



## Arkansas Workforce Center at Little Rock

### LRWDB Program Directive

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**LITTLE ROCK WORKFORCE DEVELOPMENT BOARD**

5401 South University Ave, Ste 146, Little Rock, AR 72209

Tel: 501-682-0228/ TDD: (800) 250-6691

Directive Number	SUBJECT
<b>POL 2019 Adult Services</b>	Statement of Service for Adults
Date of Issuance/Impact	POLICY IMPACT
<b>June 10, 2019</b>	<b>One Stop Career Center Operator</b>
Effective Date	Revision Date
<b>Immediately</b>	

## **PURPOSE**

The purpose of this policy is to describe and define the Little Rock Workforce Development Board's eligibility requirements and services for adults in accordance with the Workforce Innovation and Opportunity Act of 2014 (WIOA), the WIOA Final Rule, and Training and Employment Guidance Letters (TEGLs) published by the Employment and Training Administration of the U. S. Department of Labor (ETA) and policies of the Arkansas Workforce Development Board (AWDB).

## **POLICY**

Adult services provided by the LRWDB consist of two types: career services and Training services, to be provided through the Little Rock Workforce Center (i.e., American Job Center network) and partner entities [20 CFR 680.100 & 680.140(a)].

Career services consist of three types: basic services, individualized services, and follow-up services [20 CFR 678.430; TEGL 19-16].

An individual becomes a participant in a particular program when the registered person is declared eligible for that program, and then receives his or her first service, other than self-service or information-only [20 CFR 680.110].

### **Eligibility**

To be eligible for the Adult program, an individual must provide documentation of eligibility in four areas: age/birthday, Social Security number (SSN), compliance with the Military Selective Service Act, and eligibility to work in the United States.

More specifically, the individual must be at least 18 years old [20 CFR 680.120].

Proof of social security number must be requested for participation in any WIOA program, but the SSN cannot be required unless/until the individual goes to work for an employer that uses E-verify or prepares for occupational training in a postsecondary program that qualifies for a Federal Pell Grant [8 USC 1324a; [www.fasfa.gov](http://www.fasfa.gov)]. It is unlawful to deny services other than employment to an individual simply because the individual is unwilling or unable to disclose a SSN, but some services may be limited if a SSN is not provided, such as work services [8 USC 1324a] and training services [[www.fasfa.gov](http://www.fasfa.gov)]. Case managers must notify applicants that the use of the SSN is used for program performance purposes [Privacy Act of 1974 (5 U.S.C. 552a) § 7(a)(1) & (2)]; 8 U.S.C. 1324a; TEGL 5-08; Comments in WIOA Final Rule concerning §§ 677.155 & 677.175].

With certain exceptions, each male must have enrolled for the Selective Service System (SSS) within 30 days of his 18th birthday and before he reaches the age of 26. In general, a man age 26 or older who was not exempt from SSS registration cannot receive WIOA services [50 U.S.C 3801 et seq.].

A man who has reached the age of 26 and who did not register for Selective Service when required may present evidence to document an exception described below, may contact the Selective Service System to request a Status Information Letter for possible exception, or may provide documentation establishing that his failure to register was not knowing and willful [50 U.S.C 3801 et seq.; TEGL 11-11 Change 2]. The evidence must describe in detail the circumstances that prevented him from registering and provide documentation of those circumstances. The documentation should be specific as to the dates of the circumstances [TEGL 11-11 Change 2]. All appropriate documentation must be maintained in participant file. Males seeking WIOA services who are not registered for Selective Service and who have not yet reached the age of 26 must register through the Selective Service website at [www.sss.gov](http://www.sss.gov) before receiving services. A male who turns 18 while participating in WIOA Title I-B services must register no later than 30 days after his 18th birthday. If a male under age 26 refuses to register, WIOA services must be suspended until he registers [TEGL 11-11 Change 2].

Participation in WIOA programs and activities, including receipt of funds, is available only to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General, the Secretary of Homeland Security or the Secretary's designee to work in the United States [WIOA § 188(a)(5); 20 CFR 655.5; 20 CFR 683.285(a)(5)]. Specific information and acceptable documentation can be found on the USCIS 19 Form OMB No. 1615-0047).

