



INDIANA  
**WORKFORCE**  
DEVELOPMENT  
AND ITS **WorkOne** CENTERS

**TO:** Indiana's Workforce Investment System

**FROM:** Jaclyn P. Dowd   
Deputy Commissioner for Policy, Education and Training

**DATE:** August 17, 2012

**SUBJECT:** DWD Policy 2010-13, **Change 1**  
WorkOne Customer Flow

**Purpose**

The highest value of the Indiana Department of Workforce Development (DWD) is to ensure that customers served by a WorkOne receive assistance commensurate with their individual needs, delivered by professional staff, resulting in satisfaction that supersedes their expectations, and acknowledging that self-sufficient employment is the foundational goal.

DWD recognizes that such an approach places a premium on direct interaction with well-qualified workforce professionals. The customer flow policy ensures that customers who are identified, or who self-attest, as needing more focused assistance will have access to in-depth services, including academic and career counseling, to aid them in attaining employment. To ensure good stewardship of limited financial resources, this policy emphasizes need-based differentiation in serving clients, endowing workforce professionals with the capability and duty to determine the best and most appropriate level of service for each customer. Consequently, this policy reduces staff time required for customer enrollment into WIA intensive services, thus freeing valuable time for expanded and more widespread direct interaction with customers.

**Rescissions**

- DWD Policy 2007-20 entitled, "Regional Integration Policy" and issued November 15, 2007
- DWD Policy 2007-11 entitled, "Assessment and Case Management Processes Policy" and issued August 22, 2007
- DWD Communication 1998-62 entitled, "Use of Individual Training Accounts (ITAs) for Workforce Investment Act Training Funds and Coordination of ITAs with Other Grant Assistance" and issued May 17, 1999
- Technical Assistance Bulletin 2007-11 entitled, "Clarification of the Co-Enrollment Process and Initial Service Planning" and issued March 31, 2008
- Technical Assistance Bulletin 2007-07 entitled, "Individual Employment Plans" and issued January 23, 2008

## **Content**

The new customer flow assumes two basic customer tracks, with the intent that both tracks assist customers in finding employment:

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

An individual on either customer track is eligible to receive both Workforce Investment Act Core and some Workforce Investment Act Intensive services. However, many individuals may require only Core services. Individuals who qualify for Intensive services and are on the reemployment track receive case management and develop an Academic and Career Plan (ACP). Individuals who qualify for Intensive services and are on the education track will receive both **case management and academic and career counseling** including the development of an Academic and Career Plan and guidance on entering appropriate training or education.

**Expiration Date:** Until rescinded

## **Ownership**

Marie Mackintosh

Director of Educational and Training Programs

Indiana Department of Workforce Development

10 North Senate Avenue

Indianapolis, IN 46204

[MMackintosh@dwd.IN.gov](mailto:MMackintosh@dwd.IN.gov)

## **Action**

Workforce Investment Boards and Regional Workforce Boards are expected to attain full compliance with this policy. Boards should notify the Indiana Department of Workforce Development when they have reached full compliance and schedule a time to be monitored.

The details of this policy are contained in Attachments A through G as follows:

Attachment A – Customer Flow

Section 1 – Integrated Customer Pool

Section 2 – Unemployment Insurance

Section 3 – Customer Flow

Attachment B – Core Services

Section 1 – Initial Intake

Section 2 – Orientation and Informational Handouts

Section 3 – Informational Workshops and Other Core Services

Attachment C – Intensive Services

**Section 1 – Informational Interview**

Section 2 – Case Management

Section 3 – Academic and Career Plans

Section 4 – Assessments

Section 5 – Adult Education

Section 6 – Other Intensive Services, Check-ins during Participation and Case Closures

**Section 7 – Trade Adjustment Assistance and the Academic and Career Plan**

Attachment D – Academic and Career Counselors

Section 1 – Academic and Career Counselors

Attachment E – Occupational Skills Training

Section 1 – Individual Training Accounts

Section 2 – On-the-Job Training

**Section 3 – Prior Learning Assessments**

**Attachment F – Post Exit Follow-Up**

Attachment **G** – Interim Implementation Guidance

## **Attachment A Customer Flow**

### **Section 1 Integrated Customer Pool**

The Indiana Department of Workforce Development will continue to require Workforce Investment Boards and Regional Workforce Boards to provide integrated service delivery, which essentially allows staff members funded by different funding streams to serve customers in the most effective and efficient manner possible. Customers shall be co-enrolled in all funding streams for which they are both eligible and receive services. This includes co-enrollment (when eligibility permits) in the following programs: Wagner-Peyser, Workforce Investment Act (WIA) Adult, WIA Dislocated Worker, Trade Act, VETS, and some WIA Youth.

