Introduction

Purpose of This Handbook

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

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

Objectives of the Workforce System

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

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

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

• Job seekers.
• Employers.

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

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

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

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

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

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

As staff to the Eastern Kentucky WIB, EKCEP leads several Employer Services Teams in Eastern Kentucky. These teams are consortia of workforce agencies, educational institutions, human resources managers, community development organizations, and other groups that serve the region’s employers. Through these teams these groups can share opportunities and best practices and research solutions and develop plans to address business challenges.

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

• Providing ongoing support and guidance to contractor staff to help them accomplish their workforce development objectives. EKCEP provides support in areas that include:
  — Accounting
  — Program monitoring procedures
  — Program policies and guidance
  — Using EKOS (the Employ Kentucky Operating System)
  — Marketing
• Providing and/or funding training for contractor staff, especially those who work directly with clients.
• Assisting with the launching of pilot initiatives.
• Being available to answer questions about policies and regulations.

EKCEP and 87 other Concentrated Employment Programs (CEPs) nationwide were formed in 1968 under federal Manpower Development and Training Act (MDTA) and the Economic Opportunity Act (EOA) to meet the job training needs of people in areas of high unemployment and acute poverty. For nearly 50 years, EKCEP has served 23 mountain counties in eastern Kentucky with exemplary training, employment, and workforce development programs to meet the region’s changing needs.

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

A. Core Values

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

EKCEP’s core values are:

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

B. Guiding Principles for Serving Clients

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

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

- **Consistency** – Consistency in the delivery of workforce services across EKCEP’s service region is vital to the overall success of its mission. Each client should go through a similar process and have access to the same kinds of assistance across the EKCEP region. To accomplish this, EKCEP will provide each staff member with the same training in career advising and orientation to the service model. Uniformity of services, professionalism and experience will provide the basis for consistency across all service providers.

- **Quality** — Quality customer service is the primary goal of each workforce services office. Two components define quality:
  
  — The depth of knowledge each staff member has of workforce development services.
  — The professional manner in which the services are provided.

- **Value** — Value is defined as having something of importance for the client during each interaction. Regardless of how small or large a service may be, it should have a tangible value for the client. Examples could include a resume template, a job referral, or an action plan for further goals.

- **Fairness** — Treating each client with fairness is essential to the mission of EKCEP. Fairness includes:
  
  — Treating every client with respect
  — Never turning a client away
  — Never discriminating
  — Giving every client the same opportunities

- **Open Communication** — Developing the practice of open communication between workforce staff and clients is an important factor in helping clients become qualified workers for quality jobs. This may include accepting feedback from clients about how EKCEP can improve its services, and communicating effectively with clients and partner agencies, and sharing best practices with co-workers and partner agencies. Transparency is the objective of this principle.

- **Ethical Conduct** — The client can expect ethical conduct as described by the Code of Ethical Conduct below.

- **Continuous Improvement** — The service model developed by EKCEP will have resources in place to continuously improve the services offered to clients.
C. Code of Ethical Conduct

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

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

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

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

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

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

D. Customer Service

Like every service organization today, the workforce development system must focus on meeting its clients’ needs in a way that creates a positive experience for the client. In addition to helping attain the primary goal of meeting the clients’ needs, providing excellent customer service will produce several beneficial results, including:
• Word-of-mouth advertising — A customer who had a positive experience will be your best marketer.
• Repeat business — A satisfied customer is likely to return and develop loyalty to your services and brand.
• Continuous improvement — The level of customer satisfaction can be measured regularly and the results can provide guidance on ways services can be improved.

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

E. Principles of Partnership

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

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

The following principles form the framework of these partnerships:

• Understand and value the unique contributions of each partner
• Commitment to common goals
• Trust
• Collaboration
• Respect
• Clear expectations
Section Two: Service Model for Workforce Services

A. Introduction

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

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

• The relationship of Career Advisors with their clients. Throughout eastern Kentucky the workforce development professionals in each community provide multiple places where unemployed or under-employed job seekers can get help in their quest for a job. This help may take several forms, ranging from simple assistance with the job search process to more advanced career planning, skill development, and training that are directly linked to the needs of local employers. This relationship is explained in detail in “Section B., Service Model for Job-Seeking Clients,” below.

• The relationship of the workforce development system’s business services representatives with their employer clients and their partners, including training providers, other workforce agencies, and business groups. For employers, the Business Services element of the workforce development system provides access to qualified job candidates, human resources services, and training to help ensure that they have a quality workforce. This relationship is explained in detail in “Section C., Service Model for Business Services,” on Page 20.

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

B. Service Model for Job-Seeking Clients

The diagram below provides a visual representation of the ways the workforce development system serves job-seeking clients. It shows a model that provides several possible entry points for these clients and allows them to dynamically flow across the entire range of services, moving into and out of individual services depending upon what will best help them toward their ultimate goal of obtaining a job.

NOTE: Detailed descriptions will be provided in later sections of the services and activities that comprise the Advanced Placement and Skills Development component, and the way that Business Services function in relation to these elements. (See Section Two B-4, Advanced Placement and Skills Development Component, and Section Two B-5, Business Services.)
The elements shown in the diagram “Service Model—Client Flow” are described in Sections 1 through 6 below.

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

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

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

   - Clients who are entering the workforce for the first time
   - Clients who are employed, but earning less than a self-sufficient wage ($13.40 per hour)
   - Clients who have been unemployed for a long time.
   - Clients who have been unemployed for a short time.
   - Clients who have lost a job as a result of lay-offs, workforce reductions, or business closings, through no fault of their own.
   - Clients transitioning into a new career, whether currently employed or unemployed.
The services that will help these clients get a job may include any combination of Labor Exchange services, Community Job Club services, or the array of services that make up the Advanced Placement and Skills Development component — simultaneously or separately in any appropriate order, based upon their individual career needs, interests, and objectives. These services might include:

- Self-directed job search activities.
- Staff assisted job search activities.
- Assessments of skills, aptitudes and interests.
- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Career advising
- Workshops (e.g., work readiness, resume writing, marketing self to the employer, job interviewing tips, portfolio development, etc.)
- Development of a career action plan.
- Labor Exchange services provided through the Kentucky Office for Employment & Training.
- The peer support and job-search assistance provided by a Job Club.
- Skills training.
- Higher education.
- Work Experience/Internships.
- Basic skills instruction.
- Referrals to the services of other workforce, education, or public assistance agencies.

2. OET (Office of Employment and Training) Labor Exchange

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

OET provides an integrated array of labor exchange services so that job seekers and businesses can find the services they need. The employment-related labor exchange services provided by OET include job search assistance, job referral, and placement assistance for job seekers; re-employment services for Unemployment Insurance claimants; and recruitment services to employers with job openings. Clients can get most services via electronic self-service, facilitated self-service, or staff assisted service.
As shown in the “Service Model—Client Flow” diagram, OET will work in coordination with the Community Job Clubs and Advanced Placement and Skills Development components to ensure that the eastern Kentucky workforce development system meets the needs of all clients and employers as completely as possible. OET’s role as provider of Unemployment Insurance services places them in contact with a high volume of job seekers and makes them a logical entry point to the system for many clients.

3. Community Job Clubs

a. Description and Function — A job club is a small group of job seekers who meet weekly with local workforce professionals to improve their job searches. The group members provide support for each other while networking and learning techniques for improving their job searches from the workforce professionals and invited guests. This combination of support, networking, and job-search education makes job club members much more successful at getting a job than job seekers who search alone.

Job clubs are an integral part of EKCEP’s service model, as shown in the “Service Model—Client Flow” diagram. Job clubs serve as a major outreach and intake component because they are accessible and attractive to people who are seeking a job, regardless of their reasons.

As job clubs form they can expect to draw people who drop out after a short time, deciding that the job club approach is not for them. This kind of turnover is to be expected and actually serves as a kind of “natural selection” of club members who are seriously interested in both pursuing their career objectives and helping their fellow club members.

For the service model to be effective, job clubs should be available throughout EKCEP’s 23-county service area. Many locations may have several different job clubs functioning at the same time, depending on demand. The average job club is expected last eight to ten weeks.

b. Goals and Services — The primary goal of a job club is to get jobs for its members. The job club does this by:

- Providing peer support for each job seeker during his/her career crisis.
- Easing the job seekers’ feelings of isolation, fear, and depression.
- Helping the job seekers regain their confidence.
- Leading the job seekers to discover new skills and abilities.
- Providing networking opportunities with local employers that give job seekers access to unpublished job opportunities.
• Providing job seekers with professional career services that develop and polish their job-search and interviewing skills.
• Helping each job seeker:
  — Develop and discover a clear vision of the type of job and salary he/she wants and the steps it will take to obtain that job as quickly as possible.
  — Uncover any hidden challenges that may be sabotaging his/her efforts to get interviews and job offers.
  — Create a job search plan that he/she can work from week to week with the support of the other club members.

• Providing workforce programming that includes:
  — Best practices for networking.
  — Understanding the anatomy of a job search.
  — How to build a resume.
  — Tips for applying successfully for jobs.
  — Ways to succeed at job interviews.
  — How to overcome obstacles and setbacks.
  — Up-to-date labor market and career information.
  — Building a digital identity in the 21st century job market.

c. Facilitator — Each job club should have a facilitator who is primarily responsible for the scheduling and logistics of the club, as well as being the lead workforce professional. In most cases this facilitator will be a staff member from the local workforce development contractor agency, preferably a Career Advisor who holds the Global Career Development Facilitator (GCDF) credential. In some cases, EKCEP staff may facilitate or assist in facilitating a job club.

A job club’s facilitator should be assisted by staff from the Office of Employment Training (OET) — if available — which should be a major partner in providing the job club service. Where available, OET staff should be especially active in helping make unemployed people aware of the opportunities provided by the job club. WIOA Business Services representatives must also be in close contact with the lead facilitator, providing information about local employers needs and local job openings and learning about the career objectives and qualifications of the job club members. Other important community partners are expected to be involved, providing workforce programming and a network of community support. These partners should include local community colleges, Adult Basic Education providers, chambers of commerce, local elected officials, and local businesses.

EKCEP will provide ongoing training and technical support for local job clubs and job club facilitators. Training and technical support will include assistance with
local publicity, marketing materials, training job club facilitators, and ongoing program development.

4. Advanced Placement and Skills Development

The Advanced Placement and Skills Development component of the service model is comprised of what has been the main body of WIOA (and before that, WIA) services. The services that comprise the Advanced Placement and Skills Development component are shown in the diagram below. (This diagram is a closer look at the Advanced Placement and Skills Development component shown in the “Service Model—Client Flow” diagram on Page 9.)

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

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

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

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

- Career Advising
- Assessments
- Basic Skills Instruction
- Workshops
- Work Experience/Internships
- WIOA Enrollment
- Training (either ITA or Non-ITA)
- On-the-Job Training (OJT)
- Customized Training (CT)

NOTE: These services are described in more detail in Sections b through k below, and in Section Three: Service Policies and Procedures on Page 24.

The Career Advisor will evaluate each client's needs and circumstances, then develop a career action plan of assessments, services, and guidance that will empower clients to make realistic decisions about their employment goals and enact those decisions to reach those goals. As shown on the "Elements of Advanced Placement and Skills Development" diagram on Page 13, the Career Advisor's plan for a client may include referral to Labor Exchange services and Community Job Clubs as well as the services included under Advanced Placement and Skills Development. The client may participate in these services simultaneously or separately in any appropriate order, based upon their needs, interests, and objectives.

The career action plans for each client will differ, depending upon that client's circumstances, abilities, and goals. Several examples are shown below.
Services for Unemployed Clients: Unemployed clients come to the workforce system from a wide variety of circumstances, and the services appropriate for them will vary accordingly. Examples could include:

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

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

  - Assessments of skills, aptitudes and interests.
  - Resume writing instruction and assistance.
  - Instruction in job search techniques.
  - Instruction and coaching in job interviewing skills.
  - Basic skills instruction, if needed.
  - Short-term skills training.
  - Long-term skills training, if a career change is appropriate.
  - The peer support and job-search assistance provided by a Job Club.
  - Labor Exchange services provided through the Kentucky Office for Employment & Training.
  - Other services and referrals, as appropriate.

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

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

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

  - Assessments of skills, aptitudes and interests.
  - Resume writing instruction and assistance.
  - Instruction in job search techniques.
  - Instruction and coaching in job interviewing skills.
  - Basic skills instruction, if needed.
  - Short-term skills training.
— Long-term skills training, if a career change is appropriate.
— The peer support and job-search assistance provided by a Job Club.
— Labor Exchange services provided through the Kentucky Office for Employment & Training.
— Other services and referrals, as appropriate.