Equal opportunity (EO) data must be collected during registration for every individual who applies for WIOA financially assisted aid, benefits, services, or training [20 CFR 68 0.110(c)]. These data are race and ethnicity, age, sex, and disability [20 CFR 675.300]. Individuals may not be discriminated against because of race, color, religion, sex, national origin, age, disability, or political affiliation or belief, except as required by federal law for particular programs [WIOA § 188(a)(1); 29 U.S.C. 794; 42 U.S.C. 6101 et seq.; 20 U.S.C. 1681 et seq.; 20 U.S.C. 2000d et seq.].

Eligibility for the Adult program does not make an individual eligible for all services in the program. The LRWDB follows its priority of service policy to determine priority of receipt of services. Nothing in this policy implies that an individual who qualifies for the Adult program is guaranteed receipt of all individualized career and training services. An individual must demonstrate need for services before receiving them [TEGL 19-16].

### **Program Design**

The LRWDB's adult programs are designed to meet the following guidelines:

#### Basic Career Services

Basic career services are universally accessible and are made available to all adults seeking employment and training services. All basic services are available through the



Little Rock Workforce Center. Each individual may receive only those services that are appropriate to his or her situation. Basic services may be provided after individualized or training services or in combination with such services. Basic services are provided in coordination with Workforce Center partners, including Adult and Dislocated Worker programs, to participants who have met eligibility requirements.

Basic services are [WIOA §134(c)(2)(A)(i–xi); 20 CFR 678.430(a)]:

1. Determination of whether the individual is eligible to receive WIOA Adult, Dislocated Worker, and/or Youth services
2. Outreach, intake (including identification through the state’s Worker Profiling and Reemployment Services system of unemployment insurance (UI) claimants likely to exhaust benefits), and orientation to information and other services available through the Little Rock Workforce Center
3. Initial assessment of skill levels, including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities (including skills gaps) and supportive services needs
4. Labor exchange services, including:
  - a. Job search, placement assistance, and, in appropriate cases, career counseling
  - b. Information concerning in-demand industry sectors and occupation
  - c. Information about nontraditional employment
  - d. Recruitment on behalf of employers
5. Referrals to and coordination of activities with other programs and services, including Workforce Center partners and other programs and services

Referrals to partner programs may include individualized counseling, including drug and alcohol abuse counseling, mental health counseling, as appropriate. When referring a participant to necessary counseling that cannot be provided by the program provider, the case manager must coordinate with the counseling organization to ensure continuity of service [20 CFR 681.510].

6. Accurate workforce and labor market employment statistics information relating to local, regional, state, and national labor market areas, including:
  - a. Job vacancy listings in labor market areas
  - b. Information about job skills necessary to obtain vacant jobs listed
  - c. Information concerning local in-demand occupations, as well as the wages, skill requirements, and opportunities for advancement for those occupations



7. Performance information and program costs of eligible training providers and type of providers
8. Easy-to-understand information concerning local performance measures
9. Easy-to-understand information about supportive services, including, but not limited to, child care, child support, medical or child health assistance, SNAP, earned income tax credit, TANF programs (including TEA, Work Pays, the Career Pathways Initiative, HUD housing counseling and assistance, and any other available program of supportive services and transportation
10. Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not provided under WIOA
11. Information and assistance in filing claims for unemployment compensation

Applicants must be determined eligible for a WIOA Adult program before receiving any of the following services [TEGL 19-16 (Appendix II)]:

- Initial assessment of skill levels and supportive service needs
- Staff-assisted job search
- Staff-assisted referral to employment and placement assistance
- Staff-assisted career guidance and counseling
- Meaningful assistance in filing for UI
- Assistance in establishing eligibility for financial aid

#### Individualized Career Services

Individualized career services may be given only to individuals who are eligible for program(s) and are determined to need such services to obtain or retain employment [20 CFR 678.430(b); 20 CFR 680.110; TEGL 19-16].

The provision of individualized services is based on the employment needs of the individual as determined jointly by the individual and the case manager, and may be identified through an individual employment plan (IEP) [TEGL 19-16].

Individualized Career Services may be provided by Workforce Center staff, including partner entities [TEGL 19-16]. A participant does not have to receive basic career services before receiving individualized career services, and he or she may receive basic services after receiving individualized services [TEGL 19-16].

