insurance, automobile registration and public transportation. Car payments and purchase of vehicles are NOT allowable.</p>	Open when service starts, close when service ends or is completed.
	<p>Work Related Materials/Supplies \$\$\$ Purchase of materials/supplies that are required to start or retain employment. This includes items such as tools and computer software, uniforms or other clothing required for work.</p>	Open when service starts, close when service ends or is completed.
Youth Elements		
X	<p>Tutoring, Study Skills and Instruction and Dropout Prevention Leads to a high school diploma or its equivalent. This element includes evidence-based drop-out prevention and recovery strategies. Can be provided one-on-one or in a group. Note: Document service with employment plan tasks and case notes.</p>	Open when service starts, close when service ends or is completed.
X	<p>Alternative Secondary School Services or Dropout Recovery Services \$\$\$ Provides basic education skills training, individualized academic instruction, and ESL services for youth in an alternative secondary school setting. Provided to youth who have struggled with traditional secondary education setting. Note: Document service with employment plan tasks and case notes.</p>	Open when service starts, close when service ends or is completed.
X	<p>Work Experiences (Paid or Unpaid) \$\$\$ Planned, structured learning experience that takes place in a workplace for a limited period of time. Includes:</p> <ul style="list-style-type: none"> • Summer employment opportunities and opportunities available throughout the school year • Pre-Apprenticeship • Internships and job shadowing • OJT opportunities <p>Note: Document service with case notes These are separate services in MWorks but they are considered Work Experience for reporting purposes. These can be found under the Youth Services Objective. Incentives tied to WEX \$\$\$ Stipends tied to WEX \$\$\$</p>	Open when service starts, close when service ends or is completed.
X	<p>Occupational Skills Training (YOU) \$\$\$ Occupational skills training as an organized program of study that provides specific vocational skills that lead to proficiency in</p>	Open when service starts, close when

	performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Note: If a credential or measurable skill gain was earned record in MWorks.	service ends or is completed.
X	Education/Workforce Preparation Workforce preparation activities, basic academic skills, and hands on occupational skills training being taught within the same time frame and connected to training in a specific occupation, occupational cluster, or career pathway. This program element is to be used when all three are provided in an integrated education and training model.	Open when service starts, close when service ends or is completed. Document service with employment plan case notes.
X	Leadership Development Opportunities Opportunities that encourage responsibility, confidence, employability, self-determination and other positive social behaviors. Includes: <ul style="list-style-type: none"> • Exposure to postsecondary education • Community and service learning projects • Peer-centered activities • Organizational and team work training • Decision making training including determining • Priorities and problem solving • Citizenship training including life skills training • Such as parenting and work behavior • Civic engagement activities • Other leadership activities that place a youth in a leadership role such as serving on committees 	Open when service starts, close when service ends or is completed. Document service with employment plan case notes.
X	Supportive Services for Youth Services that enable an individual to participate in WIOA activities. To pay for Youth supportive services, choose the Supportive Services objective, then the appropriate service.	Open when service starts, close when service ends or is completed. Document service with employment plan case notes.
X	Adult Mentoring Adult mentoring must last at least 12 months and may take place both during the program and following exit from the program. A formal relationship between the Youth and an adult mentor that includes structured activities where the mentor offers guidance, support and encouragement to develop the competence and character of the mentee. DOL acknowledges that in a few areas of the country finding mentors may present a burden to a program. While DOL strongly prefers that case managers not serve as mentors, the final rule allows case managers to serve as mentors in areas where adult mentors are sparse.	Open when service starts, close when service ends or is completed. Document service with employment plan case notes.

	<p>Follow-Up Services for Youth Services provided following a youth's exit from the program to help ensure the youth is successful in employment and/or postsecondary education or training. Follow-Up services for youth may include the following program elements:</p> <ul style="list-style-type: none"> • Supportive services • Adult mentoring • Financial literacy • Labor market and employment information including career awareness, career counseling and career exploration • Transition to postsecondary education and training • Follow-Up services will not extend exit and should be recorded in MWorks as a "Follow-Up Youth Element" and not other service. 	<p>Open when service starts, close when service ends or is completed. Document service with employment plan case notes.</p>
X	<p>Comprehensive Guidance and Counseling Provides individualized counseling to clients including drug and alcohol abuse counseling, mental health counseling and referrals to partner programs as appropriate. When these services are available within the Youth provider agency, it is allowable for the youth to receive counseling from the agency, otherwise an outside agency must provide the service.</p>	<p>Open when service starts, close when service ends or is completed. Document service with employment plan case notes.</p>
X	<p>Financial Literacy Education</p> <ul style="list-style-type: none"> • Create budgets, initiate checking and saving accounts, make informed financial decisions • Learning how to effectively manage spending, credit and debt • Teaching the significance of credit reports and credit scores • Support a client's ability to understand, evaluate and compare financial products and services • Education about identity theft • Address the particular financial literacy needs of non-English speaking people, including providing support through the development and distribution of multilingual financial literacy and education materials • Support activities that address the financial literacy needs of youth with disabilities including connecting them to benefits planning and work incentives counseling • Provide financial education that is age appropriate, timely and provides opportunities to put lessons into practice • Implement other approaches to help clients gain the knowledge, skills and confidence to make informed financial decisions 	<p>Open when service starts, close when service ends or is completed. Document service with employment plan case notes.</p>

X	<p>Career Awareness/Counseling/Exploration Services</p> <ul style="list-style-type: none"> • Career awareness, career counseling and career exploration • Labor market and employment information 	<p>Open when service starts, close when service ends or is completed. Document service with employment plan case notes.</p>
X	<p>Postsecondary Preparation and Transition Activities Activities that help youth prepare for and transition to post-secondary education and training</p>	<p>Open when service starts, close when service ends or is completed. Document service with employment plan case notes.</p>
X	<p>Entrepreneurial Skills Training Provides the basics of starting and operation a small business</p>	<p>Open when service starts, close when service ends or is completed. Document service with employment plan case notes.</p>
X	<p>Individual Service Strategy Development of an individual service strategy (ISS) to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the client to achieve the employment goals.</p>	<p>Open when the service starts, close when you have developed the ISS. If there is a change in the plan during participation, open a new Individual Service Strategy service and close when the planning is complete.</p>
X	<p>Youth Stipends \$\$\$ Payment made to Youth program clients for participation in certain activities (considered seat-time payments). These stipend payments are not tied to WEX.</p>	<p>Open when service starts, close when service ends or is completed.</p>
X	<p>Youth Incentives \$\$\$ Payments made to Youth clients as a reward for attainment of specific goals from their ISS. These WEX payments are not tied to WEX.</p>	<p>Open when service starts, close when service ends or is completed.</p>

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CASE MANAGEMENT

OPERATIONAL GUIDANCE: Refer to the appropriate Program Policies. The following is intended as **guidance and clarification**.

Case management is successful with frequent contact with the client. Assisting clients with problem solving issues that could prevent them from participating in their employment plan is a large part of case management. Collecting necessary documentation from the client, providing information on community resources and assisting with barriers that are identified at and during enrollment.

Case notes should be made in MIS each time the case manager has contact with the client; they should be detailed and document who, what, when and where; and they should flow from one note to the other providing information about the progress of the client towards employment.

The client's responsibilities during their participation include:

1. Participating in the development and planning of their IEP or ISS;
2. Taking an active role in working toward attainment of the goals developed on the IEP or ISS;
3. Obtaining prior approval for any type of service or assistance from the WIOA Program;
4. Informing Case Manager of progress;
5. Informing Case Manager of changes (address, phone number, classes or training, personal situations, etc.) in a timely manner (as it is happening, not weeks/months later).
6. Informing Case Manager of problems in any area (training, personal, financial, etc.) that could impact successful completion of their approved plan;
7. Informing Case Manager of work status; and
8. Timely submitting copies of grades, certifications, diplomas, registration schedule, bills, receipts, etc. when requested by their case manager.

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YOUTH SERVICES AND ACTIVITIES

Operational Guidance: Refer to the WIOA Youth Program Policy. The following is intended as **guidance and clarifications.**

USDOL is committed to providing high quality services for youth and young adults by providing them one or more of the 14 youth elements including career exploration and guidance, continued support for educational attainment, opportunities for skill training in in-demand industries and occupations and culminating with a good job along a career pathway or enrollment in post-secondary education.

Required Youth Elements: Each of the 14 youth elements are designed to meet USDOL's commitment of providing quality services. WIOA doesn't require that youth receive every one of the 14 elements, but they **must** receive the elements that are essential in achieving their employment, educational and personal/social goals as described on the ISS.

Refer to section 2.70 for the list of youth elements and services that should be opened concurrently in MIS.

Element 1 - Tutoring, study skills training, instruction, and dropout prevention services: This is the element to open for youth working toward their secondary school diploma or recognized equivalent and intended to help the youth remain in school.

Element 2 – Alternative secondary school services or dropout recovery services:

Alternative secondary school services: This piece of element 2 is used to assist ISY youth who have struggled in traditional secondary education and are now in an alternative school setting. The alternative school must be a part of the school district for the youth to count as an ISY.

Dropout recovery services, including **credit recovery, counseling,** and educational plan development. This part of element 2 is used to assist youth that have dropped out of school.

Element 2 can be open for both the ISY and OSY and although activities may overlap, the goal is to help youth to re-engage and persist in education that leads to the completion of a recognized high school equivalent.

Element 3 – Paid and unpaid work experience: Service providers must spend twenty-percent of WIOA youth expenditures (ISY and OSY) for any one of the work experience categories including (1) summer employment opportunities and other employment opportunities available throughout the school year; (2) pre-apprenticeship programs; (3) internships and job shadowing; and (4) OJT opportunities. Refer to the Youth Program Policy for the full list of allowable work experience expenditures.

Element 4 - Occupational Skills Training (OST): This element may be provided to older youth ages 16-24. Youth providers should consider the following when making the determination to provide this service. Priority consideration should be given to training programs that lead to recognized postsecondary credentials that align with in-demand industry sectors or occupations in the local area. Such training must be:

- outcome-oriented and focused on an occupational goal specified in the individual service strategy;
- of sufficient duration to impart the skills needed to meet the occupational goal; and
- lead to the attainment of a recognized postsecondary credential.

Youth Providers should consider the following when making the determination to provide this service and complete the Appropriateness Tab in MIS based on the client's responses.

1. Was the client unable to obtain or retain employment through basic career services including Work Experience;
2. Was it determined that the client, after an interview, evaluation, or assessment, and case management, would benefit from training services and to have the skills and qualifications to participate successfully in the selected program of training;
3. Was the training program selected directly linked to the employment opportunities in the local area involved or in another area in which individuals receiving such services are willing to relocate;
4. Was the client unable to obtain other grant assistance for such services, including Federal Pell Grants therefore requiring assistance beyond that made available under other grant assistance programs, including Federal Pell Grants; and
5. Was the service provider's determination of providing training based on funds available to provide the service?

Note: These questions were suggested in youth guidance documents and may appear similar to questions on the MIS Appropriateness Tab however they are **not** the actual questions from the Appropriateness tab.

Service providers must complete an Individual Training Account (ITA) on behalf of youth ages 16-24.

The Occupational Skills Training (You) service must be used when placing youth in occupational skills training.