The Department of Workforce Development expects that:

- Most WorkOne customers enrolled in Wagner-Peyser will also receive services and be enrolled in the WIA Adult program;
- All Trade Act customers will also receive services from and be enrolled in the WIA Dislocated Worker Program and the Wagner-Peyser program;
- All WorkOne customers who are veterans will receive priority of service;
- All customers co-enrolled will be used to calculate performance for each individual program as appropriate, based upon the level of services provided (Core service only recipients are generally not included in program performance calculations);
- Youth over the age of 18 should be co-enrolled as adults if they will benefit from the additional services;
- All WorkOne customers will be enrolled and registered (at a minimum) in either WIA Youth, WIA Adult or the Wagner-Peyser program, as appropriate;

The *intent* of co-enrollment is to allow the customer to be served in the best manner possible and with whatever staff is available to provide the service. Thus, well-trained WIA and Wagner-Peyser staff will provide Core and Intensive services as necessary and appropriate. The focus should be on providing customers with the best service rather than on which funding stream is supporting the service. As part of the integrated service delivery model, both Wagner-Peyser and WIA staff should provide both Core and Intensive level services, at a minimum. To achieve this purpose, staff will be well-trained for the level of service and demonstrated capacity they can provide.

**Attachment A**  
**Customer Flow**

**Section 2**  
**Unemployment Insurance**

WorkOne centers should ensure that customers are provided with unemployment insurance services. These services should include access to computers for self-registration, answering of questions and other “over-the-shoulder” help, assistance with issue resolution as appropriate, and other services as defined by DWD.

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

## **Attachment A Customer Flow**

### **Section 3 Customer Flow**

All customers shall have access to and be encouraged to utilize Core services. **Whenever possible, customers who enter a WorkOne to receive assistance with their unemployment insurance claim should be encouraged, but not required to take advantage of other services at the WorkOne.** Certain demographic information collected during initial intake such as education level and length of unemployment may indicate that a customer could benefit from more individualized attention. Such customers should be encouraged to speak to a **staff member about additional services such as case management** as soon as possible. In addition, any customer who requests additional, individualized services should have the opportunity to speak to a **staff member about receiving case management and other services.**

Additionally, customers who self-identify or are listed in the case management database as certified Trade Adjustment Assistance (TAA) participants should speak to a case manager. **For any Reemployment and Eligibility Assessment (REA), Worker Profiling and Reemployment Services (WPRS), or Extended Unemployment Compensation Reemployment and Eligibility Assessment (EUCREA) participant, staff should follow the respective DWD program guidelines and requirements.**

In order to assist customers in understanding the service options available to them when they first arrive at a WorkOne, the subsequent guidelines shall be followed:

#### *Education Level*

- Ask the customer's formal education level based on the highest grade completed, if it is not otherwise indicated.
- Recommendations should be made to the customer based on his/her education level:
  - If the customer has less than a high school diploma (HSD) or GED:
    - An opportunity to meet with a case manager should be encouraged immediately. If a team member is not immediately available, the customer should have the opportunity to schedule an appointment. If an appointment must be scheduled, the customer could be encouraged to take advantage of other Core services in the meantime.
    - Having less than a HSD/GED *does not mean* that the individual should be *required* to speak to a case manager or receive further training or remediation.
    - *It does mean* that the customer should be encouraged to meet with a case manager to determine eligibility and need for additional services.
    - The customer must be *offered* an informational handout on WorkOne services, but should not be required to take it.
  - If the customer has a HSD/GED or more, let him/her know what Core services are immediately available. At a minimum,

- Having a HSD/GED or more *does not mean* that a customer should not receive Intensive services.
- It *does mean* that a customer should be encouraged to utilize Core services first to see if those services are sufficient for finding employment.
- The customer must be *offered* an informational handout on WorkOne services but should not be required to take it.

#### *Length of unemployment*

- Ask the customer how long s/he has been unemployed.
  - During periods of high unemployment<sup>1</sup> (6.5% or greater within a region):  
If the customer has been unemployed longer than 16 weeks (4 months), staff should encourage the customer to meet with a case manager immediately. If a case manager is not immediately available, the customer should have the opportunity to schedule an appointment. If an appointment must be scheduled, the customer should be encouraged to take advantage of other Core services.
  - During periods of lower unemployment (6.4% or less within a region):  
If the customer has been unemployed for longer than 12 weeks (3 months), staff should encourage the customer to meet with a case manager immediately. If a case manager is not immediately available, the customer should have the opportunity to schedule an appointment. If an appointment must be scheduled, the customer should be encouraged to take advantage of other Core services.
  - During periods of extended high unemployment (unemployment greater than 6.5% for 6 months or longer within a region) or when federal extended benefits are in effect:  
If the customer has been unemployed for longer than 26 weeks (6 months), staff should encourage the customer to meet with a case manager immediately. If a case manager is not immediately available, the customer should have the opportunity to schedule an appointment. If an appointment must be scheduled, the customer should be encouraged to take advantage of other Core services.
  - Local unemployment data can be found at: <http://www.hoosierdata.in.gov>.