As appropriate, participants should be co-enrolled with other service providers to create the best array of services for the participant. The LRWDB provides individual services required to be available to qualified individuals who need these services, including [WIOA§134(c)(2)(A)(xii); 20 CFR 678.430(b); TEGL 19-16]:

1. Comprehensive and special assessments of the skill levels and service needs of the participant. The LRWDB may leverage recent (i.e., within the last six months) assessments, interviews, and evaluations of other entities, if appropriate [WIOA § 134(c)(2)(B); WIOA § 134(c)(3)(A)(ii)] assessments may include:
  - a. Diagnostic testing and use of other assessment tools
  - b. In-depth interviewing and evaluation to identify employment barriers and appropriate employment goals
2. Development of an individual employment plan (IEP) to identify the employment goals, achievement objectives, and appropriate combination of services for the participant to achieve his or her employment goals, including the list of, and information about, eligible training providers
3. Group and/or individual counseling and mentoring
4. Career planning (e.g. case management)
5. Short-term pre-vocational services, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance, and professional conduct to prepare individuals for unsubsidized employment or training, in some instances preapprenticeship programs may be considered as short-term pre-vocational services
6. Internships and work experiences that are linked to careers identified in the individual employment plan [20 CFR 678.430(b)(7) & 680.170], including transitional jobs [20 CFR 680.190; TEGL 1916, Sec. 5
7. Workforce preparation activities that help an individual acquire basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training/employment
8. Financial literacy services, such as training for [WIOA §§ 129(b)(2)(D)]:
  - a. Creating a budget, initiating a savings plan, and making informed decisions about education, retirement, home ownership, wealth building, or savings
  - b. Managing spending, credit, and debt (including credit cards)
  - c. Checking a credit report, increasing the score, and correcting any errors or problems on a report
  - d. Understanding, evaluating, and comparing financial products, services, and opportunities
  - e. Understanding financial situations as a non-English speaker
9. Out-of-area job search assistance and relocation assistance
10. English language acquisition and integrated education and training programs



11. Customer support to enable individuals with barriers to employment to navigate among multiple services

#### Follow-Up Career Services

Follow-up services, including counseling regarding the workplace, are made available by Workforce Center partners for at least 12 months after the first day of employment, to participants who are placed in unsubsidized employment [WIOA § 134(c)(2)(A)(xiii); 20 CFR 678.430(c); 20 CFR 680.150(c); Comments in WIOA Final Rule concerning §680.150; TEGL 19-16].

Follow-up services may include, as appropriate [WIOA § 134(c)(2)(A)(xiii); TEGL 19-16]:

- a. Adult mentoring
- b. Financial literacy education
- c. Information concerning community agencies or organizations that might assist with supportive services.

Follow-up services may not include supportive services listed in 20 CFR 680.900 [20 CFR 680.910; TEGL 19-16]. Follow-up career services are not a qualifying service for the receipt of supportive services [WIOA § 134(d)(2)(A); TEGL-19-16]. An individual who is only receiving follow-up services may not receive supportive services [TEGL 19-16].

Follow-up services may begin immediately following the last expected date of service in the programs included in the Common Exit date, when no future services are scheduled [TEGL 21-16].

Once 90 days of no services, other than follow-up services, self-service, and information-only services and activities, has elapsed and the participant has an official exit date applied retroactively to the last date of service, the program continues to provide follow-up services for the remaining 275 days of the 12-month follow-up requirement. The 12-month follow-up requirement is completed upon one year from the date of exit [TEGL 21-16].

All adult participants are offered an opportunity to receive follow-up services that align with their individual service strategies. Follow-up services do not have to be provided if the participant declines to receive services or if the participant cannot be located or contacted. Follow-up services may be provided beyond 12 months at the discretion of the LRWDB and the program provider. The types of services provided and the duration of the services are determined based on the needs of the individual. Follow-up services include more than a contact attempted or made for securing documentation in order to report a performance outcome [20 CFR 681.580(c)].

Adults are to be informed at the time of enrollment that follow-up services will be provided for 12 months following exit. Documentation is placed in a participant's case file when he/she cannot be located or contacted or if an individual requests not to receive or continue follow-up services [TEGL 21-16].



The exit date is determined when the participant has not received services in the adult program or any other program included in a common-exit program in which the participant is co-enrolled for 90 days, and no additional services are scheduled. At that point, the date of exit is applied retroactively to the last date of service [20 CFR 677.150(c)].

An individual who is employed is not required to exit the adult programs simply because he or she is employed. If the participant is enrolled in other common-exit programs or if he or she needs additional career services (other than follow-up services or self-service, and information-only services and activities), training services, or both, the participant is not exited until these services are no longer needed.

### Training Services

Training services are available for eligible adults as long as services meet an individual's educational and career goals, abilities and skill gaps. The need for training services is documented in case management files [20 CFR 680.220(b)].