Program Element 5 - Education offered concurrently with workforce preparation and training for a specific occupation: Workforce preparation activities, basic academic skills, and hands-on occupational skills training are to be taught within the same time frame and connected to training in a specific occupation, occupational cluster, or career pathway.

This program element refers to concurrent delivery of other services and may be included with program element 2; element 3; and elements 4, or they can all occur separately and at different times. *This is the most confusing youth element of all so please let's not be using it.*

Program Element 6 – Leadership Development Opportunities: This element provides opportunities that encourage responsibility, confidence, employability, team work, life skills, positive work behavior, self-determination, and other positive social behaviors.

This is the service used most often for both ISY and OSY because of the many opportunities available to youth when preparing youth to successfully complete a work experience and/or secondary education.

Program Element 7 – Youth supportive services: This element provides supportive services to enable the client to participate in WIOA activities. In addition to the allowable supportive services listed in the Supportive Service Policy clients may also receive assistance with items such as eyeglasses and protective eye gear.

Although there is no money attached to this service, it must be opened each time a supportive service payment is made to the client. **The following three services should be opened** for every supportive service payment made on behalf of youth clients.

- Supportive Service Assessment
- Youth Supportive Service
- Other Supportive Services

Program Element 8 - Adult mentoring: Adult mentoring is encouraged but not required, however if adult mentoring is part of the ISS it must last at least 12 months. Adult mentoring may take place both during the program and follow-up exit from the program. Case managers may service as mentors in areas where adult mentors are sparse.

Program Element 9 - Follow-up services: USDOL considers follow-up services as critical services provided following a youth's exit to ensure they are successful in employment and/or postsecondary education and training. Youth must be offered an opportunity to receive follow-up services that align with their ISS.

These are the follow-up services available to youth:

- supportive services;
- adult mentoring;
- financial literacy education;
- services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
- activities that help youth prepare for and transition to postsecondary education and training

Follow-up services must be provided for a minimum of 12 months unless the client says that they don't want or need follow-up services and do **not** want to be contacted; or the client cannot be located or contacted.

MIS is programmed to automatically enroll WIOA ISY or OSY in follow up when the WIOA ISY or OSY youth enrollment is closed. In those instances where there is no plan to provide follow-up services, close the follow-up enrollment as of the date the enrollment open and select Enrollment in Error as the outcome.

Refer to the Follow-up Services in Section 3.100 of this manual for detailed youth follow-up contact requirements.

Program Element 10 - Comprehensive guidance and counseling: This element provides for individualized counseling, including drug and alcohol abuse counseling, mental health counseling and referral to partner programs as appropriate to eliminate any of these as a barrier to the client's success in completing an education or obtaining and retaining employment.

If counseling resources exist within the service provider's organization, then that agency may provide counseling services directly to participants rather than refer the client to partner programs.

When referring clients to counseling that cannot be provided through their office the service provider should coordinate with that agency to ensure the client is receiving the appropriate continuity of service.

Supportive service funds may be used to pay for comprehensive guidance and counseling services.

Program Element 11 - Financial literacy education: The intent of this youth element is to:

1. support the ability of clients to create budgets, initiate checking and savings accounts at banks, and make informed financial decisions; and
2. enhance the client's financial capability by partnering financial institutions with youth employment programs. At a minimum financial education must:
 - be age appropriate and timely;
 - support clients in learning how to effectively manage spending, credit and debt, including student loans, consumer credit and credit cards;
 - support a client's ability to understand, evaluate, and compare financial products, services, and opportunities and to make informed financial decisions

Refer to the WIOA Youth Glossary for the complete list of allowable financial literacy education activities.

Program Element 12 - Entrepreneurial skills training: This element provides the basics of starting and operating a small business. Such training must develop the skills associated with entrepreneurship. Such skills may include, but are not limited to, the ability to:

- take initiative;
- creatively seek out and identify business opportunities;
- develop budgets and forecast resource needs;
- understand various options for acquiring capital and the trade-offs associated with each option; and
- communicate effectively and market oneself and one's ideas.

There are several different approaches to teaching entrepreneurial skills including but not limited to:

1. Entrepreneurship education that introduces the values and basics of starting and running a business. Entrepreneurship education programs often guide youth through the development of a business plan and may include simulations of business start-up and operation.
2. Enterprise development which provides supports and services that help youth develop their own businesses. Enterprise development programs go beyond entrepreneurship education by helping youth access small loans or grants that are needed to begin business operation and by providing more individualized attention to the development of viable business ideas.
3. Experiential programs that provide youth with experience in the day-to-day operation of a business. These programs may involve the development of a youth-run business that young people participating in the program work in and manage. Or, they may facilitate placement in apprentice or internship positions with adult entrepreneurs in the community.

Program Element 13 - Services that provide Labor Market Information (LMI): This element includes “services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services.”

LMI tools can be used to help youth and young adults to make appropriate decisions about education and careers. LMI is used to:

- identify in-demand industries and occupations and employment opportunities;
- provide knowledge of job market expectations including education and skills requirements and potential earnings; and
- aid in facilitating youth awareness of the career fields that are likely to provide long-term employment and earnings in local labor markets.

Career awareness begins the process of developing knowledge of the variety of careers and occupations available, their skill requirements, working conditions and training prerequisites, and job opportunities across a wide range of industry sectors.

Career exploration is the process in which youth choose an educational path and training or a job which fits their interests, skills and abilities.

Career counseling or guidance provides advice and support in making decisions about what career paths to take. Career counseling services may include providing information about resume preparation, interview skills, potential opportunities for job shadowing, and the long-term benefits of postsecondary education and training (e.g., increased earning power and career mobility).

This should be one of the first youth elements opened in the development of the ISS and on the MIS Employment Plan.

Program Element 14: Postsecondary preparation and transition activities: Postsecondary preparation and transition activities and services prepare ISY and OSY for advancement to postsecondary education after attaining a high school diploma or its recognized equivalent.

These services include exploring postsecondary education options including technical training schools, community colleges, 4-year colleges and universities, and registered apprenticeship.

Additional services include, but are not limited to:

- assisting youth to prepare for SAT/ACT testing;
- assisting with college admission applications;
- searching and applying for scholarships and grants;
- filling out the proper Financial Aid applications and adhering to changing guidelines; and
- connecting youth to postsecondary education programs.

Refer to the ISS section for a list of services that can be paid for using WIOA Youth funds

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ADULT AND DISLOCATED WORKER WORK EXPERIENCE (WEX)

OPERATIONAL GUIDANCE: Refer to the Adult Work Experience Policy or the Dislocated Worker Work Experience Policy. The following is intended as **guidance and clarification**.

WEX provides clients the opportunity to explore different work interests and try out their skills and abilities in a work setting; and allows program staff and clients to jointly determine the social aspects, work culture, and physical and communication requirements of the worksite. This determination provides valuable information on the job supports needed by the client to achieve a successful job match.

Worksites can benefit when they participate in the WEX activity as it allows the employer to invest in developing the workforce and engage with workforce development programs.

Choosing a Worksite

Matching the client with the right worksite/employer is essential to making a work experience successful and beneficial to all parties. Service providers should encourage worksites to interview potential clients as part of the work experience process.

Service providers should consider the following when selecting a worksite:

1. selecting a worksite based on the interests and abilities of the client;
2. selecting a worksite that has adequate work and work space;
3. identification of the demands of the worksite, work place safety, and realistic expectations;
4. identifying the “value added” contributions an employer is willing to make such as integration of work and learning; provision of on-site educational services; and exposure to skill training, mentoring, exploration, career guidance, and/or possible future employment; and
5. being aware of any criminal background the client may have that may impact placement at a worksite or the type of work being performed.

Worksite Supervisors

Attributes of a good worksite supervisor include:

1. a clear understanding and expectation of the attitudes and habits that a client may exhibit;
2. being prepared to spend adequate, quality time with the client and provide appropriate supervision that allows for skill development in a safe environment;
3. the ability to provide guidance, work assignments, and skill development; and
4. understanding the importance of evaluating the client’s progress; reviewing and approving timesheets; and keeping program staff informed of any issues and/or exceptional performance.

Identifying a worksite mentor

While this is not a requirement, identifying a worksite mentor that the client can meet with on a structured basis with questions or concerns may be very helpful to the client. The mentor should be

someone comfortable offering guidance, support, and encouragement to develop the competence and character of the client.

Identify the Memorandum of Agreements (MOA) type

There are two types of WEX Memorandum of Agreements.

1. A Standard Work Experience is when the service provider is the employer. Generally, this type of WEX is used by non-state service providers. These forms must be used:
 - Memorandum of Agreement WIOA.21
 - Training Summary WIOA.21F
2. An Alternative Work Experience is when the WEX worksite is the employer. State service providers should only use Alternative WEX. Non-state providers have the option to utilize either Standard WEX or Alternative WEX agreements. These forms must be used:
 - Agreement Work Experience Wage Subsidy Agreement WIOA.21D
 - Training Summary WIOA.21F
 - WEX Wage Subsidy Invoice WIOA.21C (Reimbursement form)

Memorandum of Agreement (MOA)

The MOA must be completed **prior** to placing clients at a worksite. That includes entering the number training summaries that are attached to the MOA under Article VI Attachments on page 3 number 2 of the MOA. This section is often overlooked in the development of the MOA.

Any time worked prior to the signature and date of MOA will be considered disallowed.

The MOA can be established at any time during the program year if there is not an established MOA at the worksite where they are placing the client. However, the MOA end date is still June 30th of that program year.

A new WIOA MOA is developed each program year and cannot be extended beyond June 30th. Service providers that have clients placed on a WEX that runs across program years will need to have the new agreement in place by July 1st so that clients can continue at the worksite.

Duration of WEX Assignment

1. Cannot exceed 600 hours per client.
2. Factors such as prior work experience and occupational interests should be taken into consideration.
3. Part-time work experience is encouraged, when appropriate, for clients that are attending school, or disabled, or single parents with small children.

Overtime Pay

1. Overtime pay is not an allowable expense; however, it is allowable for the worksite to pay overtime out of their own funds;
2. Overtime hours must be tracked separately by the worksite and are **not** entered on the WEX timesheet.

Training Summary

1. A Training Summary must be completed for each work assignment at the worksite. All clients on the same work assignment at the same worksite can be listed on one training summary attached to the MOA.
2. Service providers and the worksite supervisor will work together to develop the Training Summary. The instructions for completing the Training Summary are on the form.
3. The Training Summary must be completed by identifying the:
 - a. client(s) and business (worksite);
 - b. supervisor(s) that are authorized to sign timesheets and a phone number;
 - c. occupation and the O-NET Code;
 - d. wage per hour and hours of work per week;
 - e. WEX start and end dates (not estimated but actual end date);
 - f. the actual training hours is entered on the training summary;
 - The supervisor must submit a request to increase the approved hours on the training summary. The hours cannot exceed 600.
 - g. list of skills, duties, and tasks for which the client will receive training; and
 - h. initial skills by checking 'yes' or 'no'.
4. Each client must have a copy of the Training Summary and copies of their timesheets in their program file.

Timesheets

The timesheets must be signed and dated on or after the last day worked. Timesheets signed prior to the last day worked may be questioned. If time is reported after the supervisor approval date, those days must include the supervisor's initials and date.