---

<sup>1</sup> The United States Department of Labor in the Region 5 ETA Workforce Development Letter 015-05 defines areas of substantial unemployment as “a contiguous area with a current population of at least 10,000 and an average unemployment rate of at least 6.5 percent for the 12-month reference period.”

## **Attachment B Core Services**

### **Section 1 Initial Intake**

The goal of the initial intake process is to collect customers' basic demographic information and to help them understand the options and services available to them. It should not be a cumbersome process, but rather one that aids customers in gaining quick access to services while collecting required information.

DWD anticipates that the "Welcome Team" will perform the initial intake and verification of demographic information as well as provide other Core services. Staffing requirements may necessitate adjustments, including members of other WorkOne teams providing Core services, particularly workshops. Consequently, Workforce Investment Boards and Regional Workforce Boards have the discretion to make adjustments to their staffing levels and teams as they deem necessary and appropriate.

When implementing the initial intake process, the subsequent guidance should be followed:

- As much as possible, customers should be encouraged to enter their own information into the case management system.
  - Staff should be available to assist customers with entering their information.
  - If a customer appears to require significant help, staff should encourage him/her to speak with a case manager for additional services.
  - If the customer has already registered for the labor exchange (job matching) system, his/her information should already be in the case management database and should quickly be reviewed by staff for accuracy.
- Staff should verify that a customer's information is in the case management database and is correct. This should take minimal time.
- Staff should encourage customers to take advantage of the WorkOne office's services as appropriate to their needs as outlined in Attachment A.
  - Staff should be trained to quickly determine what level of services a customer might need.
  - A formal initial assessment or test should *not* be used.
  - Staff should learn to use customers' demographic information to make appropriate recommendations to customers as indicated in Attachment A.
  - WorkOne Core service staff should receive training and/or professional development to enable them to identify customers who might benefit from more individualized attention. One-stop-operators are responsible for providing training to WorkOne Core service staff on an on-going basis to ensure currency of knowledge.

## **Attachment B Core Services**

### **Section 2 Orientation and Informational Handouts**

All customers should have the opportunity to learn what services are offered at the WorkOne and how to access those services. For this purpose, DWD requires that all WorkOne offices offer both an orientation session and informational handouts.

#### *Orientation*

- All full-service WorkOne Centers must *offer* an orientation workshop that includes information on all services available to customers *a minimum* of once a week.
  - Orientation workshops should be *informational* in nature and should be considered an informational Core service for reporting and tracking purposes.
  - Customers *should be* encouraged to attend an orientation workshop, but *should not* be required to attend.
  - All customers, regardless of education level, should have the opportunity to attend an orientation workshop.
  - DWD will provide minimum requirements for what WorkOne offices must cover in the orientation workshop.

#### *Informational Handout*

- All WorkOne Centers and Express offices should provide an informational handout about WorkOne services that includes information on workshops, services, and other programs available through WorkOne offices.
  - Handouts should delineate services/workshops offered at that location and at other locations.
  - All customers, regardless of education level, should be *offered* an information handout, but *should not* be required to take one.
  - Customers should be able to take an informational handout regardless of whether they take advantage of any other services.

## **Attachment B Core Services**

### **Section 3 Informational Workshops and Other Core Services**

*Informational* workshops should be offered on a number of topics that include resume writing, interview skills, discovering career interests, job search, digital literacy, financial literacy, and work readiness. The information provided in these workshops should be informational in nature and readily available to customers, but repackaged in a workshop format for ease of understanding and access. In addition to the information workshops, the use of WorkOne computers, resource rooms, and other resources are considered self-service Core services.

#### *Additional Guidance on Workshops*

- Workshops should be informational in nature and designed to educate and inform participants.
- Answering participants' questions in a Core workshop is considered a Core service that falls under "informational Core."
  - For example, a resume workshop that provides examples and tips, and assists customers in developing their resumes on a group basis is considered an informational Core service.
- DWD will provide minimum requirements for what WorkOne offices must include in their Core workshop offerings, as well as learning outcomes for each of the required workshops.
- Workforce Investment Boards and Regional Workforce Boards will be required to submit their workshop curricula as part of their local plans.

#### *Other Core Services*

- MindLeaders – Customers who indicate that they would like to improve their skills and who have adequate computer literacy should be provided a license to MindLeaders.
  - Customers who are issued a MindLeaders license should be encouraged to attend the MindLeaders workshop to learn how to utilize MindLeaders to their full advantage.
  - MindLeaders is considered a self-service/informational Core.
- Indiana Career Explorer – Customers who indicate that they would like to explore their career interests should be encouraged to utilize Indiana Career Explorer (ICE).
  - ICE is considered a self-service Core since customers can access the assessments on their own from any location. If a customer requires or requests significant interpretation of their results s/he should be encouraged to speak to a case manager.
  - Customers who would like to use ICE should also be encouraged to attend a career exploration workshop when possible, but should not be required to do so.
  - ICE is explained in greater detail in Attachment C, Section 3, Assessments.