To receive Training Services a participant must meet all of the following criteria:

1. Meet all eligibility requirements for the Adult program. Is determined eligible in accordance with the LRWDB's priority system in effect for adults if training services are provided through the Adult formula funding stream [TEGL 19-16]
2. Has been determined after an interview, evaluation, or assessment, and after career planning that the individual meets all of the following criteria [WIOA § 134(c)(3)(A)(i)(I); 20 CFR 680.210(a) & 680.220(a); TEGL 19-16]:
  - a. Is unlikely or unable to obtain or retain employment that leads to economic self-sufficiency, as determined by the LRWDB, or wages comparable to or higher than wages from previous employment, through career services alone
  - b. Is in need of training services to obtain or retain employment leading to economic self-sufficiency, as determined by the LRWDB, or to wages comparable to or higher than wages from previous employment
  - c. Has the skills and qualifications to participate successfully in training services

Where appropriate, the LRWDB may leverage a recent (i.e., within the last six months) interview, evaluation, or assessment [WIOA § 134(c)(2)(B); 20 CFR 680.220(a); TEGL 19-16]. Case files are to contain a determination of need for training services as determined through the interview, evaluation, or assessment, career planning using local labor market information and training provider performance information, or other career service received. If career services are not provided before training, the case manager must document the circumstances that justified the determination to provide training without first providing career services [20 CFR 680.220(b)].

3. Select a program of training services that is directly linked to the employment opportunities in the Little Rock area, or geographic areas to which individuals are willing to commute or relocate [WIOA § 134(c)(3)(A)(i)(II); 20 CFR 680.210(b); TEGL 19-16].
4. Is unable to obtain grant assistance from other sources to pay the costs of such training, including State-funded training funds, Federal Pell Grants, and TANF; or requires WIOA assistance in addition to these other sources. In making the determination, the LRWDB may take into account the full cost of participating in training services, including the cost of support services [WIOA § 134(c)(3)(B)(i)(I); 20 CFR 680.210(c); 20 CFR 680.230; TEGL 19-16].

LRWDB partners and other entities must coordinate funds available to pay for training [20 CFR 680.230]. An adult participant may enroll in WIOA-funded training while his or her application for a Pell Grant is pending as long as the Workforce Center has made arrangements with the training provider and the participant regarding allocation of the Pell Grant, if it is subsequently awarded. In that case, the training provider must reimburse the WIOA funds used to underwrite the training for the amount the Pell Grant covers, including any education fees the training provider charges to attend training. Reimbursement is not required from the portion of Pell Grant assistance disbursed to the participant for education-related expenses [20 CFR 680.230].

If the applicant is a member of a worker group covered under a petition filed for Trade Adjustment Assistance (TAA) and is awaiting a determination, training may be provided under WIOA if all other eligibility requirements are met. If the petition is certified, the worker will then transition to TAA approved training. If the petition is denied, the worker will continue training under WIOA [TEGL 19-16].

Per [WIOA § 134(c)(3)(D); 20 CFR 680.200; 20 CFR 680.350]; TEGL 19-16], training services provided by the LRWDB include, but are not limited to:

1. Occupational skills training, including training for nontraditional employment. See the LRWDB Occupational Skills Training-ITA policy for more information.
2. On-the-job training (OJT). See the LRWDB On-the-Job Training policy for more information.
3. Registered Apprenticeship (RA) training. See the LRWDB Registered Apprenticeship (RA) policy for more information.
4. Incumbent working training (limited to no more than 20% of the funds granted to the LRWDB for Adult and Dislocated Worker Training [WIOA § 134(d)(4)]. See the LRWDB Incumbent Worker Training policy for more information.
5. Programs that combine workplace training with related instruction, which may include cooperative education programs.



6. Training programs operated by the private sector.
7. Skill upgrading and retraining
8. Entrepreneurial training
9. Job readiness training if it is provided in combination with other training listed above or transitional jobs.
10. Adult education and literacy activities, including activities of English language acquisition and integrated education and training programs, if they are provided concurrently or in combination with training listed above
11. Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training. See the LRWDB Customized Training policy for more information.

Selection of training services is conducted in a manner that maximizes customer choice [20 CFR 680.340(a)], is linked to in-demand employment opportunities in Little Rock, the surrounding planning region or in a geographic area in which the adult is willing to commute or relocate, and is coordinated to the extent possible with other sources of assistance [TEGL 19-16].