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

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

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

- Assessments of skills, aptitudes and interests.
- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Basic skills instruction, if needed.
- Short-term skills training.
- Long-term skills training, if a career change is appropriate.
- The peer support and job-search assistance provided by a Job Club.
- Labor Exchange services provided through the Kentucky Office for Employment & Training.
- Other services and referrals, as appropriate.

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

- Resume writing instruction and assistance.
- Instruction in job search techniques.
- Instruction and coaching in job interviewing skills.
- Assessments of skills, aptitudes and interests, unless their career path has already been determined by their course of study.
— Short-term skills training, unless these skills were covered in their education.
— Long-term skills training, only if they become candidates for a career for which their education did not prepare them.
— The peer support and job-search assistance provided by a Job Club.
— Labor Exchange services provided through the Kentucky Office for Employment & Training.
— Other services and referrals, as appropriate.

• Clients who are entering the workforce for the first time with no previous work experience. These clients may include high school dropouts and will characteristically be intimidated by the whole job-search process, as well as the workplace itself. They will probably need a full array of services, with a probable emphasis on training services.

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

• Clients who are under-employed and under-educated or under-skilled – These workers are holding a job that provides insufficient wages because they are unqualified for a better job. The career action plan for these clients will most likely:

— Focus first on assessing their aptitude and interests, then training them in appropriate marketable skills. Short-term trainings will likely be most appropriate because these clients probably won’t be able to quit their current job in order to immerse themselves in long-term trainings.
— Include basic skills instruction, if needed.
— Add Instruction in resume writing, job interviewing skills, and other job search techniques as they near the end of their training.
— Include referrals to other services, as appropriate.

• Clients who are under-employed but educated or skilled – These workers are holding a job that provides insufficient wages because they have been unable to find a job that matches their qualifications. The career action plan for these clients will most likely focus almost entirely on job search skills and networking, including:

— Resume writing instruction and assistance.
— Instruction in job search techniques.
— Instruction and coaching in job interviewing skills.
— The peer support and job-search assistance provided by a Job Club.
— Labor Exchange services provided through the Kentucky Office for Employment & Training.
— Other services and referrals, as appropriate.

• Clients who have been out of the workforce because they have been providing unpaid services to family members in the home and have been dependent on the income of another family member, but because they are no longer supported by that income have entered the workforce and are working in a job that provides insufficient wages. These clients are “displaced homemakers” who are under-employed.

Depending upon their individual circumstances — especially their education level and the nature of their previous work experience — these clients may need a career action plan that includes a combination of many of these services:

— Assessments of skills, aptitudes and interests.
— Resume writing instruction and assistance.
— Instruction in job search techniques.
— Instruction and coaching in job interviewing skills.
— Basic skills instruction, if needed.
— Short-term skills training.
— Long-term skills training, if a career change is appropriate.
— The peer support and job-search assistance provided by a Job Club.
— Labor Exchange services provided through the Kentucky Office for Employment & Training.
— Other services and referrals, as appropriate.

b. Career Advising — Career advising involves getting to know the client, gathering and presenting information about the client’s career options to him/her, helping the client interpret that information and make decisions based upon it, and guiding the client through the process of developing a career action plan for reaching his/her career goals, and helping the client implement that plan.

c. Assessments — Assessing a client’s aptitudes, abilities, and interests may involve the use of a wide variety of formal career assessments and tests, as well as the Career Advisor’s conclusions drawn from interviewing and working with the client. Assessment results should be shared with the client as the Career Advisor and client work together to make realistic decisions about the career action plan. To ensure consistency, any formal assessments or tests used must be approved by EKCEP.
d. Basic Skills Instruction — A client’s assessments may show deficiencies in basic skills (e.g., math, reading) that are required for the career the client is interested in pursuing. If the deficiencies are not too large to be overcome, clients may be placed in or referred to remedial basic skills instruction to improve his/her skills in that area.

e. Workshops — Workshops are approved brief trainings on a specific topic. WIOA and its partners in the workforce system offer workshops on a wide variety of workforce-related topics. A series of these workshops can be an important part of a client’s workforce education.

f. Work Experience — The Work Experience service places a client with little or no previous experience in the workplace into a temporary job with an actual employer, with WIOA paying incentives based on hours completed. The objective is for the client to learn about and become comfortable with the working environment while learning some marketable skills and receiving some money.

g. Internships — An Internship is a service that is similar to Work Experience, placing a client with little or no previous experience in the workplace into a temporary job with an actual employer. However, Internships provide WIOA clients the opportunity to learn more specific industry-related work skills that are clearly attached to industry-based skill training and/or education that is provided directly by an employer or is connected to occupational skill training provided by an outside vendor.

h. WIOA Enrollment — If a Career Advisor determines that WIOA paid services (e.g., training, work experience) are appropriate for a client, the advisor must determine that the client is eligible for those services. At this point, the Career Advisor must collect information — especially financial information — that was not previously required for participation in services of the workforce system.

i. Training — Long-term or short-term training is an appropriate service if it is required for a client to attain his/her career goals. WIOA may provide either Individual Training Account (ITA) training or Non-ITA training. However, funding for ITA or Non-ITA training may be limited to trainings that lead to careers that are considered “in demand” or support industries in sectors of emphasis.

j. On-the-Job Training (OJT) — On-the-Job training is training provided to a client by an employer after the client has been hired. The length of the training period will vary, depending upon the job and complexity of the training. WIOA funds pay a portion of the trainee’s wages during the training period, but the employer must also pay a portion of the wages.
k. Customized Training — Customized training is training specifically identified by an employer as necessary for his/her employees. As with OJT, all workers trained must be employed by the business. WIOA funds pay a portion of the total cost of the training, rather than a portion of only the wages as in OJT, and the employer must pay the balance of the costs.

5. Job Retention Services

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

Job retention services may include:

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

6. Employers

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

The Service Model for Business Services (in Section Two: C, “Service Model for Business Services”) provides details about how the workforce system in eastern Kentucky serves the region’s employers.

C. Service Model for Business Services

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

EKCEP’s Business Services are guided by three principles:

• **Business services should be solutions-driven.** This approach is based on the belief that employers know best what they want and need, and that the best way to develop useful services for them is to listen to them. Because businesses differ, the solutions to their problems will also differ, and the workforce development system must be flexible to respond to these differences. Fixed menus of services and rigid program guidelines are not solutions-driven approaches.

• **Business services should be relevant to business needs.** The purpose of business services is to serve business’ needs, not the needs of the workforce development program. Services must be legal and ethical, but within those limits the services must be developed with the needs of the businesses foremost in mind.

• **Business services should be delivered in a timely manner.** If the workforce development system is to help solve business problems and be relevant to actual business needs, it must operate at the “speed of business.” Employers with workforce problems do not really care about the intricacies of Federal WIOA program designs; they simply want to know if they can get help when they need it, not later.

2. Functions of Business Services

The relationships and functions of EKCEP’s Business Services are shown in the following diagram.
As shown in the diagram, the role of EKCEP’s Business Services Representatives (BSRs) includes:

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

- Working with local business groups (e.g., Chamber of Commerce, Society of Human Resources Managers [SHRM], etc.) to identify employer needs, raise awareness of EKCEP’s business services programs, and develop relationships that can help promote EKCEP’s workforce development activities.

- Assisting local employers in obtaining qualified employees, including informing local employers about available qualified job candidates, options for training previously unqualified job seekers, on-the-job training opportunities, assistance
available for human-resources tasks, and other ways to address their workforce issues.

• Working and communicating regularly with the business services representatives of the Office of Employment and Training (OET), the Kentucky Community and Technical College System (KCTCS), and local economic development agencies to remain abreast of what they have learned about employers’ workforce development needs in the region. BSRs should explore opportunities to partner with any of these organizations in any ways to meet employers’ workforce development and training needs.

• Working with training providers to help them develop training programs that meet the skills needs of local employers and job seekers, and that meet EKCEP’s training goals.

• Overseeing the initiation and implementation of employer based training programs supported by EKCEP WIOA funds, including On-the-Job Training, Customized Training, Work Experience, Internships, and Incumbent Worker Training programs.

• Communicating with WIOA Career Advisors and the job seekers they serve about local employer needs, job opportunities, required qualifications/training, application and hiring procedures, and other specific factors relating to obtaining local employment.

• Working with Community Job Clubs and job club facilitators to help link job club participants with appropriate employers.

• Working with other EKCEP BSRs to implement employer services programs that involve multiple BSR service areas.

• Assisting other BSRs as needed in order to promote effective implementation of EKCEP business services programs.

Local BSRs will report regularly to the EKCEP Industry Liaisons, who will communicate regularly with EKCEP’s management, to oversee and coordinate EKCEP business services activities and programs and work closely with BSRs as they promote and develop new business services programs throughout the region.

3. Business Services Partnerships

As shown in the diagram “Role of Business Services,” EKCEP’s Industry Liaisons and local BSRs will maximize their effectiveness by building and maintaining good
working relationships with the business services representatives of the other workforce development, education and training, and economic development agencies that serve EKCEP's region.

By developing mutual understanding of each others’ missions and shared goals, the business services representatives of each agency should be able to freely share information about employers’ needs, allowing each to be more efficient and effective in meeting those needs. The sharing of information and goals will also create natural opportunities for agencies to partner to provide solutions for employers.

4. Eastern Kentucky Employer Services Teams

As staff to the Eastern Kentucky WIB, EKCEP leads several Employer Services Teams in Eastern Kentucky. These teams are consortia of workforce agencies, educational institutions, human resources managers, community development organizations, and other groups that serve the region’s employers. Through these teams these organizations can share opportunities and best practices and research solutions and develop plans to address business challenges. EKCEP’s Industry Liaisons serve as the facilitators and conveners of these teams.
Section Three: Service Policies and Procedures

A. Basic Services

Basic services are designed to inform and educate clients about the labor market, their employment strengths and weaknesses, and the range of services appropriate to their situation. Because these are considered to be informational in nature, Basic Career Services are available to all clients seeking services and do not require the eligibility documentation for Adults and Dislocated Workers. However, for Out-of-School Youth clients full eligibility is required before the first WIOA service given.

Basic Career Services may utilize Non-Common and/or Common Measures activities. When utilizing:

• Non-Common Measure activities, DOB/Vet verification is not required.
• Common Measure activities, the DOB/Vet verification is required.

The only eligibility verification needed for Basic Career Services is the DOB/VET verification for Adults and Dislocated Workers. The only paperwork to be collected will be the one-page Customer Information Sheet. Out-of-School Youth require full WIOA eligibility documentation.

Description of Basic Services:

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

Career Advisors should refer to the Activities Checklist for guidance on activities to report in EKOS.
B. **Individualized Services**

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

Individualized Career Services may utilize Non-Common and/or Common Measure activities.

**Description of Individualized Services:**

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

Career Advisors should refer to the Activities Checklist for guidance on activities to report in EKOS.
C. Eligibility for Individualized Services

1. Adult Eligibility Requirements

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

- Must be age 18 or older.
- Must provide and document the information proving eligibility on the WIOA-1 form.
- Must be unemployed or under-employed. An under-employed worker is defined as:
  - A worker who is working for $13.40 per hour or less.
  OR
  - A worker who is working for more than $13.40 per hour but has a documented family income that does not exceed the limits shown in the current program year’s Minimum Income Levels for Self-Sufficiency table.
- Must be unable to obtain employment or, if already employed, unable to retain or obtain employment leading to a self-sufficient wage without WIOA assistance.

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

2. Dislocated Worker Eligibility Requirements

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

- Must be age 18 or older.
- Must be unable to return to previous employment or obtain new employment without WIOA assistance.
• Must provide and document the information proving eligibility as a Dislocated Worker as shown within the WIOA-1 form.

Certain Dislocated Workers may be eligible for WIOA assistance under a National Dislocated Worker Grant. In order to be eligible under a National Dislocated Worker Grant, the client:

• Must live within EKCEP’s 23-county area.
• Must have worked for an employer listed on the Approved NDWG Employer list.

3. Out-of-School Youth Eligibility Requirements

The eligibility requirements that a person must meet to qualify for WIOA assistance as an Out-of-School Youth client are listed below. The client:

• Must be age 18 to 24.

  NOTE: Out-of-School Youth ages 16 or 17 may be served only with a written waiver from EKCEP. Career Advisors or contractors must apply for a separate waiver for each 16- or 17-year-old client they wish to serve, including details about the circumstances that make that youth appropriate for the waiver.