*Other Core Services:* (continued)

- WorkKeys - For customers who are applying to an employer who utilizes WorkKeys and need to take an assessment for job matching purposes, it can be considered a *Core informational service*. This is the *exception*, not the norm.
  - A WorkKeys employer may be an employer that has had a position profiled or that requires the National Career Readiness Certificate (NCRC) in order to apply.
  - Customers should take the assessment in the combination identified for a particular occupational profile at a WorkKeys participating employer.
  - WorkKeys should be administered as indicated in Attachment C, Section 3.
    - The Worldwide Interactive Network (WIN) locator does not have to be used in this instance.
  - Customers whose scores indicate that additional education or remediation might be beneficial should be encouraged to seek additional individualized services.
  - No customer should be required to take the WorkKeys assessment as a condition for service.

## **Attachment C** **Intensive Services**

### **Section 1** **Informational Interview**

Any customer who is in need of or indicates a desire to receive more individualized services should have the opportunity to meet on an individual basis with a WorkOne staff member. Staff should conduct an informational interview to assess the customer's general needs and intentions in order to recommend appropriate next steps.

#### *Additional Guidance on Informational Interviews:*

- An informational interview is a staff-assisted core service, which triggers inclusion into WIA performance metrics in the same manner that intensive services do.
- An informational interview does not mean that a customer must receive intensive services.
- As much as possible, an informational interview should be conversational in nature and it should cover the following information, at a minimum:
  - Barriers to employment
  - Basic goals
  - A brief educational background
  - A brief work history
  - Career interests
  - Employment goals – both short-term and long-term

#### *Identifying Next Steps:*

- Depending on the customer's intentions and needs identified during the informational interview the staff member should recommend appropriate next steps, including the need for intensive level services.
- Customers will fall into one of two tracks: Job-to-Job Track or Job-to-Training-to-Job Track
  - Job-to-Job Track – Customers who do not need to, or are not interested in, pursuing additional training in order to gain employment.
    - Staff may recommend any combination of the following: in-depth workshops, job clubs, supportive service referrals, use and interpretation of Indiana Career Explorer (ICE) or WorkKeys, development of an Academic and Career Plan (ACP).
  - Job-to-Training-to-Job Track – Customers who require additional education and/or occupational training in order to secure employment.
    - Staff should recommend the following: in-depth workshops; use and interpretation of TABE and ICE; development of an ACP; academic and career counseling.

## **Attachment C Intensive Services**

### **Section 2 Case Management**

Customers who need further assistance with workforce development services should be given the opportunity to meet with a staff member to determine their eligibility for and the benefit of receiving additional services. The staff member should conduct an informational interview during which both eligibility for further services as well as the customer's needs, goals and barriers are assessed and determined. Additionally, the staff member, together with the customer, should start developing an Academic and Career Plan (ACP), which details the steps the customer should take to gain employment. The staff member serves as coauthor of the customer's plan, as well as consultant, mentor, referral agent and in many cases, as the facilitator of basic supportive services necessary for success. As much as possible, **customers should receive case management services from the same staff member** until they exit the system so that they can build a working relationship.

The following section provides more specific guidelines on **provision of case management services** and scheduling appointments.

#### *Case Management*

- **Staff members who provide case management** are expected to:
  - Develop on-going relationships with their customers and act as a resource.
  - Develop a relationship with Adult Education customers' instructors where appropriate and possible.
  - Help customers understand and act on their Academic and Career Plan, making adjustments as necessary.
  - Perform regular check-ins as outlined in Attachment C, Section 5 of this policy.
- As much as possible, customers should be able to see the same staff member for check-ins and return visits/appointments until the customer finds employment or otherwise exits the system.

#### *Scheduling Appointments*

- As much as possible, a customer should see a staff member who provides case management services immediately.
  - Appointments can and should be made if necessary.
  - If an appointment must be made, every effort should be made to make the appointment for as soon as possible.

## **Attachment C Intensive Services**

### **Section 3 Academic and Career Plans**

The Academic and Career Plan (ACP) replaces the Individual Employment Plan (IEP). Every customer who enters Intensive services shall have an ACP, which shall be jointly developed by the customer **and the staff member providing case management and counseling services**. The ACP is meant to be a guide for the customer and staff outlining the necessary and recommended steps that enable the customer to secure and retain employment. It is an evolving strategy that shall identify the customer's employment goals, the appropriate achievement objectives, and the appropriate combination of services for the customer to achieve the employment goals. The ACP shall provide clear action steps that the customer can take to achieve his/her employment goal. As a "living document" it should be adjusted as the customer, case manager and ACC deem necessary.