The LRWDB makes the list of eligible training providers, a description of the programs through which training is offered, and the performance and cost information about the providers available to customers [20 CFR 680.340(b)].

The LRWDB also works with representatives of secondary and postsecondary education programs to lead in the development and implementation of career pathways by aligning local employment, training, education, and supportive services needed by adults, particularly individuals with barriers to employment (e.g. displaced homemakers, individuals with disabilities, returning citizens) [A.C.A. 15-4-3711(a)(8)].

Training services, when determined appropriate, are provided through either Individual Training Accounts (ITAs) or through training contracts. Except under conditions listed below, training services are provided by an approved eligible training provider (ETP) through an individual training account (ITA) [WIOA §134(c)(3)(G)(i); TEGL 19-16]

Contracts for services are used instead of ITAs only when one or more of the following five exceptions apply and the consumer choice requirement has been fulfilled [WIOA § 122(h); WIOA § 134(c)(G)(ii); 20 CFR 680.320(a); TEGL 19-16]:

1. When the services provided are on-the-job-training (OJT), part of an Registered Apprenticeship (RA) program, customized training, incumbent worker training, or transitional jobs



2. When the LRWDB determines that there are an insufficient number of eligible training providers in the local area to accomplish the purpose of a system of ITAs. Then the determination process includes a public comment period for interested providers of at least 30 days).
3. When the LRWDB determines that there is a training services program of demonstrated effectiveness offered by a community-based organization or another private organization to serve individuals with barriers to employment. Criteria used in determining demonstrated effectiveness include [20 CFR 680.320(a)(3); TEGL 19-16]:
  - a. Financial stability of the organization
  - b. Demonstrated performance in the delivery of services to individuals with barriers to employment through such means as program completion rate, attainment of the skills, certificates or degrees the program is designed to provide, placement after training in unsubsidized employment, and retention in employment
  - c. How the specific program relates to the workforce investment needs identified in the LRWDB's local plan
4. When the LRWDB determines that it would be most appropriate to contract with an institution of higher education or other eligible provider of training services in order to facilitate the training of multiple individuals in in-demand industry sectors or occupations and contract does not limit customer choice
5. When the LRWDB determines that a pay-for-performance contract is suitable consistent with 20 CFR 683.500 and the pay-for-performance contract is consistent 20 CFR 683.510. The LRWDB complies with the requirement that no more than 10% of local funds may be spent on pay-for-performance contract strategies as defined in WIOA § 3(47).

In some cases, the LRWDB may provide training through a combination of ITAs and Contracts [TEGL 19-16].

#### Supportive Services

Information about supportive services for adults can be found in the LRWDB's Supportive Services policy. Such services may include, but are not limited to [WIOA § 3(59); 20 CFR 680.900, 681.460(a), & 681.570; TEGLs 19-16 & 21-16]:


- Linkages to community services
- Assistance with housing
- Needs-related payments
- Assistance with educational testing
- Reasonable accommodations for individuals with disabilities
- Legal aid services

- Referrals to health care
- Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eyeglasses and protective eye gear
- Assistance with books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes
- Payments and fees for employment and training-related applications, tests, and certifications.

#### Business/Employer Services

To foster connections between adults and local businesses/employers, the LRWDB offers:

- Business access to Little Rock Workforce Center facilities for meetings, trainings, orientations, and interviews
- Hosted hiring events, which are customized to the specific needs of local businesses
- Job placement channels, organized by Little Rock Workforce Center staff
- Assistance with applicant referrals and applicant screening.
- Development and implementation of industry sector strategies (including strategies involving industry partnerships, regional skills alliances, skills standards and certification, industry skill panels, and other initiatives for meeting the workforce development needs of area employers and workers [WIOA 134(d)(1)(A)(ix)].

<b>Contact Person</b>  W. J. Monagle, Executive Director	<b>Expiration Date</b>  Indefinite
<b>Authorized By</b>  Bryan Day, Chair 	<b>Resolved</b>

**Policy Review Date: 6/20/2019**



## Arkansas Workforce Center at Little Rock

### LRWDB Program Directive

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**LITTLE ROCK WORKFORCE DEVELOPMENT BOARD**

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Tel: 501-682-0228/ TDD: (800) 250-6691

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<b>POL 2019 Basic Skills Deficient</b>	<b>Statement of Basic Skills Deficient Definition</b>
Date of Issuance/Impact	POLICY IMPACT
March 28, 2019	One Stop Career Center Operator
Effective	Revision Date
Immediately	



## PURPOSE

To define the term “basic skills deficient, used in connection with Title I-B of the Workforce Innovation and Opportunity Act of 2014 (WIOA).