Provide Instructions to clients on how to complete the timesheet, including:

1. ensuring the timesheet is complete with the client's name, the name of the worksite, and the pay period start and end dates;
2. where and how to enter the dates and hours worked;
3. how to provide enough detail in the job duties/tasks performed daily section to clearly describe what the client worked on each day;
 - a. neither the word ditto nor ditto marks are acceptable (or any other variation of not answering the question);
 - b. the job duties listed for the day should be more than just writing in a word such as 'cleaned' or 'answered phones'. The service provider must be able to tie the job duties back to the WEX Training Summary and the client's skills or lack of skills and whether they're enhancing the skills they already have or are learning new skills.
4. making sure the client understands timesheets must be signed and dated before submitting for payment.

Provide instructions to worksite supervisors on how to ensure they and the client have completed timesheets, including:

1. ensuring the client has completed the timesheet appropriately by checking the dates, hours worked, and job duties for accuracy and initialing any changes made to the timesheet;
2. completing the evaluation at the end of each pay period by giving the client a rating of Exemplary, Good, Fair or Poor for their: communication skills, initiative, appearance,

dependability, productivity, participation as a team player, attitude, punctuality, and conduct;
and

3. certifying that the hours are correct by signing and dating the time sheet.

The service provider and the worksite supervisor have the responsibility of comparing the time sheet to the training summary to ensure that:

1. the total number of hours worked each week don't exceed the number of hours per week on the Training Summary; and
2. the job duties/tasks on the time sheet are adequate and can be tied back to the job duties/tasks on the training summary.

The worksite supervisor has the responsibility to document the name of the individual authorized to sign timesheets in their absence.

Bi-weekly visits to worksites

Bi-weekly worksite visits allows program staff the opportunity to collect timesheets, observe work skills, address concerns, provide guidance, and address employer needs. Program staff will complete the WEX Bi-Weekly Contact form (WIOA.21E) with the client and the worksite supervisor. Preferably interviews are done separately to not stifle conversation from either the client or the worksite supervisor. However, when appropriate, interviews may be conducted with both the client and supervisor present.

Bi-weekly visits benefits the worksite, the client, and program staff. Program staff can monitor the performance and progress of the client on a regular basis to determine:

1. if there is adequate, supervised work, or the work is inappropriate and doesn't match the training summary;
2. if the client should continue participation at this worksite, transfer to another activity at that worksite or to another worksite;
3. if the client is ready for placement in unsubsidized employment; or
4. if another appropriate action should be taken.

More frequent contact could take place if it's believed to be necessary and of benefit to the client and worksite supervisor. For example, if the client displays disciplinary problems, staff and the worksite supervisor should address the client accordingly to correct the behavior as soon as possible.

Addressing behavior concerns could include:

1. Verbal warning provided by the worksite supervisor and the service provider to the client;
2. Written documentation on the time sheet evaluation and a meeting between all parties to discuss behavior/performance concerns; and/or
3. Termination if determined necessary after verbal and written warning has not corrected behavior.

Ongoing problems or signs of no improvement may result in termination of the work experience. Illegal activity such as theft, use of drugs or alcohol, can be reason for immediate termination. The worksite supervisor must contact the case manager immediately if the client should be terminated.

Payment authorizations

Payment authorizations must be supported by time sheets in the client's file.

When time sheets are not submitted in a timely manner and the individual cannot receive payment for the time sheet until the end of the next pay period, then pay periods should be combined on a single payment authorization. In those instances, document this clearly on the payment authorization and case notes.

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YOUTH WORK EXPERIENCE (WEX)

OPERATIONAL GUIDANCE: Refer to the Youth Work Experience Policy. The following is intended as **guidance and clarification**.

WEX provides clients the opportunity to explore different work interests and try out their skills and abilities in a work setting; and allows program staff and clients to jointly determine the social aspects, work culture, and physical and communication requirements of the worksite. This determination provides valuable information on the job supports needed by the client to achieve a successful job match.

Worksites can benefit when they participate in the WEX activity as it allows the employer to invest in developing the workforce and engage with workforce development programs.

Allowable work experience expenditures include the following:

1. Wages/stipends paid for participation in a work experience;
2. Staff time working to identify and develop a work experience opportunity, including staff time spent working with employers to identify and develop the work experience;
3. Staff time working with employers to ensure a successful work experience, including staff time spent managing the work experience;
4. Staff time spent evaluating the work experience;
5. Client work experience orientation sessions;
6. Employer work experience orientation sessions;
7. Classroom training or the required academic education component directly related to the work experience;
8. Incentive payments directly tied to the completion of work experience; and
9. Employability skills/job readiness training to prepare client for a work experience.

Other supportive services are a separate program element and cannot be counted toward the work experience expenditure requirement even if supportive services assist the client in participating in the work experience.

Choosing a Worksite - Matching the client with the right worksite/employer is essential to making a work experience successful and beneficial to all parties. Service providers should encourage worksites to interview potential clients as part of the work experience process. Service providers should consider the following when selecting a worksite:

1. selecting a worksite based on the interests and abilities of the individual identified in the development of the ISS;
2. selecting a worksite that has adequate work and work space;
3. identification of the demands of the worksite, work place safety, and realistic expectations;
4. using their best professional judgement regarding placing client in a situation that might make them feel vulnerable, unsafe, or threatened;
5. identifying the “value added” contributions an employer is willing to make such as refinement of work maturity skills; integration of work and learning; provision of on-

- site educational services; and exposure to skill training, mentoring, exploration, career guidance, and/or possible future employment; and
6. being aware of any criminal background the customer may have that may impact placement at a worksite or the type of work being performed.

The work experience is an opportunity for career exploration and hands on learning so it's okay to move a client from one worksite to another when appropriate.

Worksite Supervisors

Attributes of a good worksite supervisor include:

1. a clear understanding and expectation of the attitudes and habits that a client may exhibit;
2. being prepared to spend adequate, quality time with the client and provide appropriate supervision that allows for skill development in a safe environment;
3. the ability to provide guidance, work assignments, and skill development; and
4. understanding the importance of evaluating the client's progress; reviewing and approving timesheets; and keeping program staff informed of any issues and/or exceptional performance.

Identifying a worksite mentor. While this is not a requirement of the WEX, identifying a worksite mentor that the client can meet with on a structured basis with questions or concerns may be very helpful to the client. The mentor should be someone comfortable offering guidance, support and encouragement to develop the competence and character of the client. Ideally, this relationship could develop into adult mentoring lasting one year or longer.

Identify the Memorandum of Agreement (MOA) type

There are two types of WEX Memorandum of Agreements.

1. A Standard Work Experience is when the service provider is the employer. Generally, this type of WEX is used by non-state service providers. These forms must be used:
 - Memorandum of Agreement WIOA.22
 - Training Summary WIOA.22.c
2. An Alternative Work Experience is when the WEX worksite is the employer. State service providers should only use Alternative WEX. Non-state providers have the option to utilize either Standard WEX or Alternative WEX agreements. These forms must be used:
 - Youth WEX Alternative Memorandum of Agreement WIOA.22.1
 - WEX Wage Subsidy Invoice WIOA.22.1a (Reimbursement form)
 - Training Summary WIOA.22.c

Memorandum of Agreement (MOA)

The MOA must be completed prior to placing clients at a worksite. That includes entering the number training summaries that are attached to the MOA under Article VI Attachments

on page 3 number 2 of the MOA. This section is often overlooked in the development of the MOA.

Client may participate at more than one WEX worksite at a time if there is a signed WEX MOA and a training summary in place at each worksite.

A new WIOA MOA is developed each program year and cannot be extended beyond June 30th. Service providers that have clients placed on a WEX that runs across program years will need to have the new agreement in place by July 1st so that clients can continue at the worksite.

The MOA can be established at any time during the program year if there is not an established MOA at the worksite where they are placing the client. However, the MOA end date is still June 30th of that program year.

Duration of WEX Assignment

1. There is no set time limit for youth work experience however the duration should be determined by the type of work experience and continued evaluation of the client's progress.
2. Factors such as prior work experience and occupational interests should be taken into consideration.
3. Part-time work experience is encouraged, when appropriate, for clients that are attending school, or disabled, or single parents with small children.

Overtime Pay

1. Overtime pay isn't an allowable expense; however, it is allowable for the worksite to pay overtime out of their own funds;
2. overtime hours would be tracked separately by the worksite and are **not** entered on the WEX timesheet.

Training Summary

1. A Training Summary must be completed for each work assignment at the worksite. All clients on the same work assignment at the same worksite can be listed on one training summary attached to the MOA.
2. Service providers and the worksite supervisor will work together to develop the Training Summary. The instructions for completing the Training Summary are on the form.
3. The Training Summary must be completed by identifying the:
 - a. client(s) and business (worksite);
 - b. supervisor(s) that are authorized to sign timesheets and a phone number;
 - c. occupation and the O-NET Code;
 - d. wage per hour and hours of work per week;
 - e. WEX start and end dates (not estimated but actual end date);

- f. list of the skills, duties and tasks for which the client will receive training; and
 - g. initial skills by checking yes or no.
- 4. Wage changes e.g., increase in pay should be documented on the Training Summary
 - 5. Each client must have a copy of the Training Summary and copies of their timesheets in their program file.

Timesheets

Timesheets may be submitted for payment weekly or every two weeks. In either instance the timesheets must be signed and dated on or after the last day worked. Timesheets signed prior to the last day worked may be questioned. If time is reported after the supervisor approval date, those dates must include the supervisor's initials and date.

Provide Instructions to clients on how to complete the timesheet including:

- 1. ensuring the timesheet is complete with the client's name, the name of the worksite, and the pay period start and end dates;
- 2. where and how to enter the dates and hours worked;
- 3. how to provide enough detail in the job duties/tasks performed daily section to clearly describe what the client worked on each day;
 - a. neither the word ditto nor ditto marks or any other variation of not answering the questions are acceptable;
 - b. the job duties listed for the day should be more than just writing in a word such as "cleaned" or "answered phones". The service provider must be able to tie the job duties back to the WEX Training Summary and the client's skills or lack of skills and whether they're enhancing the skills they already have or are learning new skills.
- 4. making sure the client understands timesheets must be signed and dated before submitting for payment.

Provide instructions to worksite supervisors on how to ensure they and the client have completed timesheets including:

- 1. ensuring the client has completed the timesheet appropriately by checking the dates, hours worked and job duties for accuracy and initialing any changes made to the timesheet;
- 2. completing the evaluation at the end of each pay period by giving the client a rating of Exemplary, Good, Fair or Poor for their: communication skills; initiative; appearance; dependability; productivity; participation as a team player; attitude; punctuality; and conduct; and
- 3. certifying that the hours are correct by signing and dating the time sheet.

The service provider and the worksite supervisor have the responsibility of comparing the time sheet to the training summary to ensure that:

- 1. the total number of hours worked each week don't exceed the number of hours per week on the Training Summary; and
- 2. the job duties/tasks on the time sheet are adequate and can be tied back to the job duties/tasks on the training summary.

The worksite supervisor has the responsibility to document the name of the individual authorized to sign timesheets in their absence.

Bi-weekly visits to worksites

Bi-weekly worksite visits allows program staff the opportunity to collect timesheets, observe work skills, address concerns, provide guidance, and address employer needs. Program staff will complete the WEX Bi-Weekly Contact Form (WIOA.22.e) with the client and the worksite supervisor. Preferably interviews are done separately to not stifle conversation from either the client or the worksite supervisor. However, when appropriate, interviews may be conducted with both the client and supervisor present.