When implementing Academic and Career Plans, the subsequent guidance shall be followed:

- The ACP shall be jointly developed with the customer, meaning the customer's input shall be taken into account and the customer shall have full knowledge of its contents.
- The customer must "sign off" on the ACP before it is considered complete.
  - A notation in the case note that the customer is fully aware of the ACP and that it was developed with the customer suffices for a "signature."
  - The customer must receive a copy, signed by both the **staff member who developed it** and customer.
- The ACP is a "living document" that can be added to or adjusted as necessary and appropriate.
- The ACP shall have clear, actionable steps for the customer to follow.
- The ACP shall indicate how frequently check-ins shall occur. Further guidelines on check-ins are provided in Attachment C, Section 5.
- The ACP shall follow the format to be designated by DWD.
- The ACP for Trade Adjustment Assistance (TAA) customers shall follow the format designated by **the Dislocated Worker Unit (DWU)**. (See Attachment C: Section 7)
- The end goal of all ACPs should be entering employment.

## **Attachment C Intensive Services**

### **Section 4 Assessments**

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

#### **TABE as the Ability to Benefit Assessment**

- In most instances, TABE versions 9 – 10 should be given prior to customers enrolling in occupational skills training or Adult Education.
- Customers who intend to enter a post-secondary institution that requires an entrance/placement exam should not be referred to the institution until their scores on TABE are high enough to indicate reasonable success in entering post-secondary credit bearing courses.
  - In most cases, a customer's score should be 11-12.9 before such a referral; however, **staff member providing academic and career counseling** should be allowed the discretion to decide whether an individual is ready to sit for an entrance or placement exam.
  - If the customer takes an entrance or placement exam and does not score high enough **to enter non-developmental or non-remedial courses** the individual should be referred to an Adult Education provider for remediation.
- Ability to benefit scores on the TABE should be determined **by a staff member providing counseling** for pre-post-secondary study, such as **GED+**, Certified Nurse Aide (CNA), or Commercial Drivers Licenses (CDL) programs.
  - If an individual has already taken WorkKeys, **a WorkOne staff member** could also utilize an individual's WorkKeys scores to determine if an individual is prepared to enter occupational training. The individual should not be required to take WorkKeys in lieu of taking TABE as the ability to benefit test.
  - For instance, if a customer wishes to enter training to become a bookkeeper s/he must have received minimum WorkKeys scores for applied math, locating information, and reading for information of 4, 4, 4, respectively. Minimum WorkKeys scores for occupations can be found at: <http://www.act.org/workkeys/occuprof/>.

#### *Exceptions to Using Tests of Adult Basic Education (TABE)*

- A. Customers who have:
  1. **taken the entrance or placement exam for the post-secondary institution that they intend to attend and passed with scores sufficient to enter non-developmental or non-remedial courses in their chosen area of study; and**
  2. **provided such documentation do not have to take the TABE.**
- B. Customers who have not passed with sufficient scores should be referred to Adult Education after taking the appropriate sections of the TABE as described below.

*Exceptions to Using Tests of Adult Basic Education (TABE) (continued)*

1. Customers who have a high school diploma or GED may present their transcript and **a staff member** may determine that the customer does not need to take the TABE based on their grades.
2. Customers who already have college credit and who intend to return to the same post-secondary institution may present their transcripts to **a staff member** who may determine that the customer does not need to take the TABE.
3. Customers who are entering WIA On-the-Job Training do not need to be TABE tested.
4. If the WorkOne is working with an employer for on-site incumbent worker training, employees are not required to take the TABE.
5. **Customers who either have successfully earned their GED certificate or who have assessed at an Adult Education program with a TABE score sufficient to enter an occupational training program should not be required to retake the TABE assessment.**

*TABE Administration*

**Starting July 1, 2012, each DWD designated Economic Growth Region (EGR) may choose to administer either the TABE Survey or the Complete Battery assessment. This decision must be made in conjunction with the Adult Education programs that are a part of their consortium.**

- A TABE Locator must be administered prior to administering the TABE **Survey or Complete Battery assessments.**
- Based on the results of the Locator, the customer must be assessed with the appropriate level of TABE (Easy [E], Medium [M], Difficult [D], or Advanced [A]).
- A TABE Locator and the appropriate **assessments in the areas of Math Computation, Applied Math, Reading and Language** must be administered following test-publisher guidelines.
- WorkOne staff who administers TABE must have successfully completed training on its use.
  - Training must be provided by those who have been certified by the test publisher or who have received advanced training on the assessment instrument.
  - TABE should be provided online **if at all possible**, although a paper/pencil version is available.