## POLICY

The LRWDB defines basic skills deficient as an individual who is one of the following [WIOA § 3(5); 20 CFR 681.290; TEGL 19-16]:

1. A youth who has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test. The State of Arkansas interprets this criterion to mean scoring at or below Grade Level 8.9.
2. An adult or youth who is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual's family, or in society. The State of Arkansas interprets this criterion to mean scoring Grade Level 8.9 or below on an appropriate standardized test, including a standardized test that has a crosswalk with grade level equivalents.
3. An English language learner, as defined in WIOA § 203(7) who meets the criteria for “basic skills deficient” for both Adults and Youth, without the applicant's having to take a standardized test [TEGLs 19-16; TEGL 21-16]. An English language learner is an individual who has limited ability in reading, writing, speaking or comprehending the English language and either
  - a. whose native language is a language other than English or
  - b. who lives in a family or community environment where a language other than English is the dominant language [WIOA § 203(7); TEGL 21-16]

In assessing basic skills, the LRWDB uses assessment instruments that are valid and appropriate for the target population, and provides valid reasonable accommodation in the assessment process, if necessary, for individuals with disabilities [20 CFR 681.290; 20 CFR 680.600].

Where appropriate, the LRWDB may use a recent (within last 6 months) assessment conducted by another entity to assess basic skills [WIOA § 124(c)(2)(B); 20 CFR 680.220(a); TEGL 19-16].

<b>Contact Person</b>  W. J. Monagle, Executive Director	<b>Expiration Date</b>  Indefinite
<b>Authorized By</b>  Bryan Day, Chair	<b>Resolved</b>

Policy Review Date: 3/28/2019



## Arkansas Workforce Center at Little Rock

### LRWDB Program Directive

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**LITTLE ROCK WORKFORCE DEVELOPMENT BOARD**  
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**POL 2019 Case Mgmt Participant Files**

Date of Issuance/Impact

June 20, 2019

Effective Date

Immediately

**Case Management and Participant Files Policy**

POLICY IMPACT

**One Stop Career Center Operator**

Revision Date

## **PURPOSE**

The purpose of this policy is to describe and detail the regulations concerning case management and participant files in accordance with the Workforce Innovation and Opportunity Act of 2014 (WIOA), the WIOA Final Rule, Training and Employment Guidance Letters (TEGLs) published by the Employment and Training Administration of the U.S. Department of Labor (ETA), and Arkansas Workforce Development Board policies.

### **Case Manager Role**

The LRWDB defines a case manager as an essential front-line staff member, working directly with participants in WIOA (adult, dislocated workers, youth) or grant-funded programs. Case managers perform a variety of duties that include but are not limited to:

- Welcome applicants and make them feel comfortable.
- Determine eligibility for programs and particular services.
- Evaluate the assessments, skills, interests, and aptitudes of participants to help them receive the services they need to obtain or retain appropriate employment.
- Maintain regular contact with participants and serve as career counselors, progress monitors, cheerleaders, and coaches.
- Identify appropriate followup services to help former participants be successful in their chosen occupations after they exit programs.

To be effective, case managers must:

- Regularly review local policies, procedures and forms to stay familiar with services and eligibility requirements
- Avoid potential disallowed costs and use funds efficiently by following eligibility and priority of service requirements
- Be knowledgeable about services offered by Little Rock Workforce Center partners and community entities to make appropriate referrals

Case managers may serve as mentors when adult mentors are sparse [WIOA §129 (c)(3)(A); 20 CFR 681.420(c & d); [TEGL 21□16].

### **Program Enrollment**

Eligibility requirements should be kept in mind when writing an Individual Service Strategy (ISS) or Individual Employment Plan (IEP to determine the need for services.

After an applicant has been determined eligible for a program, the case manager must enter application information into Arkansas JobLink (AJL), including demographic Information, as part of the enrollment process [20 CFR 677.150; TEGL 10□16].



A case manager should also enter appropriate information into AJL as program events happen or new information about a program participant becomes available.

If an eligible adult youth applies for a WIOA Youth program and either does not meet the enrollment requirements for that program or cannot be served by that program, the case manager must ensure that the applicant is referred for further assessment, if needed, or referred to appropriate programs to meet the basic skills and training needs of the applicant [WIOA § 129(c)(3)(B); 20 CFR 681.420(e & f)]. In addition, participants should be co-enrolled with partner programs as applicable.