Bi-weekly visits benefits the worksite, the client and program staff. Program staff can monitor the performance and progress of the client on a regular basis to determine:

1. if there is adequate, supervised work, or the work is inappropriate and doesn't match the training summary;
2. if the client should continue participation at this worksite, transfer to another activity at that worksite. or to another worksite;
3. if the client is ready for placement in unsubsidized employment; or
4. if other appropriate action should be taken.

More frequent contact could take place if it's believed to be necessary and of benefit to the client and worksite supervisor. For example, if the client displays disciplinary problems, staff and the worksite supervisor should address the client accordingly to correct the behavior as soon as possible.

Addressing behavior concerns could include:

1. Verbal warning provided by the worksite supervisor and the service provider to the client;
2. Written documentation regarding the time sheet evaluation and a meeting between all parties to discuss behavior/performance concerns; and/or
3. Termination if determined necessary after verbal and written warning has not corrected behavior.

Ongoing problems or signs of no improvement may result in termination of the work experience. Illegal activity such as theft, use of drugs or alcohol, can be reason for immediate termination.

Payment authorizations

Payment authorizations must be supported by time sheets in the client's file.

When time sheets are not submitted in a timely manner and the individual will not receive payment for the time sheet until the end of the next pay period, then pay periods should be

combined on a single payment authorization. In those instances, document this clearly on the payment authorization.

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ON-THE-JOB TRAINING (OJT)

OPERATIONAL GUIDANCE: Refer to the On-The-Job Training Policy. The following is intended as **guidance and clarification**.

OJT contracts may only be written to the end of the program year in which the client begins. A new contract with the worksite will need to be established if the hours approved go beyond the last day of that program year.

Reverse Referrals may be accepted for OJT only if the client's assessment and IEP/ISS document such OJT as an appropriate training activity. The employer must be aware that an individual not currently in their employ may or may not be referred back for employment consideration. OJT contracts written for eligible employed workers do not constitute a reverse referral.

Training that is not considered appropriate includes, but is not limited to:

1. Occupations in lower wage industries where prior skill or training is not prerequisite for hiring;
2. Occupations with high labor turnover;
3. Occupations, which lead to relocation of establishments from one area to another;
4. Seasonal occupations;
5. Occupations with a substantial number of experienced and able workers who are presently unemployed;
6. Occupations dependent on tips and/or commission to equal the minimum wage; and
7. Occupations with low paying, dead-end jobs.

Acceptable documentation for reimbursement includes any one of the following:

1. Pay stubs
2. Timesheets
3. Payroll reports

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INDIVIDUAL TRAINING ACCOUNTS (ITA)

OPERATIONAL GUIDANCE: Refer to the ITA Policy. The following is intended as **guidance and clarification**.

Things to consider when determining the amount of need for training:

- Total cost of the semester or program the client intends to take;
- Training costs such as books and supplies, or other tools/materials required to complete training;
- The dollar amount of other resources available or that may be available such as other workforce programs, Pell Grant, GI Bill, and scholarships;
- The amount of assistance through the WIOA programs will be determined after all other resources are applied first;
- Case managers should estimate high on the ITA to ensure the cost of the training is covered. Case managers cannot exceed the amount entered on the ITA;
- The ITA cannot be amended or changed;
- Case managers should document in a case note the amount of the ITA and what resources have been considered in determining this amount;
- Any assistance provided to the client after the ITA has been completed is considered a supportive service and should be paid out of the appropriate supportive service type.

Completing the ITA (2-page form)

- Page 1:
 - Identifies the estimated amount that will be paid to the training provider on behalf of the student;
 - Paid out of the training service opened on the employment plan in MIS
 - Requires the signature of the case manager;
 - A copy of this page only is provided to the training provider to make them aware of the amount that is approved to assist the client.
- Page 2:
 - Identifies the estimated amount that will be used for items associated with training that will be purchased from a vendor that is not the training provider;
 - The total amount approved on this page may be used regardless of the vendor or the amount listed to the vendor on the form;
 - Paid out of the Training Related Materials service;
 - Once payments have been made this service should be closed on the employment plan;
 - Requires signature of the case manager and the client.

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ELIGIBLE TRAINING PROVIDERS

OPERATIONAL GUIDANCE: Refer to the ETPL Policy. The following is intended as **guidance and clarification**.

A. VENDORS

New Vendor

To set up new vendors for payment a State of Montana supplemental W-9 needs filled out, signed and dated. This document is located here: [Form WIOA 41 MT W-9](#). Send the completed document, indicating required objectives and services, to the following address: DLIWSDW9INPUT@mt.gov.

Current Vendor

Current vendors do not require a new State of Montana Supplemental W-9 provided their information is current and up-to-date. Verify vendor information in the database, if there are any changes a new W-9 may be needed.

B. ELIGIBLE TRAINING PROVIDERS

New Training Provider

To establish a new potential Eligible Training Provider the following action needs to be taken:

The potential training provider should be directed to the [ETPL Policy](#) to have general questions answered. If the training provider wishes to pursue application, the following forms must be filled out and submitted to MTETPL@MT.GOV

- Eligible Training Provider Initial Application (WIOA.34)
- Eligible Training Provider Sharing Agreement MOU (WIOA.35)
- MT/IRS Standard W-9 Vendor ID (WIOA.41)
 - NOTE: the name in line 1 will be their ETPL display name unless they list a dba name in line 2 of the W-9

If the training provider has questions you may direct them to send an email to MTETPL@MT.GOV with the potential training providers contact information; full name, email and phone number. The ETPL program manager will contact the potential training provider.

If the program of study is approved, it will be displayed on our website under the [Eligible Training Provider List](#). Interested parties will be notified of the course approval.

If a program of study is denied, the provider will be sent a denial letter and the program will not be listed. The provider has the right to appeal the denial. Interested parties will be notified of the denial.

Current Training Provider

Montana's University System (Universities and Colleges), do not need to have a data sharing agreement sent to the ETPL Program Manager. The Montana Department of Labor and Industry has a MOA already in place with the Montana University System and performance data is already being captured to satisfy performance data and ETPL PIRL reporting. Tribal Colleges are not part of the MOA with the Department and must sign individual ETPL MOU's and provide the required data as outlined in the MOU.

Any training provider that was on the historic ETPL must follow the New Training Provider steps.

Registered Apprenticeships

Registered apprenticeship programs are automatically qualified for placement on the ETPL but must indicate they want placement on the list. They will remain on the list if the program is registered or until the program sponsor notifies the state that it no longer wants to be included on the list.

Registered Apprenticeship programs are not subject to the same application procedures and performance information requirements as other providers, nor do they require a period of initial eligibility; as they go through a detailed application and vetting procedure to become a Registered Apprenticeship program.

Registered Apprenticeship employer sponsors that are not the provider of the related technical instruction and utilize a third-party training provider; that third-party training provider must apply for the ETPL and meet all requirements before the apprenticeship may be placed on the ETPL.

Any Registered Apprenticeship program sponsor accepting application(s) for open positions are an in-demand occupation by default. Minimal information may be required from an apprenticeship to execute payment of WIOA funding.

- The standard IRS W-9 for FEIN declaration and payment information must be provided by the apprenticeship employer sponsor if they are receiving the WIOA funds.
- Pre-apprenticeship programs do not have the same automatic ETPL status and must apply using the New Training Provider application process.

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SUPPORTIVE SERVICES

OPERATIONAL GUIDANCE: Refer to the Supportive Services Policy. The following is intended as **guidance and clarification**.

Supportive Service Assessment – this service should be opened anytime a financial assessment takes place. Open and immediately close service when the financial assessment has taken place. Each time a supportive service is considered and/or approved to be paid this service should be opened then closed to document the assessment has taken place. A case note should be entered to support that the assessment has taken place and that no other resources are available, if a payment is being made.

**There are no advanced payments allowable under supportive services unless specified in policy or guidance.

Drug testing - Depending on circumstances may be paid out of Work-Related Materials/Supplies or Other Supportive Services.

Background Checks - Depending on circumstances may be paid out of Work-Related Materials/Supplies or Other Supportive Services.

Childcare - A person in the client's immediate or extended family may perform childcare only after all other sources of day care have been exhausted.

Health Care and Medical Services - These services are of a one-time nature, such as a physical examination, prescription drugs, prescription eyeglasses, immediate dental care, and mental health care which are needed to enable an individual to participate.

Tools - Become the property of the client. If the client fails to complete the prescribed training, the tools may be requested to be returned to the service provider.

Internet Services - There is no maximum number of internet payments that may be made on behalf of the client while they are actively participating in distance learning or job search activities, however internet payments shall only be made on a month-to-month basis.

Utilizing an electronic signature – It is acceptable to use an electronic signature such as an email, text, instant message or other forms that electronically identifies the person requesting assistance.

Transportation – Fuel cards or prepaid credit cards may be used to provide mileage assistance as well as paying the client directly. Documentation of the distance such as using map quest must be maintained in the client's file.

Business startup costs – No capitalization items are allowed; however, you may purchase such things as computers or tools that are used in the course of business. Items that are counted as capitalization are things such as building costs or inventory items. For example:

Scissors that a cosmetologist uses to cut hair is a tool, just like a hammer is used by a construction worker. The shampoo supply that the cosmetologist has for sale is considered inventory and cannot be purchased for startup costs.

No costs are allowable that are incurred prior to enrollment, therefore you may need to pro-rate. Pro-rating the costs is calculated by dividing the number of days during the billing cycle by the total amount of the bill. This rate per day is then multiplied by the number of allowable days. This figure will be the amount allowable.

Total bill = \$500

30 days in the billing cycle

Client is enrolled on the 5th of the month, this means 4 days are not allowable.

$\$500/30=\16.67

30 days - 4 days = 26 days allowable

26 days x \$16.67 = \$433.42 is the allowable amount

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FOLLOW-UP SERVICES AND ACTIVITIES

OPERATIONAL GUIDANCE: Refer to Program Policies for detailed policy. The following is intended as guidance and clarification.

A. Adult, Dislocated Worker and SDH Follow-up Services

Appropriate follow-up Services, that may include counseling regarding the workplace, *must be made available to Adult and Dislocated Worker clients who exit to self-employment, agricultural, railroad or federal government employment* for a minimum of 12 months.

Case managers should contact the client at least once a quarter to check in with clients who have obtained unsubsidized employment to see if they need assistance in job retention, obtain wage information and career progress.

Appropriate follow-up services may vary among different clients, for example clients with multiple employment barriers and limited work histories may need significant follow-up services to ensure long-term success in the labor market. Others may identify an area of weakness in training that may affect their ability to progress further in their occupation or to retain employment.

Follow-up services could include:

1. Additional career planning and counseling
2. Contact with the client's employer, including assistance with work related problems that may arise;
3. Peer support groups;
4. Information about additional educational opportunities; and
5. Referral to supportive services available in the community

Note: Financial assistance payments are not an allowable follow-up service for Adults and Dislocated Workers. However, it is allowable under the SDH.

B. Youth Follow-up Services

All WIOA Youth clients, except for those closed to an exclusion, by request, or due to non-participation must receive some form of follow-up services for a minimum duration of 12 months. Follow-up services may be provided beyond 12 months if it's beneficial to the youth to continue to receive follow-up services. Follow-up services are critical services that are provided following a youth's exit from the program to help ensure the youth is successful in employment and/or post-secondary education and training. Case manager should make contact at least quarterly with the youth to ascertain their status and to determine if they need additional service or support. This must be documented in case notes. The types of services provided, and the intensity of follow-up services may differ for each client however follow-up services must include more than only a contact attempted or made for securing documentation to report a performance outcome.