• Must not be enrolled in any school.
• Must provide and document the information proving eligibility as an Out-of-School Youth as shown within the WIOA-1 form.
• Must have an identified barrier to employment or education.

4. Other Eligibility Requirements

Some other client services beyond Case Management require that clients meet additional qualifying criteria, often including family income. These additional criteria are called “qualifying prerequisites” and are included in the policies for each service listed in Section E, “Paid Services” on page 31.

D. Case Management

Case Management is an individualized service that indicates that a client being served under a National Dislocated Worker Grant or Out-of-School Youth funding is interacting with and receiving the assistance and guidance of a WIOA Career Advisor. These clients should remain in Case Management as long as they are receiving any WIOA services or assistance.
Out-of-School Youth Program Elements
Out-of-School Youth Programs must be designed and coordinated with other community youth services in such a way that programs offer the 14 program elements listed below to each WIOA client served. However, WIOA is not required to provide funding for all 14 elements.

Case Management for OSY includes ensuring that the 14 elements below are offered to youth participants. The offering of the 14 Youth Elements must be documented on the Minimum Orientation Checklist or in case notes.

Out-of-School Youth Elements:

1. Tutoring, study skills training, instruction and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for clients with disabilities) or for a recognized post-secondary credential.

2. Alternative secondary school services, or dropout recovery services, as appropriate.

3. Paid and unpaid work experiences that have academic and occupational education as a component of the work experience, which may include the following types of work experiences:
   a. Summer employment opportunities and other employment opportunities available throughout the school year.
   b. Pre-apprenticeship programs.
   c. Internships and job shadowing.
   d. On-the-Job training opportunities.

4. Occupational skill training, which include priority consideration for training programs that lead to recognized post-secondary credentials that align with in-demand industry sectors or occupations in the local area involved, if the Local Board determines that the programs meet the quality criteria described in WIOA, Sec. 123.

5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.

6. Leadership development opportunities, including community service and peer-centered activities encouraging responsibility and other positive social and civic
behaviors.

7. Supportive services.

8. Adult mentoring for a duration of at least 12 months that may occur both during and after program participation.

9. Follow-up services for not less than 12 months after the completion of participation.

10. Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.


12. Entrepreneurial skills training.

13. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services.

14. Activities that help youth prepare for and transition to post-secondary education and training.

**Career Advisor Responsibilities** — When a Career Advisor enrolls a client into Case Management, the Career Advisor must:

1. Ensure that the client is eligible for WIOA services.

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

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

   OR

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

3. Guide the client through executing each of the steps in his/her Individualized Employment Plan, including providing support and encouragement, helping identify additional resources that can support his/her efforts, and helping make decisions if circumstances change during the Individualized Employment Plan.

**Enrollment Procedure** — When enrolling a person as a client in Case Management, a Career Advisor must:

1. Determine that the client is eligible under a National Dislocated Worker Grant and/or an Out-of-School Youth.
2. Complete and place the applicable eligibility paperwork and documentation into the client’s file.
3. Enroll the client into the service “Case Management” in EKOS.
4. Enter a certification case note into EKOS. (For an example, see certification case note in the Case Note policy.)

**E. Paid Services**

1. **Work Experience**

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

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

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

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

Because its primary purpose is to enable a client to experience the world of work and learn workplace behaviors, the Work Experience service is usually not appropriate for Dislocated Workers.

**Limits** — The total Work Experience provided to any one client shall not exceed 320 hours. A client’s Work Experience placement may be with one employer or with multiple employers.

The 320-hour total includes time spent in Work SENSE training and other pre-work classroom instruction if the client is paid for that time. The 320-hour limit will not include time spent in Work SENSE training and other pre-work classroom instruction if the client is not paid for that time. Clients may or may not be paid for time spent in Work SENSE training and other pre-work classroom instruction, at the local contractor’s discretion. The 320-hour total does not include basic educational skills instruction, which is an unpaid activity.

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

The number of weekly hours of Work Experience available to each client is based upon his/her score on the TABE test. A client’s TABE score also determines whether he/she is required to attend basic skills instruction as a condition of the Work Experience placement. The weekly hours of Work Experience available and instructional requirements for clients with different TABE scores are shown in the table below.

**Weekly Hours of Work Experience Allowed and Educational Skills Instruction Required to Clients at Different Educational Functioning Levels**

<table>
<thead>
<tr>
<th>Educational Functioning Level (By TABE Score)</th>
<th>Maximum Weekly Work Experience</th>
<th>Required Weekly Instruction Time</th>
<th>Required Bi-Weekly Career Advising*</th>
</tr>
</thead>
</table>

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Eastern Kentucky Concentrated Employment Program, Inc.
Adult, Dislocated Worker, and Out-of-School Youth Program Policies
Revised 07/2017
8.9 and below | 20 hours | 5 hours | 1 hour  
9.0 to 9.9 | 25 hours | None | 1 hour  
10.0 to 10.9 | 30 hours | None | 1 hour  
11.0 to 11.9 | 35 hours | None | 1 hour  
12.0 or above | 40 hours | None | 1 hour

*Clients who are receiving Work Experience are required to meet at least one hour every two weeks with their Career Advisor. Career Advisors should encourage clients who scored 9.0 or above to spend some of their nonworking time in basic skills instruction. However, attending basic skills instruction is not a requirement or condition of Work Experience for these clients.*

As shown in the table above, clients who are basic skills deficient (i.e., those who score 8.9 or below on the TABE test) are limited to 20 hours of Work Experience each week and are required to participate in at least five hours of basic educational skills instruction for each week. To accommodate employers who may prefer to avoid partial workdays, the ratio of basic skills instruction to Work Experience may be balanced in two-week periods. However, a client’s ratio must be correct at the end of every two-week period.

Basic educational skills instruction is a non-paid activity.

As shown in the table above, the number of weekly hours of Work Experience available to clients who score between 9.0 and 11.9 on the TABE test will be limited in proportion to their TABE scores. Basic skills instruction is not required for these clients.

As shown in the table above, clients who score between 12.0 or above on the TABE test may work 40 hours per week in a Work Experience placement. Basic skills instruction is not required for these clients.

Career Advisors should encourage all clients who score below 12.0 to participate in basic educational skills instruction in order to raise their TABE scores, which will enable them to earn more by qualifying for more weekly hours of Work Experience. With the consent of their Career Advisor, clients may re-test at any time during their Work Experience placement to attempt to raise their scores and qualify for more weekly hours.

NOTE: Qualifying for more weekly hours does not increase the total number of Work Experience hours a client may work. Clients are limited to a total of 320 hours, regardless of any changes in the number of weekly hours they are allowed to work.

**Career Advisor Meetings** — All clients receiving Work Experience should meet for at least 1 hour every two weeks with their Career Advisors. These regular meetings...
allow the Career Advisor to monitor the progress of the client’s Work Experience placement and “troubleshoot” any issues that may arise, monitor the client’s educational progress, and build a collaborative relationship with the client that will continue after the Work Experience placement ends.

When a Career Advisor plans an activity for the regular meeting that would be appropriate for more than one of his/her Work Experience clients, the Career Advisor may meet with those clients simultaneously. For example, if several Work Experience clients could profit from a review of customer service principles, the Career Advisor may do that review for a group of clients rather than doing it with each client individually. However, because it is important for Career Advisors to listen to clients and build a personal relationship with them, the majority of the required bi-weekly meetings should not be group meetings.

**Qualifying Prerequisites** — To be eligible for Work Experience, an Adult or Out-of-School Youth client must:

- Be determined eligible for WIOA assistance.
- Have completed Work SENSE training.
- Have completed assessments to show a correlation between the client’s skills and interests and the Work Experience.
- Have completed an Individual Employment Plan with the help of his/her Career Advisor.

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

1. Ensure that the client has been determined eligible for WIOA services.
2. Enter the client into the service “Work Experience” in EKOS.
3. Enter a case note into EKOS identifying specific employment-related learning opportunities and other reasons for enrolling the client into Work Experience. (For example case notes, see Case Notes policy.)
4. Ensure that an EKCEP Worksite Agreement between the contractor and the employer for the Work Experience placement has been properly executed.
5. Complete and place the applicable paperwork and documentation into the client’s file relating to Work Experience.

2. **Internship**

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

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

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

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

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

Limits — The total Internship provided to any one client shall not exceed 320 hours without written approval from EKCEP, Inc. Career pathways in key industry sectors and advanced skill development within those sectors will be the basis for approval. A client’s Internship placement may be with one employer or with multiple employers.

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

Qualifying Prerequisites – To be eligible for an Internship, an Adult or Dislocated Worker client must:

- Be enrolled and eligible for WIOA activities and services.
- Have completed assessments to show a correlation between the client’s skills and interests and the Internship.
- Have completed an Individual Employment Plan with the help of his/her Career Advisor.

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

1. Ensure that the client has been determined eligible for WIOA activities and services.
2. Enter the client into the service “Internship” in EKOS.
3. Enter a case note into EKOS identifying specific occupation-related learning opportunities and other reasons for enrolling the client into the Internship.
4. Ensure that an EKCEP Internship Agreement between the contractor and the employer for the Internship placement has been properly executed. Exception: The EKCEP Internship Agreement is not required when a customized contract is developed between the employer and EKCEP, Inc.
5. Complete and place the applicable paperwork and documentation into the client’s file relating to Internship.

3. On-The-Job Training (OJT)

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

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

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

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

The limit on wages paid during the training period will be specified in each contract. Wages must be appropriate and customary for a trainee in the job(s) covered by the contract.
Qualifying Prerequisites for Employers — OJT may be provided for employers in the public, non-profit, or private sectors who meet these conditions. The employer must:

- Pay a wage of at least **$10.00** per hour for the job(s) for which OJT will be provided.

- Be located within EKCEP’s 23-county service area or be providing training to a client who resides within this area. (Employers within EKCEP’s 23-county service area will be given priority.)

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

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

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

- The maximum wage EKCEP will use as a basis for OJT reimbursement is $19.25 per hour, due to the state wage cap. The employer may choose to pay the trainee a higher wage. However, the employer is responsible for 100 percent of the wages above $19.25 per hour; no portion of wages above $19.25 per hour will be reimbursed by EKCEP for an OJT.

- The employer is not eligible for OJT funds if the company has relocated within the last 120 days from another location that resulted in the loss of jobs.

- The employer cannot use OJT funded trainees to replace employees laid off within six months prior to the date of the OJT application.

- The employer may select a previous employee for OJT, but the position must be different from the one that the employee previously held at the company.

Qualifying Prerequisites for Clients — WIOA clients are eligible for OJT when they have:
• Been chosen for training by an employer who is providing OJT under a completed agreement with EKCEP.
• Completed assessments that show a correlation between the client's skills and interests and the On-the-Job Training.
• Completed an Individual Employment Plan with the help of his/her Career Advisor.

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

1. Ensure that the client has been determined eligible for WIOA services.
2. Ensure that the client has completed any required Work S.E.N.S.E. training, if required on the contract. If the client has not completed the Work S.E.N.S.E. training, the Career Advisor should arrange that training for the client and record the results when the training is complete (in both case notes and the client’s file).
3. Ensure that an EKCEP On-the-Job Training Contract between the contractor and the employer has been properly executed.
4. Place a copy of the entire completed On-the-Job Training Contract into the client’s file.
5. Enter the client into the appropriate “On-the-Job Training” service in EKOS. Ensure that the OJT enrollment selected matches the correct employer and job title for the client’s placement.
6. Enter a case note describing the placement into OJT into the client’s record in EKOS. (For example case notes, see Case Note policy.)

**4. Incumbent Worker Training**

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

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

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

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

Qualifying Prerequisites for Employers — Incumbent Worker Training may be provided for employers in the public, non-profit, or private sectors who meet these conditions. The employer must:

• Pay a wage of at least $14 per hour for the job(s) for which Incumbent Worker Training will be provided.

• Be located within EKCEP’s 23-county service area or be providing training to a client who resides within this area. (Employers within EKCEP’s 23-county service area will be given priority.)

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

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

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

Qualifying Prerequisites for Clients — WIOA clients are eligible for Incumbent Worker Training when they have:

• An established employment history with the employer for six months or more, except in cases where one or more clients who have been employed for less than six months are part of a cohort of Incumbent Worker Training employees in
which the majority of the cohort meets the six-month employment history requirement.

- Been chosen for training by an employer who is providing Incumbent Worker training under a completed agreement with EKCEP.