*Audience for TABE*

- Any customer who is interested in pursuing Adult Education or occupational skills training must take the TABE Locator and **the appropriate sections of the Survey or the Complete Battery assessment.**
  - For customers who intend to enter Adult Education, all testing sites should use the appropriate **level of the Math, Reading and Language** sections based on the customer's Locator.
  - For customers who intend to enter occupational skills training, **all testing sites should use the appropriate level of the Math, Reading and Language sections based on the customer's Locator.**

- Customers should be assessed in Reading, **Language** and Math (both applied math and math computation).

#### *Interpretation of TABE*

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

#### **Indiana Career Explorer (ICE)**

Indiana Career Explorer is available for use by all Indiana residents 11 years old and older. It provides three assessments on career interests, skills, and values. Some customers may choose to use the tool as a way to explore their career interests and opportunities as part of self-service Core. Additionally, Core workshops on career exploration may explain and utilize ICE and even demonstrate how customers should understand the tool. Customers who require the results to be explained and interpreted for them extensively should be **provided with the opportunity to speak to a staff member who is trained appropriately**. All customers who wish to enter training must take all three components of ICE **and have them included in an Academic and Career Plan** prior to **receiving counseling and interpretation**.

#### *Administration of ICE*

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

#### *Audience for ICE*

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

#### *Interpretation of ICE*

- Although it is not required by the test publisher that the staff be trained to interpret the assessments, training will be provided through the DWD and is strongly encouraged.
- It is not necessary for a staff member to interpret the assessments, but trained staff should provide guidance when necessary or requested.

- Any outcomes and guidance that result from ICE should be included in a customer's Academic Career Plan, when available.

### **WorkKeys**

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

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

Appropriate use of WorkKeys at the Core level includes:

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

Appropriate use of WorkKeys at the Intensive level includes:

- Use as the Core Career Readiness assessments of Reading for Information, Applied Mathematics, and Locating Information (which may lead to a national career readiness certificate).
- Interpretation and recommendations based on scores.

### *Administration of WorkKeys*

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

- The Designated Entity form for the agency or supervisor of the third party assessor/administrator
- Requirements for Administrator of WorkKeys assessments form for DWD assessors/administrators
- WorkKeys assessments should be provided online preferably, although a paper/pencil version is available.

#### *Audience for WorkKeys*

Any Intensive-level customer who wishes to know or to prove his/her work readiness skills.

#### *Interpretation of WorkKeys*

- WorkKeys Score Reports identify the skill level(s) achieved and provide descriptive information of the abilities of the level scored. The meaning of the score and how it can be used should be explained to customers.
- If the score indicates that a customer might benefit from further assistance, appropriate guidance should be provided and the Academic and Career Plan should be amended as necessary.

#### **Additional Assessments**

A Workforce Investment Board or Regional Workforce Board may choose to augment the assessments procured by the DWD. If so, these subsequent guidelines shall be followed:

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

## **Attachment C Intensive Services**

### **Section 5 Adult Education**

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

#### *Referrals*

- Customers should take the TABE Locator and the appropriate **TABE assessments** prior to enrolling in Adult Education, as described in Attachment C, Section 3.
- When a customer self-discloses or is determined to need Adult Education services, a referral to an Adult Education provider should be made.
- TABE results should be recorded in the case management system.
- Referrals to Adult Education providers will involve dual enrollment into the Adult Education system and WorkOne case management system.
- These customers may or may not be eligible for Department of Workforce Development Adult Basic Education (ABE) vouchers, depending on current voucher requirements. **Either way**, they should be served in the same manner. Service to the customer should be consistent, including referrals and 45-day check-ins, even if no vouchers are available.
- **WorkOne centers should share customer information and TABE scores with Adult Education providers. Customers should sign a waiver allowing WorkOne to share their information with the Adult Education providers.**
- Customers in Adult Education must receive a check-in a *minimum* of every 45 days.
- **At a minimum, ABE vouchers should be issued for Adult Education customers who score at or above a 4<sup>th</sup> grade level. Customers who are in need of Adult Education services and who score at or above a 4<sup>th</sup> grade level on TABE should be referred to an Adult Education provider.**
  - Clients who score below a 4<sup>th</sup> grade attainment level should be referred to an appropriate literacy service provider, where available.

#### *Academic and Career Counseling*

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

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

**Attachment C**  
**Intensive Services**  
**Section 6**

**Other Intensive Services, Check-Ins during Participation and Case Closures**

**Other Intensive Services**

- All WorkOne offices shall offer Intensive-level services including: formal assessments, job clubs, Adult Education referrals, and case management.
- In order to receive Intensive services, a customer must have an Academic and Career Plan.