Follow-up services may include:

1. The leadership development and supportive service activities;
2. Regular contact with youth client's employer, including assistance in addressing work-related problems that arise;
3. Assistance in securing better paying jobs, career pathway development and further education or training;
4. Supportive Services;
5. Adult mentoring; and/or
6. Providing services as necessary to ensure the success of youth clients in employment and/or post-secondary education.

Although WIOA regulations mandate the provision of follow-up services to all youth there will be times when it might not be possible to provide follow-up services or to provide these services for a minimum of twelve (12) months. Some youth may have relocated to another state, or cannot be located or contacted after several attempts, or have clearly communicated that they are not interested in receiving further services or additional assistance. While there is no doubt of the value of providing follow-up services that service provision may not be possible in every instance and cannot be "forced." In these instances, it is critical to exercise due diligence with respect to the mandatory provisions of follow-up services for a minimum duration of 12 months after exit. Case managers must document thoroughly in MIS case notes the justification for not providing follow-up services.

Youth that might not receive follow-up services include:

1. Youth that have not been in contact with the case manager for a period of at least 90 days (3 quarters). NOTE: Case managers should document at least six attempts to contact the youth in that time period;
2. Youth that have moved from the area;
3. Youth that refuse to participate;
4. Youth that have requested closure from the program and no further contact;
5. Youth that are institutionalized;
6. Youth receiving medical treatment or providing care for a family member with a health/medical condition that precludes continued participation in the program;
7. Youth who have relocated to a mandated program
i.e., youth in foster care and have moved from the area because of such program.
Note: This does not include relocation to Job Corps

Youth that are in follow-up but cannot be contacted. Keep the follow-up service open on the youth's MIS Employment Plan. Attempt to contact the youth at least once a quarter and document this in a case note. Close the follow-up service at the end of the minimum requirement period of 12 months.

Timelines for Quarterly Follow-up

The first quarter follow-up should be done during the calendar quarter after the client's enrollment has been closed.

Calendar quarters:

January – March

April – June

July – September

October – December

Example:

If a client's enrollment closed September 30, 2019, follow-up would be done according to the following calendar quarters:

1st Quarter: October – December 2019

2nd Quarter: January – March 2020

3rd Quarter: April – June 2020

4th Quarter: July – September 2020

Follow-up must occur during the quarter being recorded.

Service providers should use the Follow-up tab to record status in the Follow-up Contact section. A comment should be entered for each Follow-up contact. The comment should provide information regarding where the information was obtained, employer name, address, phone number, the occupation that the client has entered, or any other pertinent information.

The screenshot displays the 'Employment Plan - Followup' interface. At the top, there are tabs for Enrollment, Appropriateness, Employment Plan, Progress, Funding, Closures, Case Notes, and Survey. The 'Progress' tab is active, and the 'Followup' sub-tab is selected. Below the tabs, there is a table with columns: Start, Exit Dt, Enrollment, Exit reason, and Outcome. The first row shows: 01/24/10, 10/22/10, WIA Adult - Local, and Obtained Employment. Below this is the 'Followup Contact' section with a table containing columns: Date, Employment Status, Wage, and Follow-up Type. The first row is highlighted in yellow and shows: 10/29/10, Unsubsidized Employment, \$12.98, and 1st quarter after exit. Other rows show dates 03/31/11 and 05/03/11 with similar employment status and wages. To the right of this table is an 'Add' button and an 'Education Levels' section with 'Pre' and 'Post' columns for Math and Reading. Below the table are fields for 'Source of Suppl Data' (Case Mgt, Survey, Employer), 'Staff', and a 'Comment' field containing the text: 'CM spoke with Larissa on the phone at work. She is doing...'. At the bottom, there are fields for 'Pre-Program Labor Force' (Not Employed), 'Basic Skills Deficient' (No), 'Pre-Program Ed Status' (Not Attending School), 'Date Attained', 'Type', 'Training Service', and 'Youth Goals' (Start, End, Service, Outcome). 'Save' and 'Cancel' buttons are at the bottom right.

In the absence of Unemployment Insurance wage data, follow-up results can be used to enhance performance for three performance measures. Results count positively toward the measures if clients are found to be in unsubsidized employment in the quarters after exit. Supplemental follow-up results can be used for the following performance measures.

Supplemental Data Requirements

Supplemental Data refers to information collected in lieu of Unemployment Insurance (UI) wage records in order to demonstrate an employment-related outcome.

State UI wage records are the preferred data source for any performance measure pertaining to employment, including ETA's Adult Common Measures. These records are owned by individual State Workforce Agencies and are governed by confidentiality and privacy statutes; most entities, including community colleges and private organizations, do not have access to wage records, which contain personally identifiable information including Social Security Numbers (SSNs). This is the reason that ETA has assumed the burden of tracking Common Measures for grantees that provide the four (4) data elements as detailed in the High Growth and Community-Based Job Training Grants: General Quarterly Reporting Forms and Instructions.

There are several allowable sources of Supplemental Data. In the absence of UI wage records, there are several sources of supplemental data that can be used to demonstrate employment-related outcomes. These include copies of pay stubs covering the period called for by the performance measure, employer documentation (including written affidavit or telephone conversation) indicating the individual was employed some time during the period called for by the performance measure, documentation from the former client, case management notes and proprietary websites that offer employer fee-based information.

1. *Information from Employers:* In general, this pertains to a written affidavit or documented telephone conversation with an employer indicating the individual was employed at some time during the period called for by the performance measure. At a minimum, grantees should obtain a signed release from clients prior to exit allowing such contact. The employer verification, whether written affidavit, letter on official letterhead or telephone conversation, should contain the employer's name, dates of employment for the individual in question and earnings for the period, in addition to the name, title, address, and telephone number of the employer representative providing the information.
2. *Information from Former Client:* In general, this pertains to a written attestation form or documented telephone contact with the former client that they were employed during the period called for by the performance measure. At a minimum, this should include updated contact information for the former client, dates of employment and total earnings for the period, the employer's name, address and telephone number and, in the case of a written attestation, the signature and date signed by the former client. (If a documented telephone conversation is utilized, then the information should include the name/signature and date signed by the grantee's staff member.)
3. *Information from Proprietary Websites:* A number of websites offer fee-based employment verification and wage-related information, although not all employers provide information to all sources. These include www.theworknumber.com , www.verifyjob.com , and www.usverify.com/incomeverify.html . These websites are not endorsed by USDOL-ETA.

All Supplemental Data sources must be documented and are subject to audit.

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YOUTH INCENTIVES AND STIPENDS

OPERATIONAL GUIDANCE: Refer to the Youth Program Policy. The following is intended as **guidance and clarification**.

Incentives and stipends are two separate forms of payment that can be made to youth for participation in an approved activity as described in the Incentives and Stipend section of the Youth Program Policy.

Case managers must ensure that the client is aware of the potential for receiving stipend and incentive payments up front during the initial development of the ISS and not as an afterthought.

INCENTIVES

Incentives can be provided to youth during participation and follow-up if the provision of incentives is identified on the youth's Individual Service Strategy. Incentives are offered to induce the youth to work toward achievement of a specific goal or goals.

Youth Program Policy allows for the provision of cash or non-cash incentives to youth for successful participation and achievement of expected outcomes, as defined in the ISS, upon completion of an established benchmark or final program completion. Incentives can be used as encouragement for the youth to continue participating in program activities including training, education or work readiness activities such as work experience.

DOCUMENTATION:

Cash Incentives: Refer to the Youth Program Policy for the documentation that must be provided in order to receive an incentive in the form of cash or a gift certificate.

Non-cash Incentives: Clients must provide appropriate documentation that verifies that the client is attending school, receiving passing grades and plans to graduate to be eligible to receive any of the following non-cash incentives:

- Plaques;
- Cap and Gown;
- Class picture; or
- Class ring.

STIPENDS:

A **stipend** is described as a “seat time payment”, as defined in the ISS, and is an allowable monetary payment that may be only be paid to the client for participation in an approved activity as documented on the ISS.

DOCUMENTATION:

The documentation used to verify activities for which the clients are eligible to receive stipends may include, but is not limited to:

1. Timesheets: WIOA youth timesheets are generally used by clients in a work experience and attending work readiness classes to help them succeed in the work experience.
 - Timesheets must be completed showing the worksite information, pay period start and end dates, dates and hours worked, and the work readiness activity documented;
 - The supervisor’s evaluation completed and the appropriate signatures and dates.

A copy of the timesheets must be maintained in the client’s file.

2. Time and attendance records are used when clients are participating in “seat time” activities and is not considered part of the work experience.
 - Document the dates, hours, time and activity on the attendance sheet; and
 - The attendance sheet must be signed and dated by the client and the instructor prior to making the stipend payment to the client

A copy of the attendance sheet must be maintained in the client’s file.

Incentives and Stipends are NOT Supportive Services and do not require a Supportive Service Assessment and are not tracked on the Direct to Client tracking sheet.

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PERFORMANCE MEASURES

OPERATIONAL GUIDANCE: Refer to the Performance Measures policy for detailed policy. The following is intended as **guidance and clarification**.

A. Adult, Youth and Dislocated Worker Performance Measures

To document that your client has earned a Measurable Skill Gain, collect the following:

1. Achieving at least one education functioning level:
 - Compare the client's pre-test with the client's post-test. Keep copies of all tests.

States may report EFL gains for people who exit a program below the postsecondary level and enroll in postsecondary education and training during the program year. A program below the postsecondary level applies to clients enrolled in a basic education program. (They exit and do not have a HS diploma or its equivalent and enroll in Postsecondary during the program year) Keep documentation showing they have enrolled in Postsecondary education including basic education programs.

2. Attainment of secondary school diploma or equivalent:
 - Obtain copy of the High School diploma or equivalent.
3. Secondary or Postsecondary transcript/report card:
 - Secondary – keep a copy of the transcript or report card for one semester showing the client is passing.
 - Postsecondary – keep copies of the appropriate transcript or report card
4. Established milestones such as successful completion of OJT or one year of an apprenticeship program.

Must document substantive skill development that the client has achieved

 - Can use satisfactory or better progress report from an employer or training provider
 - Progress reports may include training reports on milestones completed as the individual masters the required job skills, or steps to complete an OJT or apprenticeship program
 - Increases in pay resulting from newly acquired skills or increased performance – documentation from the employer
5. Successful passage of an exam that is required for a particular occupation or progress in attaining technical or occupational skill as evidenced by trade-related benchmarks, such as knowledge-based exams.
 - Obtain copy of the exam that was passed.

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CREREDENTIALS

OPERATIONAL GUIDANCE: Refer to the Credentials Policy. The following is intended as **guidance and clarification**.

What counts as a Credential for WIOA reporting purposes?

The following is a list of questions to consider when reviewing a program of instruction for certificate eligibility. The resources cited for each question are examples of the types of requirements or program policies to look for when attempting to answer the questions. The resources identified are not comprehensive; you may find other resources locally that also support your decision to define a program of instruction as "certificate-eligible". College course catalogues and degree/certificate requirements typically answer many of these questions to the extent necessary to make your determination. Employers who will hire certificate holders can also answer questions when a training catalogue does not provide the necessary information.