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

1. Ensure that the client has been determined eligible for WIOA services.
2. Ensure that an EKCEP Incumbent Worker Training Contract between the contractor and the employer has been properly executed.
3. Place a copy of the entire completed Incumbent Worker Training Contract into the client’s file.
4. Enter the client into the appropriate “Incumbent Worker Training” service in EKOS. Ensure that the Incumbent Worker Training enrollment selected matches the correct employer and job title for the client’s placement.
5. Enter a case note describing the placement into Incumbent Worker Training into the client’s record in EKOS. (For example case notes, see Case Note policy.) Due to the nature of the Incumbent Worker contracts, the client has been assessed by the employer and determined to be in need of the Incumbent Worker Training, after which the employer and EKCEP (and/or its contractor) have entered into the Incumbent Worker Training contract. Case notes must state that these assessments are in lieu of normal WIOA training assessments and Individual Employment Plan requirements.

5. **Customized Training (CT)**

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

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

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

- Base wages or salaries paid to employees during the training period.
- Per diems paid to employees if training is provided away from the employer’s
work site or home area. Per diems will be limited to federally approved rates.

- Allowable, reimbursable travel expenses paid by the employer to transport the employee to the training.
- Tuition and fees at the standard rates which are charged to all those who receive the training.
- Books and supplies required for the training.
- Wages of the trainer.
- Facility costs.

CT requires that the participating employer(s):

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

OR

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

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

**Qualifying Prerequisites for Employers** — CT may be provided for employers in the public, non-profit, or private sectors who meet these conditions. The employer must:

- Pay a wage of at least $10.00 per hour for the job(s) for which CT will be provided.

- Be located within EKCEP’s 23-county service area or be providing training to a client who resides within this area. (Employers within EKCEP’s 23-county service area will be given priority.)

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

**NOTE:** CT may also be provided in other expanding or emerging industries or occupational areas when it is in the best interest of economic development and regional economic growth. These decisions may be made on a case-by-case basis by EKCEP under the direction of the Eastern Kentucky Workforce Innovation Board.
• Be training employees whose positions represent an expansion or extension of their workforce, not routine turnover.

• The maximum wage EKCEP will use as a basis for CT reimbursement is $19.25 per hour, due to the state wage cap. The employer may choose to pay the trainee a higher wage. However, the employer is responsible for 100 percent of the wages above $19.25 per hour; no portion of wages above $19.25 per hour will be reimbursed by the CT.

• The employer is not eligible for CT funds if the company has relocated within the last 120 days from another location that resulted in the loss of jobs.

• The employer cannot use CT funded trainees to replace employees laid off within six months prior to the date of the CT application.

• The employer may choose to re-hire a previous employee for CT, but the position must be different from the one that was previously held at the company by that employee.

**Qualifying Prerequisites for Clients** — WIOA clients are eligible for CT when the client has a relationship with the employer who is providing CT in which the client:

• Has been chosen to be hired by the employer upon completion of the CT.

OR

• Is an underemployed current employee of the employer, who has made a commitment to retain the client upon successful completion of the CT.

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

1. Ensure that the client has been determined eligible for WIOA services.
2. Ensure that an EKCEP Customized Training Contract between the contractor and the employer has been properly executed.
3. Place a copy of the entire completed Customized Training Contract into the client’s file.
4. Enter the client into the “Customized Training” service in EKOS that corresponds to the appropriate employer and job title for the client.
5. Enter a case note describing the placement into Customized Training into the client’s record in EKOS. (For example case notes, see Case Note policy.)
5. Individual Training Account (ITA)

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

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

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

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

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

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

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

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

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

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

Vouchers are generally written for a single term or semester. However, a voucher may be written for an entire training program if that program is not divided into terms or semesters. A completed copy of the electronic WAFA must be placed in the client’s folder.

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

The WAFA limits ITA funding to:

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

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

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

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

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

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

**Order of Priority**

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

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

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

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

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

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

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

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

**Order of Priority**

1st Priority: Veterans and/or eligible spouses who meet existing ITA eligibility requirements.
2nd Priority: Nonveterans who meet existing ITA eligibility requirements.

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

Client Selection Procedures for ITAs: WIOA Out-of-School Youth — The Workforce Investment Act requires that local workforce areas give priority to veterans when selecting qualified Out-of-School youth into training.

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

**Order of Priority**

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

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

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

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

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

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

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

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

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

Client Eligibility for ITAs — In order to be eligible for an ITA, a client must satisfy all of the following qualifications:

- The client must have been determined eligible for WIOA services.
- The client must apply for federal or other financial aid through the school or training provider.

NOTE: Clients cannot be required to take out loans for school.

- The client must have received a detailed assessment of his/her employment outlook that takes into account all surveys, testing results, diagnostic assessment tools, and in-depth interviews with his/her Career Advisor.
- The client must have worked with his/her Career Advisor to develop an Individual Employment Plan that is based on:
  - The results of the client’s surveys, tests, assessments, and interviews.
  - A realistic understanding of the opportunities available in the current labor market.

This Individual Employment Plan must clearly identify:
— The client’s employment goals.
— Any barriers to employment faced by the client.

This Individual Employment Plan must clearly answer the six Need to Train questions:

1. Is suitable employment available?
2. Will client benefit from appropriate training?
3. Is there a reasonable expectation for employment following training?
4. Is training reasonably available?
5. Is the client qualified to undertake and complete the training?
6. Is training suitable and available on the Eligible Training Provider List (ETPL), if applicable?

• The client must lack the marketable credentials needed for self-sufficient and sustainable employment in the local area. The documented lack of a suitable credential and/or skills must be entered into the client’s case notes. (For example case notes, see Case Note policy.)

• The client must:
  
  – Be pursuing training that is in a sector that EKCEP has identified as a sector of emphasis for occupational training.
  
  OR
  
  – Have received a written waiver from the sector of emphasis requirement.

• The client must meet the academic readiness level required for the training.

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

Clients who are required to take non-credit developmental courses are not eligible for an ITA and may be referred to Adult Education for remedial services and/or considered for other more appropriate services.

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

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

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

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

OR

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

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

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

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

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

1. Ensure that the client has been determined eligible for WIOA services.
2. If training requires Workforce Coordinator approval, training must be approved prior to the start of training.
3. Work with the client and the training provider to complete the WAFA prior to the start of training.
4. Document the WAFA results in the client’s file (e.g., unofficial transcript, class schedule) and in case notes. (For example case notes, see Case Note policy.)

5. Verify with the training provider that the client is enrolled and attending the training. Enter a case note recording this verification.

6. Enroll the client into ITA training in EKOS, indicating the correct course of study, the correct training provider, and the correct funding stream.

After a client is enrolled into an ITA, the Career Advisor should:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes regarding progress through training and any job placement activities while in training. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs (e.g., referring to tutoring) become evident.
- Work to facilitate job placement activities as the client nears completion of his/her training.

After a client has completed training the Career Advisor must:

1. Complete the client from training in EKOS by:
   a. Entering the ending date for the ITA training service.
   b. Using the drop-down box to indicate whether the training was successfully completed.

2. Obtain a report of the client’s final grades and place them in the client’s file.

3. Obtain a copy of each degree(s), certificate(s), or diploma(s) earned by the client and place them in the client’s file.

4. Enter a case note into EKOS that:
   - States that the client has completed training.
   - Records the client’s final grades.
   - Records the credential(s) (degree, certificate, or diploma) earned.
   - Records the date the credential was awarded.

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

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

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

- **Sector Restriction Waiver** — Career Advisors or contractors may request that a specific client be allowed an ITA to support a program of training for an occupation that is not in a career sector that EKCEP has identified as a sector of emphasis for occupational training, or that is not currently approved by EKCEP, or that may not be listed on the ETPL. This waiver will only be approved in cases in which an employer has provided a written statement indicating that they will hire the client at a self-sufficient wage (or higher) during or after the training.

- **Tuition Limit Waiver** — Career Advisors or contractors may request permission to pay for tuition in excess of the ITA training limitations. The request must include a full description of the extenuating circumstances that justify the waiver. This request will be considered only when the training:
  
  — Will produce a self-sufficient wage.
  — Is in a career sector that EKCEP has identified as a sector of emphasis.

- **Academic Readiness Waiver** — Career Advisors or contractors may request a waiver of the requirement that a client cannot be eligible for an ITA if he/she requires a developmental class or classes. This waiver will be granted only in cases in which an authorized official from the training institution provides a written statement indicating that the institution will provide the needed developmental classes at no cost to WIOA or the client while the client is enrolled in the program of study.

These waivers must be granted in writing by EKCEP before the start of the training period. A copy of the written approval of a waiver must be included in the affected client’s file. The granting of the waiver should be entered into EKOS in a case note.

6. Non-Individual Training Account (Non-ITA)

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

Non-ITA is provided under a contract with EKCEP (or its contractor) with a training provider. EKCEP develops the Non-ITA contract with the training provider in coordination with contractor staff. The contract establishes the curriculum for the Non-ITA and must address the minimum level of Work S.E.N.S.E. training that will be required by the contract.
Client Eligibility for Non-ITAs — In order to be eligible for a Non-ITA, a client must satisfy all of the following qualifications:

- The client must have been determined eligible for WIOA services.

- The client must have received a detailed assessment of his/her employment outlook that takes into account all surveys, testing results, diagnostic assessment tools, and in-depth interviews with his/her Career Advisor.

- The client must have worked with his/her Career Advisor to develop an Individual Employment Plan that is based on:
  - The results of the client’s surveys, tests, assessments, and interviews.
  - A realistic understanding of the opportunities available in the current labor market.

This Individual Employment Plan must clearly identify:

- The client’s employment goals.
- Any barriers to employment faced by the client.

This Individual Employment Plan must clearly answer the six Need to Train questions:

1. Is suitable employment available?
2. Will client benefit from appropriate training?
3. Is there a reasonable expectation for employment following training?
4. Is training reasonably available?
5. Is the client qualified to undertake and complete the training?
6. Is training suitable and available on the Eligible Training Provider List (ETPL), if applicable?

- The client must lack the marketable credentials needed for self-sufficient and sustainable employment in the local area. The documented lack of a suitable credential and/or skills must be entered into the client’s case notes. (For example case notes, see Case Note policy.)

- The client must:
  - Be pursuing training that is in a sector that EKCEP has identified as a sector of emphasis for occupational training.
OR

- Have received a written waiver from the sector of emphasis requirement.

- The client must meet the academic readiness level required for the training.

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

1. Ensure that the client has been determined eligible for WIOA services.
2. If the training requires Workforce Coordinator approval, the training must be approved before the start of training.
3. Verify with the training provider that the client is enrolled and attending the training. Enter a case note recording this verification.
4. Enroll the client into Non-ITA training in EKOS, indicating the correct course of study, the correct training provider, and the correct funding stream.

After a client is enrolled into a Non-ITA, the Career Advisor should:

- Maintain regular contact with the client on a monthly basis.
- Enter regular case notes regarding progress through training and any job placement activities while in training. (For example case notes, see Case Note policy.)
- Work to maintain the career advising relationship and provide continued support and assistance as needs (e.g., referral to tutoring) become evident.
- Work to facilitate job placement activities as the client nears completion of his/her training.

After a client has completed training the Career Advisor must:

1. Complete the client from training in EKOS by:
   
   a. Entering the ending date for the Non-ITA training service.
   b. Using the drop-down box to indicate whether the training was successfully completed.

2. Obtain a report of the client’s final grades and place them in the client’s file.

3. Obtain a copy of each degree(s), certificate(s), or diploma(s) earned by the client and place them in the client’s file.

4. Enter a case note into EKOS that:
- States that the client has completed training.
- Records the client’s final grades.
- Records the credential(s) (degree, certificate, or diploma) earned.
- Records the date the credential was awarded.

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

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


7. Supportive Services

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

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

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

Each payment for items must be approved by the appropriate EKCEP Workforce Coordinator. No limit is set for Supportive Services assistance related to training or employment, as contractor budgets allow.

**Transportation Supportive Services for Clients Enrolled in Training** — Supportive Services for clients who are enrolled in training will consist of commuting assistance, provided according to the following guidelines:

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**Eastern Kentucky Concentrated Employment Program, Inc.**
**Adult, Dislocated Worker, and Out-of-School Youth Program Policies**
**Revised 07/2017**
• Commuting assistance may be paid if the distance to the training site is over 50 miles one way from the client’s residence.
• Commuting assistance may be paid in advance or through reimbursement for round-trip travel from the client’s residence to the training site for each day of class.
• The Career Advisor will calculate mileage reimbursement based on the current EKCEP rate (which is also the State rate, updated quarterly).
• Payment is limited to $250 per week for each client in short-term training (6 months or less).
• Payment is limited to $750 per month for each client in long-term training (over 6 months).
• Clients who are in long-term training may choose to use their payment for hotel lodging or housing while they are in training, rather than to commute on a daily basis. However, the Career Advisor will still calculate the amount of the reimbursement based on the current EKCEP mileage rate (which is also the State rate, updated quarterly) for each day of class.