### **Program Services**

Case managers should use the Individual Employment Plan (IEP) and Individual Service Strategy (ISS) to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve his or her employment goals, including the list of, and information about, eligible training providers [WIOA § 134(c)(2)(A)(xii); 20 CFR 678.430(b); TEGL 19□16].

Case managers should determine the need for services through an interview, evaluation, or assessment. In some cases, case managers may work with other appropriate entities in assessing the needs of participants and creating strategies to meet those needs [WIOA § 129(c)(1)(A & B); 20 CFR 681.420(h)].

All required program activities and services must be available, but the provision of individualized career services and training services (including services specific to local program policy) must be based on the employment and service needs of the individual as determined jointly by the individual and case manager [TEGL 19□16; TEGL 21□16].

Case managers must ensure that adults and dislocated workers, who demonstrate a need for such services, receive the full array of training services offered by the LRWDB and its partner providers [20 CFR 380.220(b); TEGL 19□16].

Case managers must ensure that all 14 Program Elements are available for Youth who need them, but not all services within each element must be available. A case manager may refer participants to another entity for services which cannot be provided by the LRWDB or one-stop operator.

### **Case Notes and Files**

A case manager should make case notes when the participant is enrolled, at least once each month while the individual is a participant, and at any time something significant happens. Although the case manager should maintain contact with the participant, the case note does not have to be in response to direct contact with the participant. The note may also be due to updated information from an employer, a case manager in a partner

program, a school representative, or other such individual who can provide an update. Forms and notes must be written in ink, not pencil. No white-out may be used in files. Mistakes should be handled with a cross-through, initial, and corrected information. Forms must be dated when they are completed and signed. Applicants cannot be allowed to sign blank forms.

All documentation and notes concerning determination of eligibility must be kept in a participant's file, including details of determination of eligibility and need for particular services. The case file (electronic or on paper) must also contain a determination of need for training services as determined through the interview, evaluation, or assessment, career planning using local labor market information and training provider performance information, or other career service received. If career services are not provided before training, the case manager must document circumstances that justified the determination to provide training without first providing career services [20 CFR 680.220(b)].

Paper notes and documentation must be placed in a 6-tab folder in the order below.

TAB 1 (Front left): Data Validation & Enrollment & Eligibility Information

Information in tab: Data Validation Checklist on top, with other information in the number order on the checklist AND all documents collected related to enrollment for eligibility information.

Examples: Application, eligibility documentation, barrier information, low-income documentation, dislocated worker documentation.

TAB 2 (Front right): Notes, if printed

Information in tab: Program notes, and enrollment notes in chronological order with most recent on top.

TAB 3 (Middle left): Case Management Information

Information in tab: ISS/IEP on top, followed by assessments, testing, and other case management information in chronological order with most recent on top.

TAB 4 (Middle right): Miscellaneous Documents and AJL Printouts not in another Tab

Examples: Referral forms, Photo/Story Release Form, Exit Form, Partner Provided Form.

TAB 5 (Back Left): Training Information


Information in tab: All training information, including occupational skills training, registered apprenticeship (educational component), high school, and Youth occupational training accompanying work experience.

Examples: ITA, transcripts, degree plans, financial aid information, class schedule, attendance documents, and supportive services related to training.

TAB 6 (Back right): Work Experience and Workforce Training Information

Information in tab: All information related to work experience or workforce training, including OJT and work component of registered apprenticeship.

Examples: Contract for work, work permit, work evaluations, I□9, job description, time sheets, supportive services relating to work.

<b>Contact Person</b>  W. J. Monagle, Executive Director	<b>Expiration Date</b>  Indefinite
<b>Authorized By</b>  Bryan Day, Chair 	<b>Resolved</b>

Policy Review Date: 6/20/2019





## Arkansas Workforce Center at Little Rock

### LRWDB Program Directive

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**LITTLE ROCK WORKFORCE DEVELOPMENT BOARD**

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**POL 2019 Co-enrollment Co-funding**

Date of Issuance/Impact

**March 28, 2019**

Effective Date

**Immediately**

**Statement of Co-enrollment and Co-Funding**

POLICY IMPACT

**One Stop Career Center Operator**

Revision Date

## **PURPOSE**

The purpose of this policy is to describe the requirements and regulations concerning co-enrollment and/or co-funding of WIOA Title I-B participants with various WIOA Title I-B programs, other WIOA programs, Arkansas Job Center partners, and other appropriate entities, in accordance with the Workforce Innovation and Opportunity Act of 2014 (WIOA), the WIOA Final Rule, Training and Employment Guidance Letters (TEGLs) published by the Employment and Training Administration of the U.S. Department of Labor (ETA), and policies of the Arkansas Workforce Development Board.