Question 1: Is the program more than one course of instruction? If it is one course only, what are the expectations of the client after successfully completing the course?

What to look for:

- Program descriptions in college or training provider catalogues.
- Occupational licensing and certification requirements by the certifying agency.

Question 2: Does the training program have structure? Is there a standardized mechanism of delivery?

What to look for:

- Lesson plan(s)
- Curriculum
- Class syllabus
- Prerequisites - i.e., the program is completed through a series of training activities that build upon each other to expand the student's breadth and depth of knowledge and skills.
- Evidence based on lesson plans, curricula, etc. that instructors typically teach the course in the same sequence, according to the same schedule, each time the course is offered.

Question 3: Does the program fulfill a specific set of occupational requirements with clear and measurable goals and objectives? Can the certificate holder function effectively on the first day of employment with minimal supervision?

What to look for:

- Job qualifications or pre-requisites (e.g., licensure, certification or any other evidence the prospective employee must provide as evidence of competency in order to be hired).
- Once all training and testing is completed, what does the student obtain for his/her effort? (e.g., license to practice or credentials of competency).
- The individual can perform the work required by the occupation without additional training immediately after hiring. For example, an emergency medical technician (EMT)

can perform Cardiopulmonary Resuscitation (CPR) on a patient at the time of hiring by an ambulance service.

Question 4: Is the certificate and knowledge/skills transferable from one employer to another within the industry that recognizes the certificate?

What to look for:

- Employer hiring standards within the industry.
- Evidence of reciprocity across state or regional borders (i.e., no further training is required to secure the same job in another location, or minimal training requirements to account for regulatory differences associated with State licensing and certification laws/regulations.) For example, an EMT certified by the National Registry of EMTs in the State of Wyoming would be immediately eligible for EMT licensure and hiring in the State of Montana.

Question 5: Who issues the certificate or license?

What to look for:

- Licensing or certification requirements identified by the training program provider.
- State, county, tribal or municipal licensing or certification regulations or requirements.
- Professional or industry endorsements and standards.
- Apprenticeship programs.

Question 6: Can the client secure a job in the occupation without obtaining the certificate or license?

What to look for:

- Eligibility requirements for certificates, licenses or credentials.
- Continuing education requirements to renew certificates, licenses or credentials.
- Certificate, license or credential expiration dates.
- Length of time a certificate, license or credential is valid.
- Recertification requirements after a certificate, license or credential has expired.
- Employer requirements for maintaining current certification, licensure or credentials.
- Employer prerequisites to employment that state a preference for applicants with the certificate/license/credential.

Question 7: How is successful program completion determined?

What to look for:

- A passing score on a written test is required to qualify for a license, certificate or credential.
- A passing score on a practical skills test (if applicable) is required to qualify for a license, certificate or credential.
- The training program and courses have clearly stated pass-fail criteria that apply to all students.
- All students are tested according to the same sets of standards and criteria determined by the occupation to be minimally acceptable.

- Reasonable testing accommodations for individuals with disabilities measure the same standards and competencies as any other student who has participated in the program.

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QUALITY CONTROL

OPERATIONAL GUIDANCE: Refer to the Quality Control Policy. The following is intended as guidance and clarification.

Technical Assistance and Continuous Improvement

There are several options to improve quality of program requirements. These options include but are not limited to the following:

- A peer review to improve quality for all areas of WIOA requirements. This provides the ability to correct data and can serve as a learning tool for providers.
- Mini-Technical Assistance and Training (TAT) sessions are available to any service provider who wants or needs technical assistance.
- Taking part in the monthly Program Manager technical assistance webinars.
- New Case Manager training is provided periodically by WIOA staff to acquaint case managers with program, fiscal and data requirements related to the above functions.
- Requests for technical assistance can be made to program managers or fiscal staff.
- Data Entry Requirements
 - Timely entry of information into the MIS system is imperative for accurate federal reporting. All data must be entered into the MIS system within seven (7) working days from the date the vendor is paid, the date that a service is provided, or the date that a MSG or credential information is received. This also includes training start and end dates as documented on the training tab in the MIS system.

Information entered into the MIS system from the WIOA application should match. Some data elements can be changed by the client from their MontanaWorks portal. These elements include:

- Demographic information such as race, offender status and ethnicity.

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COST PRINCIPLES, ALLOWABLE COSTS AND UNALLOWABLE COSTS

OPERATIONAL GUIDANCE: Refer to the Cost Principles, Allowable Costs and Unallowable Costs policy. The following is intended as **guidance and clarification**.

All costs must comply to Uniform Guidance 2 CFR Part 200 and 2 CFR Part 2900; DOL Exceptions to 2 CFR Part 200.

Applicable OMB cost principles, ETA grant regulations, and the terms of the subgrant agreements must be followed in determining the reasonableness, allowability, and allocability of costs. Only allowable costs may be charged to the grant, and no grant may pay for more than its fair share of the costs (allocability). The service provider must determine what costs incurred by the organization are allowable.

Costs can be either direct or indirect; however, they must be treated consistently. The service provider should have either a written Cost Allocation Plan or an approved Indirect Cost Rate.

Accounting records must be supported by source documentation such as invoices, purchase orders, paid bills, time and attendance records, contract documents, agendas for travel, etc. Source documentation is the proof that costs charged to WIOA are, in fact, allowable and allocable to the grant. This source documentation must be attached and available for review.

Disallowed costs must be repaid with non-Federal funds. However, if the organization reported stand-in costs during the program year of the disallowed cost, they may be able to substitute stand-in costs for the disallowed cost.

Stand-in costs are non-Federal costs that may be substituted for disallowed grant costs. To be considered and accepted as stand-in costs they must come from the same year as the costs that they are proposed to replace; must be allowable costs that were actually incurred for the benefit of the WIOA funded program and paid by a non-ETA fund source; and must be recorded and documented in the organizations account system.

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CASH MANAGEMENT

OPERATIONAL GUIDANCE: Refer to the Case Management Policy. The following is intended for guidance and clarification.

A. Cash Requisitions

The form templates can be found on the WIOA website at <http://wsd.dli.mt.gov/wioa/wioa-forms>

There is a separate form for each of the following programs WIOA Adult, WIOA Youth and State Displaced Homemaker.

Complete the form by using your Agency's Financial Reports. The financial report back-up documentation must be kept with copies of the submitted cash request forms and be available for review during monitoring.

The cash request may be a reimbursement amount or an estimated amount. Reimbursement is the preferred method of payment. If you are requesting additional funds for your immediate cash needs, the time between receipt and disbursement of funds should be minimal. In both cases, if the agency has earned program income those funds should be used immediately before requesting funds from the State.

The cash request forms must be signed or emailed by an authorized signature.

B. Authorized Signature Forms

The WIOA Fiscal Officer will send out the authorized signature form to the Service Providers yearly for the current year contract. If your Agency's staff has changed during the contract period – please notify the State and complete a new form with the new updated signatures.

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RECORD RETENTION

OPERATIONAL GUIDANCE: Refer to the Record Retention policy under Division Management Services. The following is intended as **guidance and clarification**.

The Reporting Manager will contact the service provider directly when clients' paper records may be destroyed.

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LOST OR STOLEN/FORGED CHECKS

OPERATIONAL GUIDANCE: Refer to the Stolen-Forged Check Policy. The following is intended as guidance and clarification.

A. For State Service Providers:

Follow the steps outlined in the Lost, Stolen or Forged Check Policy.

B. For Non-State Service Providers:

Non-state service providers must have a policy in place that addresses lost, stolen or forged checks. If the service provider has a situation where they have a stolen or forged check that is funded with WIOA, the agency must contact Workforce Services Division immediately.

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MIS ACTIVATION AND INACTIVATION

Requesting MIS Access:

Non-state service providers operating a contracted program should contact their individual program manager to request MIS Mworks access for their employees. Service provider management should provide the following information to their individual program managers.

- Employee's full name, phone number, email.
 - This information will be used in multiple ways, including but not limited to:
 - Zoom meeting invitation for monthly technical assistance calls;
 - WIOA Directory and contact listing.
 - MIS MWorks access.

MWorks Access

Your programs manager will contact your employee providing them a link to fill out that will start the MWorks access process. When access is granted by the Department's Technical Service Division, your program manager will provide the employee their user name and temporary password.

Accessing MIS

Citrix is the access port that is required to log into the MWorks database. Service providers technical support will need to down load the Citrix installer from this site: [Citrix Download](#)

After the Citrix installer has been downloaded, non-state case managers will access the MIS MWorks data base at this site and will use the provided user name and temporary password on first access. Login through this site: [Citrix Portal](#)

MIS MWorks Passwords:

MIS system only allows one password change in a 24-hour period. The non-state case manager will need to create a password within these parameters:

- Must be a minimum of 12 characters long
- Must contain 1 capitalized letter
- Must contain 1 number or special character

The MIS MWorks system requires monthly login to keep the account active and to prevent the password from expiring prior to the required 60-day countdown change. When the password expires, or the account is locked service providers will need to contact the departments Help Desk at 406.444.1361x2. The service provider will need to indicate they are a WIOA Contracted Contingent Worker and they need password assistance. Your program manager cannot assist you with password resets.

Terminating MIS Access:

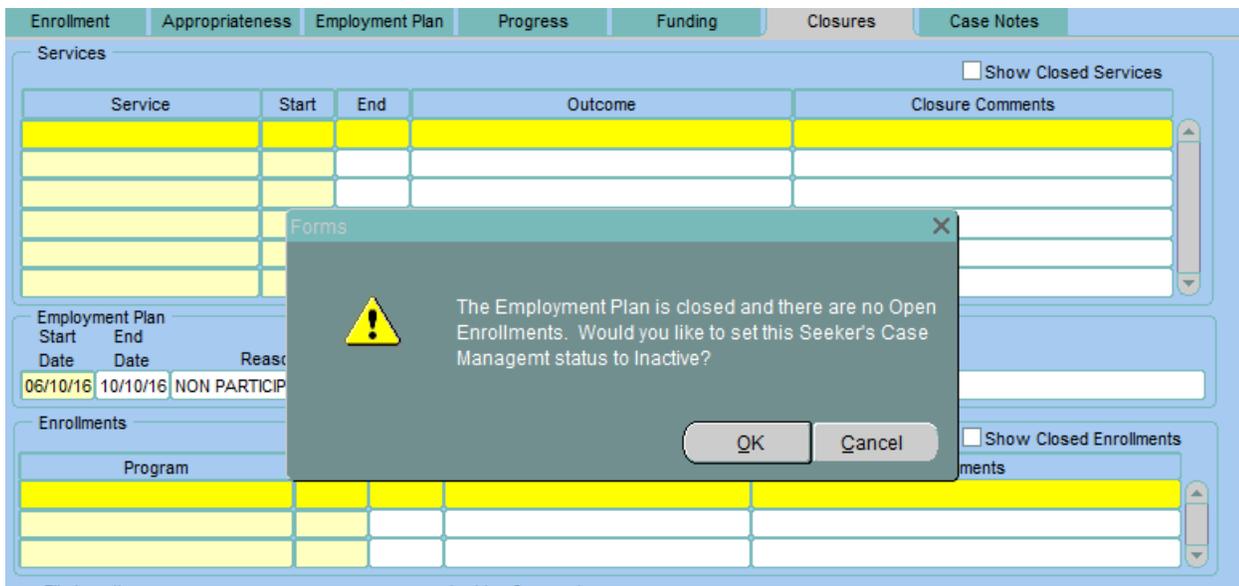
When a non-state case manager is no longer working the WIOA/SDH program the service provider is required to notify their program manager to remove the case managers Citrix Access and end the case managers MIS access.