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

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

OR

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

Each client must be approved for gas card assistance by the appropriate EKCEP Workforce Coordinator on a case-by-case basis. The contractor’s gas card log sheet must be completed when the gas card is distributed. The Career Advisor must provide documentation of each client’s qualifying circumstances in case notes and in the client case file on the Gas Card Travel Assistance Request Form.
Supportive Services assistance through gas cards is limited to $350 per client, as contractor budgets allow.

**Out-of-Area Supportive Services for New Hires** — A client who has been hired by an out-of-area employer usually needs additional assistance to make a successful start in a new job because he/she will not receive his/her first paycheck for several weeks after beginning work. Therefore, a Supportive Services payment may be provided in advance to clients who need to relocate over 50 miles from their residence in order to accept employment, using the following guidelines:

- An EKCEP Workforce Coordinator must approve each specific request for additional Supportive Services for a client who will be a new hire with an out-of-area employer.
- The amount of the additional Supportive Services payment will be based on calculations of up to four weeks for meals and travel.
  - Meal reimbursement may be provided at the current approved EKCEP rates: $31 per day (Breakfast $7, Lunch $8, and Dinner $16) for 7 days, with a total of $217 per week.
  - Travel for round trip mileage to the worksite may be provided according to the current EKCEP rate of mileage reimbursement (which is also the State rate, updated quarterly).
- Once approved, payments may be made to the client in advance, as possible.
- The client’s Career Advisor must document the payment in the case file as well as in case notes, identifying all the details above, including the approval.

**Qualifying Prerequisites for Clients** — WIOA clients are eligible for Supportive Services when the client has a working relationship with the Career Advisor who has determined a client has a need for Supportive Services.

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

1. Ensure that the client has been determined eligible for WIOA services.
2. Ensure that proper documentation related to the Supportive Service request is found in the file.
3. If Supportive Services requires Workforce Coordinator approval, must be approved prior to payment.
4. Enter the client into the “Supportive Services” service in EKOS.
5. Enter a case note describing the placement into Supportive Services into the client’s record in EKOS. (For example case notes, see Case Note policy)

**8. Out-of-Area Job Search**
A client who is seeking employment by an out-of-area employer usually needs additional assistance in conducting job search activities, attending interviews, or completing other pre-employment requirements. Therefore, an Out-of-Area Job Search payment may be provided in advance to clients who are seeking employment over 50 miles from their residence, using the following guidelines:

- An EKCEP Workforce Coordinator must approve each specific request for Out-of-Area Job Search assistance for a client who is seeking employment with an out-of-area employer.
- The amount of the Out-of-Area Job Search payment will be based on calculations for meals for overnight travel and travel for round trip mileage.
  - Meal reimbursement may be provided at the current approved EKCEP rates: $31 per day (Breakfast $7, Lunch $8, and Dinner $16) for 7 days, with a total of $217 per week.
  - Travel for round trip mileage to the worksite may be provided according to the current EKCEP rate of mileage reimbursement (which is also the State rate, updated quarterly).
- Once approved, payments may be made to the client in advance, as possible.
- The client’s Career Advisor must document the payment in the case file as well as in case notes, identifying all the details above, including the approval.

The payment may be made as an advance before the purchase (with Career Advisor verification) or reimbursement after out-of-area travel, with confirmation from the employer. The Career Advisor must provide documentation of the costs and the need in case notes and the client’s file.

Each payment for items must be approved by the appropriate EKCEP Workforce Coordinator. No limit is set for Out-of-Area Job Search assistance, as contractor budgets allow.

**Qualifying Prerequisites for Clients** — WIOA clients are eligible for Out-of-Area Job Search assistance when the client has a working relationship with the Career Advisor who has determined a client has a need for Out-of-Area Job Search assistance.

**Enrollment Procedure** — When enrolling a client into Out-of-Area Job Search, a Career Advisor must:

1. Ensure that the client has been determined eligible for WIOA services.
2. Ensure that proper documentation related to the Out-of-Area Job Search request is placed in the file.
3. If Out-of-Area Job Search requires Workforce Coordinator approval, this
approval must be obtained prior to payment.
4. Enter the client into the “Out-of-Area Job Search” service in EKOS.
5. Enter a case note describing the placement into Out-of-Area Job Search into the client’s record in EKOS. (For example case notes, see Case Note policy)

9. Needs-Based Payments

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

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

Qualifying Prerequisites for Clients — To be eligible for Needs-Based Payments, Adult and/or Dislocated Worker clients must meet the following criteria:

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

AND

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

AND

(c) Be unemployed, and:

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

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

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

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

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

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

Furthermore, WIOA Needs-Based Payments should not replace or reduce any other federal financial assistance for which the client may be eligible or entitled, including WIOA support payments.
Calculation Method — Needs-Based Payments will be made monthly, but are based on the weekly UI amount the client was receiving before UI benefits were exhausted, if the client received UI benefits.

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

• $400 per week.

OR

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

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

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

For example: $400 (UI per week) \(\times\) 52 = $20,800
\(\frac{20,800}{12\text{ (months)}} = \$1,733.33\text{ Monthly Payment}\)

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

For example: $320 (UI per week) \(\times\) 52 = $16,640
\(\frac{16,640}{12\text{ (months)}} = \$1,386.67\text{ Monthly Payment}\)

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

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

1. Ensure that the client has been determined eligible for WIOA services.
2. Ensure that proper documentation related to the Needs-Based Payment request is found in the file.
3. If Needs-Based Payments require Workforce Coordinator approval, this approval must be obtained before payments begin.
4. Enter the client into the “Needs-Based Payment” service in EKOS.
5. Enter a case note describing the placement into Needs-Based Payment into the client’s record in EKOS. (For example case notes, see Case Note policy.)
10. Relocation Assistance

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

- It has been determined that there is no reasonable expectation that the client can obtain suitable work within the commuting area in which he/she resides. Case notes must document this finding.

- The client has either been hired for or received a bona fide offer of suitable work of long-term duration in the area of intended relocation. “Suitable work” is work that matches the client’s skills, abilities and income needs. The Career Advisor must verify this offer of permanent employment and document the verification on the Employment Verification form and in the client’s case notes. The case notes should also include the data that indicate that the work is suitable for this client.

- The client must be unable to obtain adequate relocation assistance through other programs providing such services.

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

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

**Qualifying Prerequisites for Clients** — WIOA clients are eligible for Relocation Assistance when the client has a working relationship with the Career Advisor who has determined a client has a need for Relocation Assistance.

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

1. Ensure that the client has been determined eligible for WIOA services.
2. Ensure that proper documentation related to the Relocation Assistance request is found in the file.
3. If Relocation Assistance requires Workforce Coordinator approval, this approval must be obtained prior to payment.
4. Enter the client into the “Relocation Assistance” service in EKOS.
5. Enter a case note describing the placement into Relocation Assistance into the client’s record in EKOS. (For example case notes, see Case Note policy)

F. **Completions and Exits**

A client’s completion from a WIOA service should be documented in EKOS with a corresponding case note within 10 business days of the completion. The client’s successful or unsuccessful completion of the WIOA service must be documented in EKOS Services and case notes.

When a client has had a lapse of 90 calendar days without any active WIOA services and is not scheduled for future services, all WIOA services must be completed.

G. **Follow-Up**

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

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

Attachment One, Follow Up Determination Flow Chart, found on Page 103, will define when Follow-Up is required for Adults and Dislocated Workers.

**Follow-Up for Out-of-School Youth** — Follow-Up must be provided for 12 months following completion to unsubsidized employment or to post-secondary education.
Out-of-School Youth will be required to be entered into a Follow-Up service in EKOS. Out-of-School Youth requires a monthly follow-up contact and case note.

**H. Performance**

WIOA tracks client performance on the basis of job retention, wage gain, credential attainment, completions, and placements. Performance measures are negotiated annually and reflected within the executed EKCEP WIOA contract.

**Section Four: Record Keeping and Reporting**

**A. Case Notes**

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

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

A Career Advisor should record a case note whenever:

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

Case notes should be written at the time of the event or contact and entered into EKOS within 10 business days.

**B. Case Note Contents**

All case notes should begin with the year, month, and day of the event, numerically in the following format: YYYY/MM/DD. (Example: March 17, 2019 would be written as 2019/03/17.)

Case notes should include the:

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

Case notes should not include:

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

C. Types of Case Notes
Case notes can be divided into the following classifications:

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

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

   **Example Intake Case Note 1:**
   “2019/07/04
   Kim came into the office today inquiring about the Job Club. I provided her with the Job Club brochure and gave her the date, time, and location of the next Job Club meeting.”

   **Example Intake Case Note 2:**
   “2019/07/04
   Phil came into the office today inquiring about training. I explained our services to Phil and referred him to the Adult Education program to take the TABE test. He is scheduled to meet with me on 2019/07/21 to discuss the results of his test and the services that we may provide him.”

2. **Certification Case Note** – The certification case note records the verification of eligibility, items for data validation, and — if appropriate — enrollment into Case Management. (Only clients being enrolled as a National Dislocated Worker Grant or Out-of-School Youth client will be enrolled into Case Management.) The certification case note should include:
• A statement that the client has provided the proper documentation needed for eligibility. (It is not necessary for the case note to list each document provided.)

• A statement describing the client's circumstances and personal characteristics, such as:
  — Food stamp recipient.
  — Veteran.
  — Single parent.
  — Dislocated Worker.
  — Out-of-School Youth.
  — Incumbent Worker.
  — Displaced homemaker.
  — Individual with a disability.
  — High school dropout.
  — Basic skills deficient.
  — Unemployed.
  — Employed.
  — Underemployed.
  — Offender (criminal justice).

• A statement that gives the name of each assessment and/or test (e.g., TABE, NCRC) given to the client and its results.

• A statement detailing the services that the client will be enrolled into such as:
  — Case Management. (All Out-of-School Youth and NDWG clients must be enrolled into Case Management.)
  — On-the-Job Training.
  — Customized Training.
  — Training.
  — Work Experience.

• A statement that explains or justifies enrolling the client into the chosen services.

• A statement detailing any additional activities required by the client such as:
  — Work S.E.N.S.E. workshop.
  — Work Certified training.
  — Academic enrichment.
  — Job Club.
Certification Case Note Format:
“YYYY/MM/DD
[Client Name] provided me with all the source documents needed to determine eligibility. He/she is a(n) [NDWG, Out-of-School Youth, Displaced Homemaker, basic skills deficient, unemployed, under-employed, employed, food stamp recipient, single parent, individual with a disability, high school dropout — include all that apply]. He/she will be enrolled into Case Management on YYYY/MM/DD [Enroll into Case Management only if he/she is an NDWG and Out-of-School Youth].

[Client Name] was given the [TABE, NCRC, other test or assessment] and his/her scores showed [results of the tests/assessments].

His/Her goal is to become a [career or occupation]. [Client Name] will be enrolled into [course of training] at [training institution or provider] on YYYY/MM/DD.”

Example Certification Case Note:
“2019/07/04
Carol provided me with all the source documents needed to determine eligibility. She is an adult, unemployed, single parent who is receiving food stamps. She has taken the TABE test and scored proficient in reading (11.9) but deficient in math (7.2). Based upon her TABE test results, I referred Carol to the Adult Education center for academic enrichment. Her goal is to become a Certified Nurse’s Assistant. She will be enrolled into CNA training at Southeast Community and Technical College on 2019/08/24.”

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

Contact Case Note Format 1 – Contact:
“YYYY/MM/DD
I contacted [Client Name] by [email, text, phone call, Facebook]. We discussed [describe]. We worked on [describe].

Example Contact Case Note (Format 1 — Contact):
“2019/07/04
I contacted Chloe by Facebook. We discussed her recent interview with XYZ Manufacturing. We worked on how to follow up with an employer following an interview.

Contact Case Note Format 2 – Career Advising Appointment:
“YYYY/MM/DD
I met with [Client Name] for a career advising appointment. We discussed [describe]. We worked on [describe]. The [List] activity was added in EKOS.”

Example Contact Case Note (Format 2 – Career Advising Appointment):
“2019/07/04
I met with Mark for a career advising appointment. We discussed available Hot Jobs and I gave him a flyer for an upcoming job fair. We worked on his resume to give to employers at the job fair. The Career Guidance activity was added in EKOS.”