## **POLICY**

Under WIOA I-B, participants may be eligible for youth, adult, and/or dislocated worker services. The participant may also be eligible for the services of other one-stop partners, as well as services for non-one-stop partners. LRWDB case managers must be informed about the services of all WIOA funding streams (including other titles and subtitles). Case managers must coordinate with other agencies as appropriate to provide the full array of services documented as needed by the participant. [WIOA § 134(b)(2)(A)(v); 20 CFR 680.230]. Co-enrollment (or dual-enrollment) and/or co-funding with other entities is encouraged to give participants the best array of services [TEGL 19-16].

### **Co-enrollment within WIOA Title I Adult, Dislocated Worker, and Youth Programs**

Individuals who meet the respective program and service eligibility requirements may participate in Adult, Dislocated Worker and/or Youth programs concurrently. The LRWDB and its partners work to determine the appropriate level and balance of services under the Youth and Adult/Dislocated Worker programs. This determination depends not only on the eligibility requirements of each program, but also on the services needs of the participant. [TEGL 19-16].

Services available under each funding stream depend on eligibility for services under that funding stream. The LRWDB and its one-stop operator work to determine the appropriate level and balance of services for each individual under each program. The LRWDB and its one-stop operator identify and track the funding streams, which pay the costs of services and ensure no duplication of services [20 CFR 681.430].

If it is determined that only the Youth or Adult program array of services is appropriate for an individual aged 18 –24, the participant is enrolled in only that service [20 CFR 681.450].

### **Co-enrollment and Co-funding with Other Programs**

The LRWDB works with other workforce center partners and other entities to provide a full array of needed services to participants. This strategy is intended to provide more services and case management to participants, thus providing greater probability for success.

WIOA funding for training is limited to participants who are unable to obtain grant assistance from other sources to pay the costs of training or require assistance. The LRWDB helps participants apply for Pell Grants and other appropriate grants and coordinates funding with other one-stop partners and entities for which the participant is eligible [20 CFR 680.230].

To appropriately coordinate funding and co-enrollment, case managers are trained in programs and eligibility requirements of other one-stop partners and other local and state entities providing services needed by their participants so they can leverage the funding of othersources to provide all services needed by WIOA Title I-B participants [A.C.A. 15-4-3711(a)(10)(D)]. Some of these potential entities are:

- Career Pathways Initiative for custodial parents attending Arkansas two-year colleges
- Single Parent Scholarship fund
- Arkansas Rehabilitation Services and Division of Services for the Blind
- TEA / Work Pays
- TAA
- Veterans' Services
- State and institutional scholarships
- Department of Human Services
- SNAP and SNAP Employment and Training Programs
- Arkansas Human Development Corporation (National Farmworker Jobs Program)
- American Indian Center of Arkansas
- Little Rock housing authority
- Local homeless shelter(s)
- Local food banks and distribution centers
- CADC and other local provider(s) of assistance with utilities
- AARP and other local provider(s) of older worker services
- Community Service Block Grants
- Programs funded by the Second Chance Act

The LRWDB and its partners work to ensure that other funds are leveraged to co-enroll and co-fund participation in WIOA Title I-B Adult, Dislocated Worker, and Youth programs [A.C.A. 15-4-3711(a)(10)(D), 20 CFR 680.230(b)]. The LRWDB also works to ensure that services are not duplicated for individuals enrolled in other funded programs. For instance, WIOA Title I-B funds may be used to support adult education and literacy activities of the Arkansas Department of Career Education, Arkansas Literacy Council, and other programs providing adult education and literacy activities if the participant is also engaged in one of the following [20 CFR 680.350]:



- Occupational skills training, including training for nontraditional employment
- OJT
- Incumbent worker training
- Programs that combined workplace training and related instruction, which may include cooperative education programs
- Training programs operated by the private sector
- Skill upgrading and retraining
- Entrepreneurial training

<b>Contact Person</b> W. J. Monagle, Executive Director	<b>Expiration Date</b> Indefinite
<b>Authorized By</b> Bryan Day, Chair	<b>Resolved</b>

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