Service providers will need to immediately move all clients from the former case managers assignment to another member of their agency in order to end MIS access of the former employee. Clients may be moved by navigating to the seeker screen. From this main screen click the Options drop down menu and select the Account Info and then Staff Info. This screen assigns new case managers to the client. Assigning a new primary case manager will end the former case managers assignment to the client.

The service provider will be notified when all steps for termination of access has been completed.

The following steps will guide you through inactivating case management of a client. The first way is detailed below.

In order to inactivate a client all services, enrollments, and the employment plan and follow-up enrollments and services must be closed. When this is done MWorks will display a pop-up window (image below).

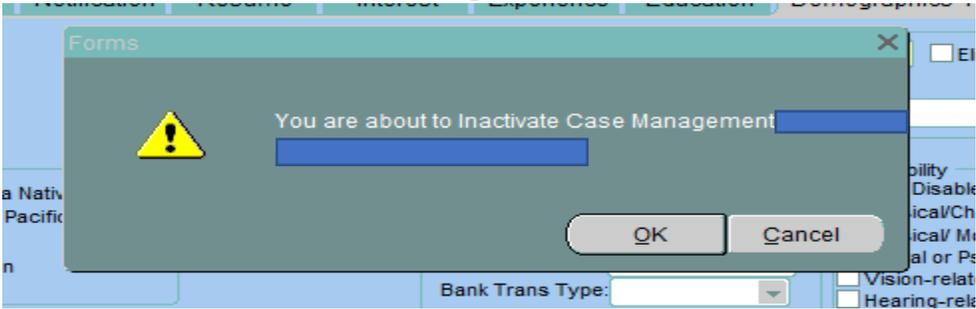


The second way to deactivate case management of a client is through the Options drop down menu.



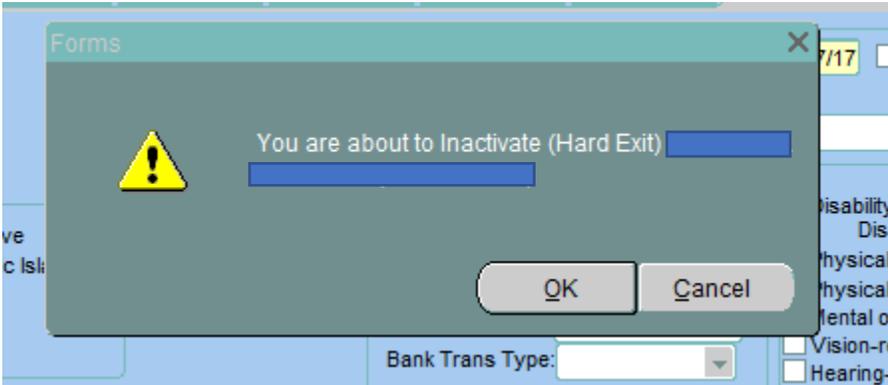
To deactivate a client and/or case mgmt. – must deactivate case management status first

1st step Select:
Activate/Inactivate Case Mgmt



Press Okay
2nd step deactivate the client

Options
Activate/Inactivate Seeker



Press Okay

Select the Options



To deactivate a client and/or case management

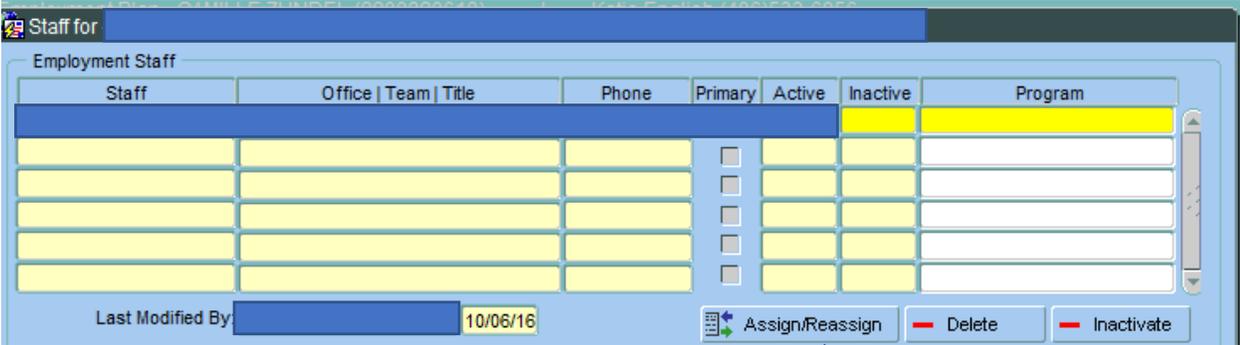
Options

- Account Info and choose
- Activate/Inactivate seeker and
- Activate/Inactivate Case management

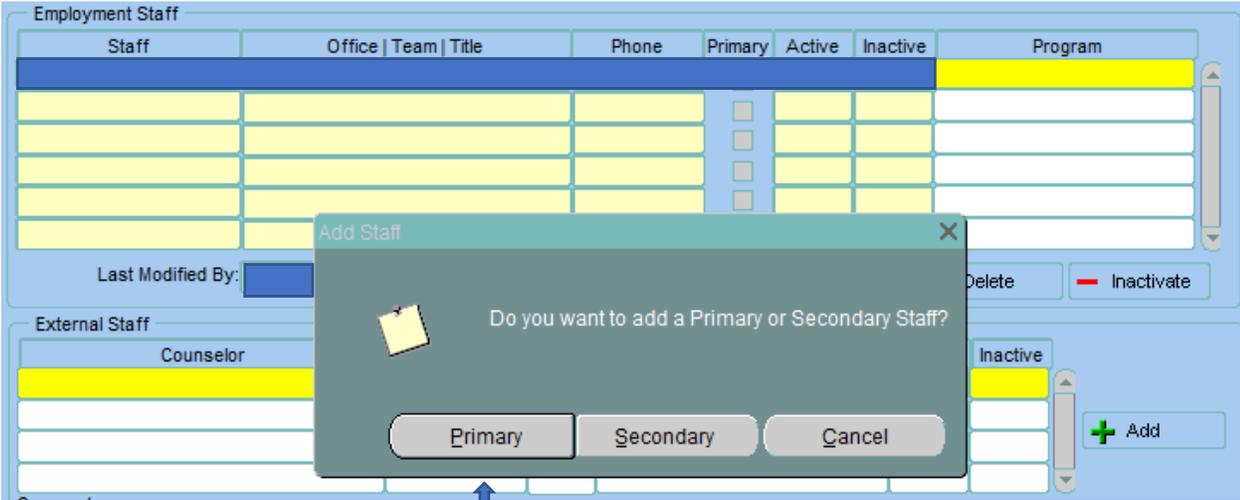
To reassign case manager

Options

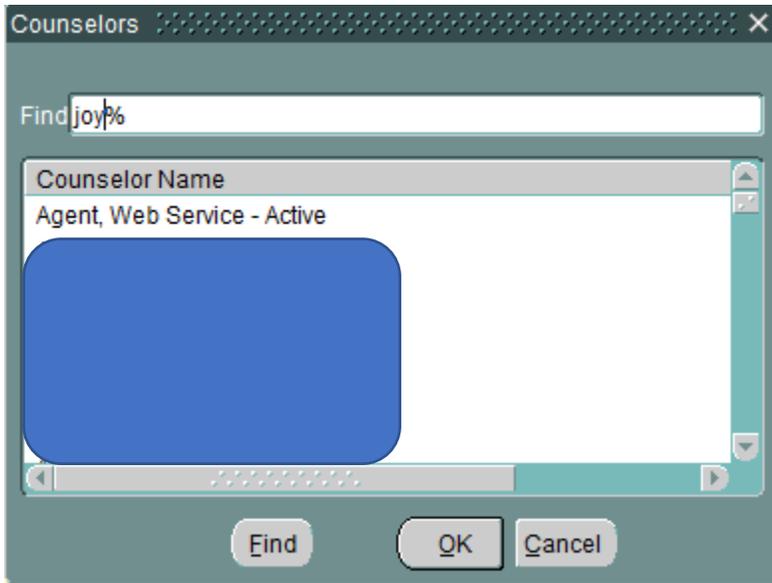
- Account info
- Choose staff information**



Choose assign/reassign



Choose primary



Type in name of primary counselor –

Only need to type the first couple letters of the last name and press find when you find the name of counselor for this client Press OK

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RECORDING ACTIVITIES

OPERATIONAL GUIDANCE: The following is intended as **guidance and clarification**.

A. Recording Training Activities

When a client takes part in training, no matter who is funding the training, there are four areas in MIS that need to be completed or looked at when recording training.

1. Appropriateness Tab
 - a. This needs to be completed 1st for any postsecondary training or any programs that lead to an industry recognized credential using one of these services such as: Occupational Skills Training, Distance Learning, Skills Upgrade and Retraining, etc.
 - b. This tab does not need to be completed for secondary school or Adult Education for basic skills remediation/HiSET classes.
2. Open the Appropriate Training Service
3. Complete Training Tab
4. Document Training Start/End dates

Appropriateness Tab

There are six questions that need to be answered on the Training Tab with a comment entered for each question in the text box. The comments must provide further explanation for each question.

The screenshot shows the 'Appropriateness' tab in a software interface. It contains six questions, each with a 'Yes' dropdown menu and a text box for a comment. The questions and their corresponding comments are:

- Question: "Is the customer unable to achieve self-sufficiency/suitable employment in intensive services based on program requirements?"
Answer: Yes
Comment: "Misty has been through a total of 5 layoffs in the timber/wood products industry over the last 16 years for multiple employers. Although the wage is generally a living wage, we have seen a downturn locally in that industry. She is looking for full-time permanent sustainable employment to support herself and her family."
- Question: "Will the customer benefit from the selected training based on the skills provided by the proposed training program and the customer's current skill level?"
Answer: Yes
Comment: "Misty has researched the radiology technology field and had positive conversations with local employers on hireability."
- Question: "Based on LMI sources for the customer's employment goal, is there a reasonable expectation of employment upon completion of the selected training?"
Answer: Yes
Comment: "There is reasonable expectation of employment upon completion. There are current job postings for this position. LMI is +9% nationally and +13% in MT. This is labeled a 'bright outlook' career on onetonline. Health care is one of Flathead Valley's largest employment fields."
- Question: "Is the selected training reasonably accessible to the customer from a governmental or private institution or facility?"
Answer: Yes
Comment: "Yes, classes are at FVCC in Kalispell, so reasonably accessible."

At the bottom of the form, there is a 'Completed Date' field set to 08/24/16, a 'Training Services must be added to plan by' field set to 11/22/16, and a 'Record' field set to 1 of 1. There are also buttons for '+ Add', 'Save', and 'Cancel'.

Record the Training Service

Case manager will need to record a Training Service for any training the client is attending, regardless of who is paying for the training.

If the client is attending training at enrollment, the training service start date should reflect the enrollment date.