Contact Case Note Format 3 — Referral
“YYYY/MM/DD
[Client Name] participated in a career advising appointment. We discussed [describe]. He/she identified a need for [List Need] that can be addressed with [List Partner/Non-Partner Agency Name]. I provided him/her with [contact information, flyer, etc.] for assistance. [Please document if you contacted the partner directly for the client]. The [List] activity was added in EKOS.”

Example Contact Case Note (Format 3 — Referral)
“2019/07/04
Paul participated in a career advising appointment. We discussed his upcoming interview for a position with the local hospital. He identified a need for interview clothes that can be addressed with assistance from the Salvation Army. I provided him with contact information for the Salvation Army representative to receive assistance. The Referral to Non-Partner activity was added in EKOS.”

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

4. Activity Enrollment Case Notes – Activity enrollment case notes document a client’s enrollment into a WIOA activity (e.g., Work S.E.N.S.E. training, Job Club). Activity enrollment case notes will include the name of the activity and verification that the client participated, as shown in the formats and examples below:

Work S.E.N.S.E. Training Case Note Format:
“YYYY/MM/DD
[Client Name] attended Work S.E.N.S.E. training at [Location]. The client’s training attendance was verified by [Verifier’s Name] with [Training Provider] at [Verifier’s Contact Information]. The Workshop Attendance Activity was added in EKOS.”

Example Work S.E.N.S.E. Training Case Note:
“2019/07/04
Jill attended Work S.E.N.S.E. training at KCC JobSight Hazard. The client’s training attendance was verified by Bonnie with EKCEP at 606.436.5751. The Workshop Attendance Activity was added in EKOS.”

Ethics S.E.N.S.E. Training Case Note Format:
“YYYY/MM/DD
[Client Name] attended Ethics S.E.N.S.E. training at [Location]. The client’s training attendance was verified by [Verifier’s Name] with [Training Provider] at [Verifier’s Contact Information]. The Workshop Attendance Activity was added in EKOS.”

Example Ethics S.E.N.S.E. Training Case Note:
“2019/07/04
Mark attended Ethics S.E.N.S.E. training at Bell-Whitley CAA. The client’s training attendance was verified by Bonnie with EKCEP at 606.436.5751. The Workshop Attendance Activity was added in EKOS.”

Job Club Case Note Format:
“YYYY/MM/DD
[Client Name] attended Job Club at [Location]. The client’s attendance was verified by Job Club Facilitator/Career Advisor [Verifier’s Name]. The Job Finding Club Activity was added in EKOS by Job Club Facilitator.”

Example Job Club Case Note:
“2019/07/04
Raymond attended Job Club at Harlan CAA. The client’s attendance was verified by Job Club Facilitator/Career Advisor Abby. The Job Finding Club Activity was added in EKOS by Job Club Facilitator.”

5. **Individual Employment Plan Case Notes** – Individual Employment Plan case notes document progress the Career Advisor and client have made together toward developing and defining the client’s career goals and identifying the steps needed to achieve the defined goal. Formats and examples of Individual Employment Plan case notes appear below:
Individual Employment Plan Case Note Format 1:
“YYYY/MM/DD
[Client Name] is interested in creating a plan to develop his/her career options. He/she is interested in a career in [list specific occupations, career fields, etc.]. He/she completed the [Career Coach/CareerScope/Other] Assessment. His/her [Career Coach/CareerScope/Other] assessment score was XXX. This score [supports/doesn’t support] a career in [list career]. The next steps will be to [list next steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals.”

Example Individual Employment Plan Case Note (Format 1):
“2019/07/04
Rodney is interested in creating a plan to develop his career options. He is interested in a career in Construction Laborer. He completed the Career Coach Assessment. His Career Coach assessment score was RSC (Realistic, Social, Conventional). This score supports a career in Construction Laborer. The next steps will be to review his current skills and education to determine what is transferrable to a Construction Laborer position. An appointment has been made for 2019/07/11 to continue working on career goals.”

Individual Employment Plan Case Note Format 2:
“YYYY/MM/DD
[Client Name] is working on a career goal of becoming a [List Career]. The regional labor market information for [List Career] career path shows [List Labor Market Information]. The next steps will be to [List Next Steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals.”

Example Individual Employment Plan Case Note (Format 2):
“2019/07/04
Kortney is working on a career goal of becoming a Registered Nurse. The regional labor market information for Registered Nurse career path shows an expected 19% growth between 2012 and 2022. The entry level salary for a Registered Nurse in 2014 was $41,754 per year. Kortney will have to complete an Associate’s Degree or Bachelor’s Degree in Nursing and be licensed as a Registered Nurse in order to obtain employment in this career path. The next steps will be to review post-secondary colleges and universities that offer a Registered Nursing program, the associated costs, and the requirements to enter a Registered Nursing Program. An appointment has been made for 2019/07/11 to continue working on career goals.”

Individual Employment Plan Case Note Format 3:
“YYYY/MM/DD

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[Client Name] is working on a career goal of becoming a [List Career]. [Client Name] has the following skills, education, and employment history that support this career path: [List Skills, Education, and Employment History]. In order to secure a career as a [List Career], [Client Name] would need to acquire these skills: [List Skills]. This career path requires/postsecondary training. Therefore, the client will need to complete a [Duration] training in [Training Program] in order to obtain this employment. The next steps will be to [List Next Steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals.”

Example Individual Employment Plan Case Note (Format 3):

“2019/07/04
Mickey is working on a career goal of becoming a Class A CDL Driver. Mickey has the following skills, education, and employment history that support this career path: experience driving large trucks during 12-year employment on a strip-mining job. He also has a high school diploma. In order to secure a career as a Class A CDL Driver, Mickey would need to acquire these skills: training and licensure as a Class A CDL Driver. This career path requires postsecondary training. Therefore, the client will need to complete a four-week training in Class A CDL in order to obtain this employment. The next steps will be to review training programs that offer Class A CDL training, the associated costs, and the requirements to enter a Class A CDL training program. An appointment has been made for 2019/07/13 to continue working on career goals”.

Individual Employment Plan Case Note Format 4:

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

Example Individual Employment Plan Case Note (Format 4):

“2019/07/04
Amy is working on a career goal of becoming a Phlebotomist. Amy and I worked on her Individual Employment Plan and completed the information in EKOS. The next step will be to update her resume to reflect her completion of Phlebotomy training. An appointment has been made for 2019/07/12 to continue working on career goals.”

Individual Employment Plan Case Note Format 5:

“YYYY/MM/DD

Eastern Kentucky Concentrated Employment Program, Inc. 
Adult, Dislocated Worker, and Out-of-School Youth Program Policies
Revised 07/2017
[Client Name] is working on a career goal of becoming a [List Career]. Today, we worked on [List Activities] to further his/her progress toward reaching his/her goal. The next steps will be to [List Next Steps]. An appointment has been made for [YYYY/MM/DD] to continue working on career goals.”

Example Individual Employment Plan Case Note (Format 5):
“2019/07/04
Emily is working on a career goal of becoming a Welder. Today, we worked on updating her resume to further her progress toward reaching her goal. The next steps will be to submit her resume for welding positions in her area. An appointment has been made for 2019/07/07 to continue working on career goals.”

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

Work Experience Enrollment Case Note Format:
“YYYY/MM/DD
[Client Name] was enrolled into Work Experience on YYYY/MM/DD. He/she will be working for [Employer], beginning on YYYY/MM/DD.”

Example Work Experience Enrollment Case Note:
“2019/09/04
Ellen was enrolled into Work Experience on 2019/08/15. She will be working for Acme World Energy, beginning on 2019/09/05.”

Work Experience Progress Case Note Format:
“YYYY/MM/DD
[Client Name] continues to participate in Work Experience at [Employer]. The timesheet shows that he/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. A copy of the timesheet has been placed in the file. His/her supervisor [Name] reported that the client [Document Work Experience Progress, Issues]. [Client Name] has participated in [time frame] of weekly career advising. During the career advising session, we discussed [Document career advising session topics].”

Example Work Experience Progress Case Note:
“2019/07/04
Ryan continues to participate in Work Experience at the Brock Law Office. The timesheet shows that he has completed 160 of the allotted 480 hours as of 2019/06/30. A copy of the timesheet has been placed in the file. His supervisor Brock reported that the client continues to do well with basic assistant duties such
as answering phones, sending email, and greeting clients. There are no issues at this time. Ryan has participated in one hour of weekly career advising. During the career advising session, we discussed how to provide good customer service to those clients he encounters while at Brock Law Office.”

Work Experience Completion Case Note Format

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

Example Work Experience Completion Case Note

“2019/07/04
Michael has completed Work Experience with Acme Welding as a Welder. The Work Experience completion date was 2019/06/30. He completed 240 total training hours. Michael has obtained the following skills as a result of the Work Experience: arc welding, MIG welding, TIG welding, and gas pipe welding. Upon completion of the Work Experience, he does not continue employment with Acme Welding. The employment was not continued because the position was a temporary one to build welding skills for future employment opportunities.”

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

Internship Enrollment Case Note Format:

“YYYY/MM/DD
[Client Name] was enrolled into Internship on YYYY/MM/DD. He/she will be working for [Employer], beginning on YYYY/MM/DD.”

Example Internship Enrollment Case Note:

“2019/09/04
Emma was enrolled into Internship on 2019/08/15. She will be working for Regional Healthcare, beginning on 2019/09/05.”

Internship Progress Case Note Format:

Eastern Kentucky Concentrated Employment Program, Inc.
Adult, Dislocated Worker, and Out-of-School Youth Program Policies
Revised 07/2017
“YYYY/MM/DD
[Client Name] continues to participate in an Internship at [Employer]. The timesheet shows that he/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. A copy of the timesheet has been placed in the file. His/her supervisor [Name] reported that the client [Document Internship Progress, Issues].”

Example Internship Progress Case Note:
“2019/07/04
Ethan continues to participate in an Internship at the Justice Management Firm. The timesheet shows that he has completed 320 of the allotted 480 hours as of 2019/04/15. A copy of the timesheet has been placed in the file. His supervisor Terry reported that the client continues to do well with basic assistant duties such as answering phones, sending email, and greeting clients. There are no issues at this time.”

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

Example Internship Completion Case Note
“2019/07/04
James has completed an Internship with XYZ Coding as a Software Programmer. The Internship completion date was 2019/06/30. He completed 600 total training hours. Michael has obtained the following skills as a result of the Internship: writing/updating computer software programs, solving known errors in software, and developing new software programs to meet the client’s needs. Upon completion of the Internship, he does not continue employment with XYZ Coding. He gained employment with Software Logistics as a Programmer on 2019/07/02.”

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

OJT Enrollment Case Note Format:
“YYYY/MM/DD

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

Example OJT Enrollment Case Note:

“2019/07/04

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

OJT Progress Case Note Format 1:

“YYYY/MM/DD

[Client Name] continues to participate in an OJT at [Employer]. He/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. His/her supervisor, [Name], reported that the client [Document OJT Progress, Issues].”
Example OJT Progress Case Note (Format 1):
“2019/07/04
Tara continues to participate in an OJT at City Ambulance Service. She has completed 240 of the allotted 480 hours as of 2019/06/30. Her supervisor, Dorothy, reported that the client is improving her EMT skills, especially patient assessment. Tara is punctual and completes all her tasks daily and there are no issues with her performance.”

OJT Progress Case Note Format 2
“YYYY/MM/DD
[Client Name] continues to participate in an OJT at [Employer] as a [Position]. He/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. [Client Name] reported that [document OJT progress, client needs, issues].”

Example OJT Progress Case Note (Format 2)
“2019/07/04
Clark continues to participate in an OJT at New Autos Dealership as a Mechanic. He has completed 40 of the allotted 480 hours as of 2019/07/04. Clark reported that he is learning about the mechanic processes required by the dealership. He reports that he is in need of a set of automotive hand tools, as they are not provided by the employer. I will follow up with him to get the proper documentation to submit a Supportive Services request.”

OJT Progress Case Note Format 3 (Written and Entered by Employer Services Representative)
“YYYY/MM/DD
[Client Name] continues to participate in an OJT at [Employer] as a [Position]. He/she has completed XXX of the allotted XXX hours as of YYYY/MM/DD. [Client Name] reported that [document OJT progress, client needs, issues]. His/her Supervisor, [Name], reported that the client [document OJT progress, issues].”

Example OJT Progress Case Note (Format 3 -- by Employer Services Representative)
“2019/07/04
Aubrey continues to participate in an OJT at City Newspaper as a Copy Editor. She has completed 80 of the allotted 480 hours as of 2019/07/01. Aubrey reported that she is learning about the newspaper industry, how to correctly edit newspaper copy, and has no additional needs at this time. Her Supervisor, Kim, reported that the client is a quick learner who is doing very well at improving her editing skills. There are no issues at the current time.”