**Check-ins during Participation**

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

- WorkOne staff is required to “check-in” with all customers in Intensive services.
  - As much as possible, **staff** shall check-in with **the customers to whom they provided regular case management.**
- Check-ins are defined as reciprocal communication between the WorkOne staff member and customer that identifies how a customer is progressing and offers or recommends additional services as necessary.
- Check-ins can occur via phone, e-mail, or in person.
- Check-ins are not a reportable service, but should be recorded for case management purposes.
- Additional services should be offered or recommended either over the phone or in-person, as needed.
- Any service provided over the phone must be documented in a case note.
- For customers with an Academic and Career Plan who are not enrolled in occupational skills training or Adult Education, check-ins should occur within 60 days of the last service received.
- For customers in Adult Education or occupational skills training, check-ins should occur a minimum of every 45 days.

**Case Closures**

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

- In most cases, a customer’s file should be closed because s/he has entered employment.
  - In some instances a customer may opt out of continuing services and case management, at which point the customer’s file should be closed.
- Customers should be notified that their cases are being closed and for what reason.
- A case note should be made indicating the formal closure of the customer’s file and for what reason.
- In the rare instance when a case file needs to be reopened, a **WorkOne staff member** should indicate the date and reason for reopening the case in the case notes.
  - Customers should be notified when their cases are reopened and why.

## **Attachment C Intensive Services**

### **Section 7 Trade Adjustment Assistance and the Academic and Career Plan**

The DWU has designated that the Individual Service Strategy/Individual Employment Plan (ISS/IEP) feature of the case management system, TrackOne, as the required ACP format for all Trade Adjustment Assistance (TAA) eligible customers. The use of the TrackOne ISS/IEP will replace all other ACP formats that are currently in use by TAA staff when working with their TAA customers. This ensures state-wide data entry consistency and supports federal reporting integrity within the TAA program.

Although TAA case managers will be utilizing the ISS/IEP format of the ACP with their TAA customers, most of the ACP requirements will remain the same:

Every customer who enters Intensive services shall have an ACP, which shall be jointly developed by the customer and the staff member providing case management and counseling services. The ACP is meant to be a guide for the customer and staff outlining the necessary and recommended steps that enable the customer to secure and retain employment. It is an evolving strategy that shall identify the customer's employment goals, the appropriate achievement objectives, and the appropriate combination of services for the customer to achieve the employment goals. The ACP shall provide clear action steps that the customer can take to achieve his/her employment goal. As a "living document" it should be adjusted as the customer, case manager and ACC deem necessary.

When implementing Academic and Career Plans with TAA customers, the subsequent guidance shall be followed:

- The ACP must be jointly developed with the customer within **60 days** of the TAA customer receiving their **first** TAA intensive Service.
- The customer must "sign off" on the ACP before it is considered complete.
  - A notation in the case note that the customer is fully aware of the ACP and that it was developed with the customer suffices for a "signature."
  - The customer must receive a copy, signed by both the staff member who developed it and customer.
- The ACP is a "living document" that can be added to or adjusted as necessary and appropriate.
- The ACP shall have clear, actionable steps for the customer to follow.
- The end goal of all TAA ACPs will be entering employment.

**Attachment D**  
**Academic and Career Counseling**

**Section 1**  
**Academic and Career Counseling**

**WorkOne staff shall provide academic and career counseling (counseling) to all customers who intend to enter occupational skills training, including but not limited to customers enrolled in WIA, TAA, and Adult Education who are entering a career pathway or occupational training. Counseling should include the interpretation of assessments results and the completion and approval of the Academic and Career Plan for customers who are entering occupational skills training.**

*Academic and Career Counseling*

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

*Steps Customers Must Take Prior to **Receiving Counseling***

- Prior to **receiving counseling**, customers must have taken the TABE Locator and the appropriate sections of TABE, as indicated in Section 3 of Attachment C of this policy. Exceptions can be made for the following cases:
  - Customers who have: (1) **taken the entrance or placement exam for the post-secondary institution that they intend to attend and passed with scores sufficient to enter non-developmental or remedial courses in their chosen area of study;** (2) and provided such documentation do not have to take the TABE. Customers who have not passed with sufficient scores should be referred to Adult Education after taking the appropriate sections of the TABE as described in Attachment C, Section 3.
  - Customers who have a high school diploma or GED may present their transcript and the Academic and Career Counselor may determine that the customer does not need to take the TABE.
  - Customers who already have college credit and who intend to return to the same post-secondary institution may present their transcripts to a staff member who may determine that the customer does not need to take the TABE.
  - **Customers who either have successfully earned their GED certificate or who have assessed at an Adult Education program with a TABE score sufficient to enter an occupational training program should not be required to retake the TABE assessment.**

*Steps Customers Must Take Prior to Receiving Counseling (continued)*

- Prior to **receiving counseling**, customers must have taken all three components of Indiana Career Explorer.
  - **Staff who are providing counseling should** be afforded the flexibility to help a customer determine appropriate occupational training even if the results from ICE do not align accordingly.
- Customers who intend to enter on-the-job training are not required to take the TABE or ICE.