If the client starts training sometime after enrollment, the training service start date should not be longer than 1 month prior to the training start date. Instances where you must pay tuition prior to the start of training, you will need to enter the training service before you can make the payment.

Training Tab

1. To get credit for the measurable skill gains and credential performance indicators, there must be a “Training Start Date” recorded for the client. The “Training Start Date” is picked up in reporting from the Training Tab and not the training service start date.
2. Here’s how to complete the Training Tab:

The screenshot shows a software interface for managing training records. The top navigation bar includes tabs for Enrollment, Appropriateness, Employment Plan, Progress (which is the active tab), Funding, Closures, Case Notes, and Survey. Under the Progress tab, there are sub-tabs for Training, Progress Notes, Authorizations, and Followup. The Training sub-tab is active, displaying a list of programs on the left and a form for entering training details on the right. The form includes fields for Name, Service, Actual Start Date, Projected Completion, Actual Completion, and ONet. There is also a checkbox for 'Withdraw from training'. At the bottom of the form are buttons for 'Skill Gain', 'Save', and 'Cancel'. A 'Show Completed' checkbox is located at the bottom left of the form area.

- The only schools that appear when you double click in the Name field on this screen are schools that are on the ETPL. Training providers such as Adult Education offering basic skill upgrade or the HiSET or a High School do not need to be on the ETPL.
- When the Training Provider is not on the ETPL, choose Non-Approved Montana – PO BOX 1728, Helena MT 59624 as the Training Provider.
- In the Service field, double click and you will get a list of services that have been recorded on the Employment Plan (not all services will show up). Choose the appropriate training service. NOTE: If a training service is not open on the Employment Plan, you will need to open the service with the appropriate start dates.

Enrollment Appropriateness Employment Plan **Progress** Funding Closures Case Notes Survey

Training **Progress Notes** Authorizations Followup

Program

High School Equivalency

Name: NON APPROVED MONTANA-PO BOX 1728, HELENA MT 59624

Service: Adult Basic/Literacy Services/Tutoring

Actual Start Date: 01/16/18

Projected Completion: 05/01/18

Actual Completion:

Withdraw from training

ONet: 31101100 Home Health Aides

Add Delete

Show Completed

+ Skill Gain Save Cancel

- Record the Actual Start Date of the training (first day of school) and enter a Projected Completion. In this case, the client started Adult Basic Literacy services on 1/16/18 and the HiSET is expected to be earned by May 2018.
- You will need to enter an ONET. If you double click in the ONET field, you will get the ONET codes that have been associated with the client. Most likely, you should use the current ONET code that is recorded on the Employment Plan since that is what the client is working toward.
- You will complete the Actual Completion field when the client completes the training.
- If the client does not finish training, you check the box in front of Withdraw from Training and you put in the last day the client attended in the Actual Completion field.
- Type in the name of the program the client is attending in the Program field.

Documenting Training Start and End Dates

Training start and end dates must be documented in your case files and MIS records. The easiest way is to put these dates in a case note. Example: Jesse started school on January 18, 2018.

Other ways to document training start and end dates are to use documentation from the training provider such as a school calendar or the bill from the training provider. Whatever you use, just make sure the dates on the training tab match the documentation.

REMINDERS

The only way a Measurable Skill Gain or credential will be counted is when the client is in Training (has a training service open on the plan and the Training Tab is completed).

Ensure all of your clients who are in training have the appropriate training service recorded!

Example 1

1. **Date = 9/1/13** (first day Fall semester). MSU student starts freshman year and has tuition, etc. funded by VRBS (Vocational Rehabilitation and Blind Services).
2. **Date = 1/10/16** (first day of Spring semester). Job Service enrolls the same student in the WIOA Dislocated Worker program after a job dislocation during the worker's junior year. Despite VRBS funding tuition, some costs were not covered such as transportation. Job Service plans on helping with supportive services only.
3. **Date = 1/10/17** (first day of Spring semester) VRBS runs out of funding and Job Service starts covering tuition as well as supportive services.

Now that we know what has to happen in MIS to get credit for Measurable Skill Gains, what would be the training start date for Job Service?

- Training start date should be **1/10/16** because that is when the client was enrolled in the WIOA Dislocated Worker program.
- To document the training start date, you could use a school calendar, or a case note saying something like: XX has been attending training at MSU since fall 2013. Training start date is recorded as 1/10/16 because that is the date of enrollment into the WIOA DW program and is the first day of Spring semester.
- As the client completes each semester of training, Job Service should obtain a copy of grades and if they are passing, enter the appropriate measurable skill gain in MIS (Postsecondary Transcript/Report Card) depending on the number of semester credit hours the client is earning.

Example 2

Client enrolled in WIOA program August 1, 2017.

Client is enrolled in Training for Fall 2017 semester and WIOA pays for tuition.

Winter 2018 and Spring 2018, client does not need help with tuition as she received a Pell grant.

Client will need help with Summer 2018 semester.

- Training service should be opened when training starts for Fall 2017 semester. Training Tab completed, and training start date documented with case note or school document.
- Training service kept open through Winter and Spring 2018 semesters because client is still in training. (even though WIOA is not paying tuition for Winter/Spring 2018)
- Document any Measurable Skill Gain in MIS as soon as it is earned – at the end of each semester if her grades are passing (assuming she is going full time).
- Make tuition payment for Summer 2018 semester using same training service that has been open on the plan.
- Training service would be ended when client completes training or stops attending for some reason.
- Enter Training End date on Training Tab and document training end date with a case note or school document.
- Enter credential information if client earns a credential.

Training Services:

Adult Basic/Literacy Services/Tutoring – use when *the individual (16 or older) is working toward a high school diploma or equivalency and/or is working towards proficiency at the ninth-grade level, or to improve basic skills to a greater level and provide them with knowledge of career pathways that lead them to a training institute or to get and keep employment.*

ABE/Literacy Combined with Training - use when *the individual is participating in an integrated education program that combines workforce preparation/training for specific occupational skill and services to upgrade their basic skills.* This isn't used very often. As an example, if someone is attending college and at the same time, they go to adult education classes to upgrade their basic skills (at the same institution), this would be used.

High School Equivalency/High School Diploma – use when the *individual is receiving activities that will help them complete a high school equivalency program or high school diploma.*

Distance Learning – use when *the individual is receiving online training that leads to a certification, credential or degree.*

Combined Workforce Training & Related Instruction – use when *the individual is receiving combined workplace training with related instruction.*

Customized Training – use when *the individual is receiving training from an employer or group of employers that made a commitment to employ that individual upon successful completion of the training.*

Entrepreneurial Training – use when *the individual is receiving the basics for starting and operating a small business*

Occupational Skills Training – use when *the individual is participating in an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels.*

On the Job Training – use when *the individual is engaged in productive work in a job that provides knowledge or skills essential to the full and adequate performance of the job.*

Skills Upgrade & Retraining – use when *the individual is taking courses that help develop professional competencies relevant to a vocational/occupational goal.*

B. Recording Measurable Skills Gain (MSG)

To get credit for an MSG the skills gain must be entered in MIS.

The screenshot shows a software interface with a top navigation bar containing 'Training', 'Progress Notes', 'Authorizations', and 'Followup'. The 'Training' tab is active. On the left, there is a 'Program' list with 'Nail Technician/Specialist and Mar' highlighted. Below the list are 'Add' and 'Delete' buttons, and a checked checkbox for 'Show Completed'. The main area displays a 'Seeker Skills Gain Entry' window with 'Edit' and 'History' tabs. The 'Edit' tab is active, showing a 'Skill Type' dropdown menu, 'CLI_ID' and 'Date' text boxes, and a 'Name' text box. A 'Save' button with a floppy disk icon is located below the text boxes. A 'Close' button with a red X icon is in the bottom right corner of the window.

1. Open Skills Gain on the Training Tab;
2. Enter the Skills Type and save.

C. Recording Credentials

All credentials earned during participation or up to one-year post-exit must be recorded in MIS on the Follow-Up tab.

Maintaining a copy of each credential in the case file is mandatory. If using a letter from the school showing degree date, the client's name and actual graduation date must be contained in the letter. The date entered in MIS must match the date on the documentation obtained.

1. To get credit for the credential performance indicator, the "Credential Type and date attained must be recorded for the client in the Follow-up tab.
2. Here's how to complete the Follow-up Tab:

The screenshot shows a software interface with several tabs: Enrollment, Appropriateness, Employment Plan, Progress, Funding, Closures, Case Notes, Training, Progress Notes, Authorizations, and Followup. The Followup tab is selected. The interface contains the following fields and sections:

- Start:** 11/30/18
- Exit Dt:** 12/13/19
- Enrollment:** WIOA Adult - Local
- Exit reason:** (empty)
- Outcome:** Obtained Employment
- Followup Contact:** (empty)
- Date:** (empty)
- Employment Status:** (empty)
- Wage:** (empty)
- Follow-up Type:** (empty)
- Add:** (button)
- School Status at Exit:** (empty)
- Education Levels:**
 - Math: Pre (empty), Post (empty)
 - Reading: (empty), (empty)
 - Youth: (empty)
- Source of Suppl Data:** (empty)
- Staff:** (empty)
- Comment:** (empty)
- Pre-Program Labor Force:** Employed
- Basic Skills Deficient:** No
- Pre-Program Ed Status:** Not Attending School
- Out of School:** (checkbox, unchecked)
- Credential:**
 - Date Attained:** 11/15/19
 - Type:** Occupational License
 - Training Service:** Other Occupational Skills
- Youth Goals:**
 - Start: (empty)
 - End: (empty)
 - Service: (empty)
 - Outcome: (empty)

At the bottom right, there are three buttons: Skill Gain (with a plus sign), Save (with a floppy disk icon), and Cancel (with a red X icon).

Enter the date the credential was attained; and
Enter the credential Type.

Only one credential may be entered, if the client has received more than one credential enter the most recent.

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MIS WIOA HELP DESK

The WIOA Help Desk assists providers by backdating services and making corrections in MWorks as appropriate.

Specific program questions should be sent to the program manager and not to the WIOA Help Desk.

The WIOA Help Desk Can:

- Backdate services to match service date*
 - * Reminder - You do have the seven (7) working day data entry window. Whenever you are entering services and 7 working days have not passed, *you don't need to backdate.*
- Backdating of services needs to be reviewed by the WIOA Help Desk and Reporting manager prior to the backdate happening to ensure the PIRL reporting is not adversely affected.
- Make a case note for prior year adjustments.

The WIOA Help Desk Cannot:

- Modify payments from prior program year
- Backdate services or enrollments to prior program year
- Backdate the Supportive Service Assessment service to a prior quarter
- Backdate enrollments – this causes issues with reporting

For items listed above the WIOA Help Desk cannot make corrections, case managers should enter a clear case note describing what happened.

VENDORS

New Vendor

To set up new vendors for payment a State of Montana supplemental W-9 needs filled out, signed and dated. This document is located here: [Form WIOA 41 MT W-9](#). Send the completed document, indicating required objectives and services, to the following address:
DLIWSDW9INPUT@mt.gov.

Current Vendor

Current vendors do not require a new State of Montana Supplemental W-9 provided their information is current and up-to-date. Verify vendor information in the database, if there are any changes a new W-9 may be needed.

Requests to add vendors for payments should be sent to the W-9 group at DLIWSDW9INPUT@mt.gov and **not** to the WIOA Help Desk.

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