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

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

OJT Completion Case Note Format
“YYYY/MM/DD
[Client Name] has completed an OJT with [Employer] as a [Position]. The OJT completion date was YYYY/MM/DD. He/she completed XXX total training hours. He/she has obtained the following skills as a result of the OJT: [List Job Skills Obtained that was detailed in the OJT Contract.] Upon completion of the OJT, [Client Name] [continues/does not continue] employment with [Employer] as a [Position]. [If continues, add:] He/she is earning an hourly wage of $XX.XX, as verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment.]”

Example OJT Completion Case Note
“2019/07/04
Tina has completed an OJT with Grayson Insurance Company as an Insurance Agent. The OJT completion date was 2019/06/28. She completed 480 total training hours. She has obtained the following skills as a result of the OJT: knowledge of insurance policy requirements, ability to initiate and complete sales, computer skills to track and update current and potential clients. Upon completion of the OJT, Tina continues employment with Grayson Insurance
Company as an Insurance Agent. She is earning an hourly wage of $14.00, as verified by Jason with Grayson Insurance Company at 606.333.3333.”

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

**Incumbent Worker Training Enrollment Case Note Format:**

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

**Example Incumbent Worker Training Enrollment Case Note:**

“2019/11/23
Alex was enrolled into Incumbent Worker Training on 2019/11/22. He is a current employee of Expert Plumbing Service and will be receiving training in computer aided design software for designing plumbing structures. The training will be delivered by Modern Plumbing Software CAD.”

**Incumbent Worker Training Progress Case Note Format:**

“YYYY/MM/DD
[Client Name] continues to participate in Incumbent Worker Training at [Employer]. The invoice shows that he/she has completed XXX of the required XXX training hours as of YYYY/MM/DD. A copy of the invoice has been placed in the file. His/her supervisor [Name] reported that the client [Document Incumbent Worker Progress, Issues].”

**Example Incumbent Worker Training Progress Case Note:**

“2019/12/04
Keith continues to participate in Incumbent Worker Training at the Expert Plumbing Service. The invoice shows that he has completed 20 of the required 200 training hours as of 2019/12/04. A copy of the invoice has been placed in the file. His supervisor Fred reported that the client continues to do well with learning about how to design plumbing systems using a computer. He has passed his first module and there are no issues at this time.”

**Incumbent Worker Training Completion Case Note Format**

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

Example Incumbent Worker Training Completion Case Note
“2019/07/04
Gary has completed the Incumbent Worker Training with Modern Plumbing Software CAD and has gained the skills to operate computer aided design software for plumbing systems. The Incumbent Worker Training completion date was 2019/06/30. He completed 200 total training hours. Gary has obtained the following certifications as a result of the Incumbent Worker Training: creating/editing plumbing designs, identifying problem locations during times of water/sewer line breakages, and developing new plumbing designs to meet the client’s needs. Upon completion of the Internship, he continues employment with Expert Plumbing Service. Since his completion of the Incumbent Worker Training, he has received a pay increase of $2 per hour due to the new skills he has obtained.”

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

Customized Training Enrollment Case Note Format:
“YYYY/MM/DD
[Client Name] was enrolled into Customized Training on YYYY/MM/DD. He/she will be working for [Employer], beginning on YYYY/MM/DD, and receiving training in [Skills]. The training will be delivered by [Training Provider].”

Example Customized Training Enrollment Case Note:
“2019/11/23
Dave was enrolled into Customized Training on 2019/11/21. He will be working for Acme Tool Mfg., beginning on 2019/11/30, and receiving training in computer-guided lathe operation. The training will be delivered by MasterLathe Corp.”

Customized Training Progress Case Note Format:
“YYYY/MM/DD

Eastern Kentucky Concentrated Employment Program, Inc.
Adult, Dislocated Worker, and Out-of-School Youth Program Policies
Revised 07/2017
[Client Name] continues to participate in a Customized Training at [Employer]. His/her instructor [Name] reported that the client [Document Customized Training Progress, Issues].”

Example Customized Training Progress Case Note:
“2019/07/04
Shawn continues to participate in a Customized Training with MasterLathe Corporation. His instructor Jay reported that the client continues to do well learning how to operate a computer-guided lathe. He has learned the basic skills and maneuvers and is now learning more complex topics related to operating a computer-guided lathe. There are no issues at this time.”

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

Example Customized Training Completion Case Note
“2019/07/04
Johnny has completed the Customized Training with MasterLathe Corporation, learning to operate a computer-guided lathe. The Customized Training completion date was 2019/06/30. He completed three training modules for 75 total training hours. Johnny has obtained the following skills as a result of the Customized Training: setting up the machine for proper operation, basic machining skills, and determining tool offsets. Upon completion of the Customized Training, he continues employment with Acme Tool Manufacturing.”

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

ITA Enrollment Case Note Format:
“YYYY/MM/DD

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Eastern Kentucky Concentrated Employment Program, Inc.
Adult, Dislocated Worker, and Out-of-School Youth Program Policies
Revised 07/2017
[Client Name] was enrolled into ITA training on YYYY/MM/DD. He/she will be pursuing a [degree/certification] in [course of study] at [Training Provider or Institution]. I contacted [Training Provider or Institution] and spoke with [Name and Title], who verified that [Client Name] began attending training on YYYY/MM/DD.”

Example ITA Enrollment Case Note:
“2019/09/01
Beth was enrolled into ITA training on 2019/08/21. She will be pursuing a degree in nursing at Southeast Community and Technical College (SEKCTC). I contacted SEKCTC by phone at 606-555-1234 and spoke with Ann Smith, registrar, who verified that Beth was in attendance as of 2019/09/01.”

ITA Progress Case Note Format:
“YYYY/MM/DD
[Client Name] is currently enrolled in ITA training in [Training]. He/she states that [Document Training Progress, Issues]. He/she reported that he/she [needs/does not need] additional assistance with current training. [If There Are Needs, Explain Here.] His/her instructor, [Name], reported that the client [Document Training Progress, Issues] and [is attending class regularly/has had attendance issues]. [If There Are Attendance Issues, Explain Here.]”

Example ITA Progress Case Note:
“2019/07/04
Kyle is currently enrolled in ITA training in Mortuary Science. He states that training is going well and he is learning new skills and techniques weekly. He reported that he does not need additional assistance with current training. His instructor, Ben, reported that the client does really well comprehending the material, uses his training in the laboratory setting, and is attending class regularly.”

ITA Completion Case Note Format
“YYYY/MM/DD
[Client Name] completed his/her ITA training in [Training] on YYYY/MM/DD. He/she [obtained/did not obtain] a [degree/certification] in [Training], as documented by the [transcript, certificate, diploma, license] placed in the file. [If the client does not successfully complete training, provide information why the training was not continued and whether the client or training provider chose to end the training.]”

Example ITA Completion Case Note
“2019/07/04

Eastern Kentucky Concentrated Employment Program, Inc.
Adult, Dislocated Worker, and Out-of-School Youth Program Policies
Revised 07/2017
Tabitha completed her ITA training in LPN on 2019/06/30. She obtained an Associate’s Degree in Licensed Practical Nursing, as documented by the diploma placed in the file.

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

Non-ITA Enrollment Case Note Format:
“YYYY/MM/DD
[Client Name] was enrolled into Non-ITA training on YYYY/MM/DD. He/she will be pursuing a [degree/certification] in [course of study] at [Training Provider or Institution]. I contacted [Training Provider or Institution] and spoke with [Name and Title], who verified that [Client Name] began attending training on YYYY/MM/DD.”

Example Non-ITA Enrollment Case Note:
“2019/09/01
Charlotte was enrolled into Non-ITA training on 2019/08/21. She will be pursuing a certification as a CNC operator at Southern Training Institute. I contacted Southern Training Institute by phone at 606-555-1234 and spoke with Jack Collins, registrar, who verified that Charlotte was in attendance as of 2019/09/01.”

Non-ITA Progress Case Note Format:
“YYYY/MM/DD
[Client Name] is currently enrolled in Non-ITA training in [Training]. He/she states that [Document Training Progress, Issues]. He/she reported that he/she [needs/does not need] additional assistance with current training. [If There Are Needs, Explain Here.] His/her instructor, [Name], reported that the client [Document Training Progress, Issues] and [is attending class regularly/has had attendance issues]. [If There Are Attendance Issues, Explain Here.]”

Example Non-ITA Progress Case Note:
“2019/07/04
Noah is currently enrolled in Non-ITA training for CNC Operator certification. He states that training is going well and he is learning new skills and techniques weekly. He reported that he does not need additional assistance with current training. His instructor, Mike, reported that the client does really well comprehending the material, uses his training in the shop setting, and is attending class regularly.”
Non-ITA Completion Case Note Format

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

Example Non-ITA Completion Case Note

“2019/07/04
Ava completed her Non-ITA training in CNC operation on 2019/06/30. She obtained a certification as a CNC Operator, as documented by the certificate placed in the file.”

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

Supportive Services for Training Enrollment Case Note Format:

“YYYY/MM/DD
[Client Name] was enrolled into Supportive Services on YYYY/MM/DD. He/she will need assistance with [books, attire, travel, etc.] in order to successfully complete training in [Training].”

Example Supportive Services for Training Enrollment Case Note:

“2019/11/23
Chelsea was enrolled into Supportive Services on 2019/11/23. She will need assistance with books and supplies in order to successfully complete training in Dental Assistant.”

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

“YYYY/MM/DD
[Client Name] is currently enrolled in [Training] training. He/she is required to purchase the following items for the training: [List Books, Attire, Shoes, Supplies]. He/she has purchased [List of Items Purchased]. The total cost of those items is $XXX.XX. He/she provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. He/she received a reimbursement check on YYYY/MM/DD.”
Example Supportive Services for Training Case Note (Format 1 — Books/Attire/Shoes/Supplies):

“2019/07/04
Heather is currently enrolled Electrical Technology training. She is required to purchase the following items for the training: volt meter and hand tools. She has purchased a volt meter and a set containing 50 hand tools and attachments. The total cost of those items is $625.00. She provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. She received a reimbursement check on 2019/07/04.”

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

“YYYY/MM/DD
[Client Name] is scheduled to begin training in [Training] on YYYY/MM/DD. He/she is required to receive a [Physical, Immunization, Medical Test, Background Check] prior to beginning training. The total cost is $XXX.XX. He/she provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. He/she received a reimbursement check on YYYY/MM/DD.”

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

“2019/07/04
Nicole is scheduled to begin training for a CDL on 2019/07/23. She is required to receive a DOT Physical prior to beginning training. The total cost is $100.00. She provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. She received a reimbursement check on 2019/07/04.”

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

“YYYY/MM/DD
[Client Name] is currently enrolled in [Training] training. He/she is traveling XX.X miles one way from his/her home at [Residence Address] to training at [Training Provider Address], as documented by directions computed online. A copy of these online directions has been placed in the file. He/she requested assistance with travel costs due to financial hardship. He/she will be traveling XXX.X miles per week for training. The current mileage reimbursement rate is $X.XX cents per mile. The total mileage cost per week for training is $XXX.XX. [If This Amount Exceeds Current Policy Limitations, Note This And State The Amount Requested.] The client’s attendance was verified by [Verifier’s Name] at [Training Provider]. The travel assistance has been approved and a copy of the approval has been placed in the file. He/she received a travel assistance check
Example Supportive Services for Training Case Note (Format 3 — Travel Assistance):

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

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

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

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

“2019/07/04
Rosalie is currently enrolled in Medical Billing and Coding training. She is traveling 34.5 miles one way from her home at 789 Second Street in Barbourville, KY to training at 1011 College Way in Pineville, KY, as documented by directions computed online. A copy of these online directions has been placed in the file. She requested assistance with travel costs due to financial hardship. She will be traveling 345 miles per week for training. The client’s attendance was verified by April with Medical Billing Professional
Training at 606.234.5678. The travel assistance has been approved and a copy of the approval has been placed in the file. She received a $50.00 gas card on 2019/07/04 for travel conducted during the week of 2019/06/24 – 2019/06/30.”