*Academic and Career Counseling Responsibilities*

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

## **Attachment E** **Occupational Skills Training**

### **Section 1** **Individual Training Accounts**

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

In addition, DWD has provided a number of guidelines that must be followed:

- DWD **Policy 2010-22 Workforce Investment Act Participant** Drug Screening must be followed.
- All recipients of an ITA submit a FAFSA form and utilize any Pell Grants received *prior* to utilizing an ITA.
- Priority of funding should be considered if ITA dollars are routinely completely obligated early in the Program Year and should be established by each Workforce Investment Board and Regional Workforce Board.
- **If it is being used for a post-secondary institution's credit-bearing courses, an ITA may only be used for non-developmental courses.**
  - **An ITA should not be used to pay for remedial or developmental courses at a post-secondary institution.**
  - **Customers who must take remedial or developmental courses prior to entering a post-secondary institution should be referred to Adult Education for remediation.**
- Maximum ITA *tuition* amounts for one year should not exceed \$4,500. Tuition includes the cost of all credit hours and other associated fees.
  - Exceptions to this maximum should be infrequent. Exceptions must be approved by the designee of the Workforce Investment Board or Regional Workforce Board. The reasoning and the exception should be noted in the customer's case notes.
  - The cost of books is considered a supportive service, unless the training provider includes all costs under a flat rate.
- Supportive service funding in addition to tuition is acceptable.
  - Supportive service funding maximums and policies should be outlined in the local ITA policy.
- Customers should never be required to apply for or access student loans or incur personal debt as a condition of participation. WorkOne staff should ensure customers understand the debt load they would take on by pursuing certain degrees at eligible training providers, and in all instances, customers should be encouraged to choose the training program that provides quality training at the lowest cost to the customer. If a participant chooses to incur student loans or personal debt, it should only be after counseling and such counseling must be indicated in the customer's case notes.

*Individual Training Accounts (continued)*

- In-Demand occupations should be defined at the local level to guide decisions on which occupations should be pursued by customers.
  - The In-Demand occupation list should be updated at least annually by Workforce Investment Boards and Regional Workforce Boards using not only “lag” information from the Indiana Department of Workforce Development’s Research and Analysis, but also “leading” information from their local economic development team and from WorkOne recruitment/business services representatives.

**Attachment E**  
**Occupational Skills Training**

**Section 2**  
**On-the-Job Training**

- On-the-job training (OJT) is considered occupational skills training.
- DWD Policy 2009-07, On-the-Job Training Guidelines, should be followed when arranging for a customer to participate in OJT.
- Customers who intend to enter OJT must **first receive counseling**.
  - A customer who wishes to enter OJT is not required to take TABE or ICE.
- WorkOne staff has the discretion to ask a customer to take a formal assessment to ascertain if OJT would be beneficial.

**Attachment E**  
**Occupational Skills Training**

**Section 3**  
**Prior Learning Assessments**

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

- Prior to pursuing credits through PLA, a customer should:
  - Take ICE
  - Take TABE, if relevant to determine if remediation is necessary
  - Receive academic and career counseling
- WIA funds may be used to pay for PLA as indicated in DWD Policy 2011-14.

## **Attachment F**

### **Post-Exit Follow-Up**

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

- WorkOne staff must follow-up with each customer who has an Academic and Career Plan after they exit the system or when their case files have been closed.
- Follow-up should occur a minimum of once every quarter after exit for the year following exit.
- Follow-ups are defined as reciprocal communication between the WorkOne staff member and customer that identifies how a customer is progressing.
  - Additional services should be offered or recommended as appropriate.
  - A follow-up call or e-mail is not a recordable service and should not be counted as one.
  - Examples of such services may include: career planning; peer support groups; support service referral, etc.
  - Such services are provided to ensure the participant is able to retain employment, realize wage increases, and progress in his/her career.
- As much as possible, the customer should be contacted by the WorkOne staff member who provided case management services.
- Certain information as designated by DWD should be collected from the customer during the follow-up.

## **Attachment G**

### **Interim Implementation Guidance**

The following is interim guidance for use prior to full implementation of this Customer Flow Policy.

- For Adult Education customer TABE scores:
  - WorkOne offices who administer the TABE and receive the results must share this information with the Adult Education provider.
- For Intensive-level customers who were enrolled prior to the implementation of this policy, previous policies should be followed.
  - Individual Employment Plans (IEPs) are not required.
  - Case management and check-ins are not required, but are recommended.
- For customers in training who were enrolled prior to the implementation of this policy, check-ins should occur as stated in this policy.
  - All customers in training should have IEPs.
  - Customers who already have an IEP developed should continue with that plan.
  - Customers who do not have a plan developed should utilize the Academic and Career Plan when available.
- For all new customers after the implementation of this policy, all aspects of this policy should be followed.