Supportive Services for Training Case Note Format 5 — Travel Assistance for Training Testing:
“YYYY/MM/DD
[Client Name] is currently enrolled in [Training] training. He/she is required to complete an exam on YYYY/MM/DD in order to receive his/her [Career License/Certification]. He/she is traveling XX.X miles one way from his/her home at [Residence Address] to the examination at [Examination Location], as documented by directions computed online. A copy of these online directions has been placed in the file. He/she requested assistance with travel and lodging costs due to financial hardship. The distance is XXX.XX miles round trip. The current mileage reimbursement rate is $X.XX cents per mile, making the total cost for one round trip $XXX.XX. The lodging cost was $XXX.XX for one night’s stay. The total reimbursement amount was $XXX.XX. He/she provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. He/she received a reimbursement check on YYYY/MM/DD.”

Example Supportive Services for Training Case Note (Format 5 — Travel Assistance for Training Testing):
“2019/07/04
Brandon is currently enrolled in Paramedic training. He is required to complete an exam on 2019/06/11 in order to receive his paramedic license. He is traveling 74.3 miles one way from his home at 234 Route 1 in Inez, KY to the examination at 567 Test Way in Ashland, KY, as documented by directions computed online. A copy of these online directions has been placed in the file. He requested assistance with travel and lodging costs due to financial hardship. The distance is 148.6 miles round trip. The current mileage reimbursement rate is $0.41 cents per mile, making the total cost for one round trip $60.93. The lodging cost was $122.90 for one night’s stay. The total reimbursement amount was $183.83. He provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. He received a reimbursement check on 2019/07/04.”

Supportive Services for Training Case Note Format 6 — Fees for Class:
“YYYY/MM/DD
[Client Name] is currently enrolled in [Training] training. He/she is required to pay a fee of $XXX.XX for his/her [Exam, Permit, License, Professional Organization Membership]. He/she provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a
Example Supportive Services for Training Case Note (Format 6 — Fees for Class):
“2019/07/04
Keith is currently enrolled in Surgical Technology training. He is required to pay a fee of $110.00 for his certification exam. He provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. He received a reimbursement check on 2019/07/04.”

Supportive Services Completion Case Note Format
“YYYY/MM/DD
[Client Name] has been completed from Supportive Services on YYYY/MM/DD. He/she has no current needs for additional Supportive Services related to [Training].”

Example Supportive Services Completion Case Note
“2019/07/04
Adele has been completed from Supportive Services on 2019/07/04. She has no current needs for additional Supportive Services related to her Classroom Training as a Medical Transcriptionist.”

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

Supportive Services for Employment Enrollment Case Note Format:
“YYYY/MM/DD
[Client Name] was enrolled into Supportive Services on YYYY/MM/DD. He/she will need assistance with [tools, uniforms, travel, etc.] in order to obtain employment as a [Position] at [Employer].”

Example Supportive Services for Employment Enrollment Case Note:
“2019/11/23
Luis was enrolled into Supportive Services on 2019/11/23. He will need assistance with uniforms in order to obtain employment as a Respiratory Technician at Community Hospital.”

Supportive Services for Employment Case Note Format 1 — Travel Assistance for Gas Cards:
“YYYY/MM/DD
[Client Name] attended a [Job Fair, Interview, Job Search] at [Location] on YYYY/MM/DD to attempt to secure employment. The distance is XX.X miles one way from his/her home at [Residence Address] to the location at [Address], as documented by directions computed online. A copy of these online directions has been placed in the file. He/she requested assistance with travel costs due to financial hardship. The client’s attendance was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. The travel assistance has been approved and a copy of the approval has been placed in the file. He/she received a $XX.XX gas card on YYYY/MM/DD.”

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

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

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

“YYYY/MM/DD
[Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is required to purchase [Attire, Shoes, Supplies] for employment that are not provided by the employer. He/she has purchased: [List of Items Purchased}. The total cost of those items is $XXX.XX. He/she provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. He/she received a reimbursement check on YYYY/MM/DD.”

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

“2019/07/04
James has secured employment as an Automotive Mechanic at Repair Body Shop on 2019/07/01. He is required to purchase an automotive hand tools set for employment that is not provided by the employer. He/she has purchased: a 210-piece automotive hand tools set. The total cost of those items is $299.00. He provided receipts and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. He received a reimbursement check on 2019/07/04.”
Supportive Services for Employment Case Note Format 3 — Legal/Medical Requirements:
“YYYY/MM/DD
[Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is required to receive a [Physical, Immunization, Medical Test, Background Check] prior to beginning employment. The total cost is $XXX.XX. He/she provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. The client received a reimbursement check on YYYY/MM/DD.”

Example Supportive Services for Employment Case Note (Format 3 — Legal/Medical Requirements):
“2019/07/04
Becky has secured employment as a CNA at Golden Nursing Home on 2019/07/14. She is required to receive a TB Skin Test prior to beginning employment. The total cost is $45.00. She provided a receipt and requested reimbursement for the costs. The reimbursement has been approved and a copy of the approval has been placed in the file. She received a reimbursement check on 2019/07/04.”

Supportive Services for Employment Case Note Format 4 — Relocation for Employment:
“YYYY/MM/DD
[Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is relocating to [City, State] for this employment position. The distance is XX.X miles one way from his/her home at [Residence Address] to the employer at [Employer Address], as documented by directions computed online. A copy of these online directions has been placed in the file. He/she requested assistance with relocation travel costs and meals due to financial hardship. According to current policy, a client may be assisted with one round-trip mileage reimbursement from his/her current residence address to the employer to move his/her belongings. The distance is XXX.XX miles round-trip. The current mileage reimbursement rate is $X.XX cents per mile. The total cost for one round-trip is $XXX.XX. The client will receive his/her first paycheck on YYYY/MM/DD. The total cost for meals for XX days at the current daily per diem rate of $XX.XX would be $XXX.XX. Together, the total assistance for travel and meals is $XXX.XX. The client’s employment was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. The travel and meal assistance has been approved and a copy of the approval has been placed in the file. He/she received a travel and meal assistance check on YYYY/MM/DD.”
Example Supportive Services for Employment Case Note (Format 4 — Relocation for Employment):

“2019/07/04
Austin has secured employment as a Production Worker at JKL Manufacturing on 2019/07/10. He is relocating to Dayton, OH for this employment position. The distance is 215.3 miles one way from his home at 11435 Hwy 15 Jackson, KY, to the employer at 678 Automotive Way, Dayton, OH, as documented by directions computed online. A copy of these online directions has been placed in the file. He requested assistance with relocation travel costs and meals due to financial hardship. According to current policy, a client may be assisted with one round-trip mileage reimbursement from his current residence address to the employer to move his belongings. The distance is 430.6 miles round-trip. The current mileage reimbursement rate is $0.41 cents per mile. The total cost for one round trip is $176.55. The client will receive his first paycheck on 2019/07/23. The total cost for meals for 14 days at the current daily per diem rate of $31.00 would be $434.00. Together, the total assistance for travel and meals is $610.55. The client’s employment was verified by Jeremy with JKL Manufacturing at 513.555.1212. The travel and meal assistance has been approved and a copy of the approval has been placed in the file. He received a travel and meal assistance check on 2019/07/04.”

Supportive Services Completion Case Note Format
“YYYY/MM/DD
[Client Name] has been completed from Supportive Services on YYYY/MM/DD. He/she has no current needs for additional Supportive Services related to [Employment].”

Example Supportive Services Completion Case Note
“2019/07/04
Rachel has been completed from Supportive Services on 2019/07/04. She has no current needs for additional Supportive Services related to Work Experience.”

15. Service Case Notes: Out-of-Area Job Search — Service case notes document the client’s enrollment in, progress during, and completion from a WIOA service. Formats and examples of these case notes for Out-of-Area Job Search appear below:

Out-of-Area Job Search Enrollment Case Note Format:
“YYYY/MM/DD
[Client Name] was enrolled into Out-of-Area Job Search on YYYY/MM/DD. He/she will be need assistance with [mileage, meals, lodging, etc.] in order to [job search, apply, interview, complete assessment, etc.] in an attempt to secure employment as a [Position] at [Employer].”
Example Out-of-Area Job Search Enrollment Case Note:

“2019/11/23
Miles was enrolled into Out-of-Area Job Search on 2019/11/23. He will be need assistance with mileage in order to interview in an attempt to secure employment as a Production Worker at Somerset Manufacturing Plant.”

Out-of-Area Job Search Assistance Case Note Format:

“YYYY/MM/DD
[Client Name] attended a [Assessment, Job Fair, Interview, Job Search, Employment Requirement] at [Location] on YYYY/MM/DD to attempt to secure employment. He/she is traveling XX.X miles one way from his/her home at [Residence Address] to [Location], as documented by directions computed online. A copy of these online directions has been placed in the file. He/she requested assistance with travel and lodging costs due to financial hardship. The distance is XXX.XX miles round-trip. The current mileage reimbursement rate is $X.XX cents per mile, making the total cost for one round-trip is $XXX.XX. The lodging cost was $XXX.XX for one night’s stay. The total reimbursement amount was $XXX.XX. He/she provided a receipt and requested reimbursement for the costs. The client’s attendance was verified by [Verifier’s Name] with [Verifier’s Employer] at {Verifier’s Contact Information}. The reimbursement has been approved and a copy of the approval has been placed in the file. He/she received a reimbursement check on YYYY/MM/DD.”

Example Out-of-Area Job Search Assistance Case Note:

“2019/07/04
Derek attended an Interview at City Medical Center on 2019/06/28 to attempt to secure employment. He is traveling 73.2 miles one way from his home at 50 Elm Street, Booneville, KY, to 1 Medical Center Drive, Nicholasville, KY, as documented by directions computed online. A copy of these online directions has been placed in the file. He requested assistance with travel and lodging costs due to financial hardship. The distance is 146.4 miles round-trip. The current mileage reimbursement rate is $0.41 cents per mile, making the total cost for one round-trip is $60.02. The lodging cost was $175.00 for one night’s stay. The total reimbursement amount was $235.02. He provided a receipt and requested reimbursement for the costs. The client’s attendance was verified by Charles with City Medical Center at 859.222.5555. The reimbursement has been approved and a copy of the approval has been placed in the file. He received a reimbursement check on 2019/07/04.”

Out-of-Area Job Search Completion Case Note Format

“YYYY/MM/DD
[Client Name] has been completed from Out-of-Area Job Search on YYYY/MM/DD. He/she has no current needs for additional Out-of-Area Job Search assistance due to obtaining employment.”

**Example Out-of-Area Job Search Completion Case Note**

“2019/07/04
Lisa has been completed from Out-of-Area Job Search on 2019/07/04. She has no current needs for additional Out-of-Area Job Search assistance due to obtaining employment.”

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

**Needs-Based Payment Enrollment Case Note Format:**

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

**Example Needs-Based Payment Enrollment Case Note:**

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

**Needs-Based Payments Case Note Format:**

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

Example Needs-Based Payments Case Note:
“2019/07/04
Rick is currently enrolled in Radiology training at Hazard Community and Technical College. He has exhausted his UI benefits and is not currently employed. The lack of income is providing a financial hardship and may place his continued attendance in the current training program at risk. His calculated monthly Needs-Based Payment is $1733.33. The client’s training attendance was verified by Walt with Hazard Community and Technical College at walt@ashlandctc.edu. The Needs-Based Payment for July 2019 has been approved and a copy of the approval has been placed in the file. He received the Needs-Based Payments check on 2019/07/04.”

Needs-Based Payment Completion Case Note Format
“YYYY/MM/DD
[Client Name] has been completed from Needs-Based Payments on YYYY/MM/DD. He/she has no current needs for Needs-Based Payments due to completing his/her training at [Training Institution].”

Example Needs-Based Payment Completion Case Note
“2019/07/04
Colleen has been completed from Needs-Based Payments on 2019/07/04. She has no current needs for Needs-Based Payments due to completing her training at Big Sandy Community and Technical College.”

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

Relocation Assistance Enrollment Case Note Format:
“YYYY/MM/DD
[Client Name] was enrolled into Relocation Assistance on YYYY/MM/DD. [Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is relocating to [City, State] for this employment position.”

Example Relocation Assistance Enrollment Case Note:
“2019/11/23
Sophia was enrolled into Relocation Assistance on 2019/11/23. She has secured employment as a Speech Pathologist at Child Therapy Services on
2019/11/28. She is relocating to Louisville, Kentucky for this employment position.”

Relocation Assistance Case Note Format:
“YYYY/MM/DD
[Client Name] has secured employment as a [Position] at [Employer] on YYYY/MM/DD. He/she is relocating to [City, State] for this employment position. He/she requested assistance with relocation costs due to financial hardship. The client’s employment was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. The Relocation Assistance has been approved and a copy of the approval has been placed in the file. He/she received a Relocation Assistance check on YYYY/MM/DD in the amount of $XXXXX.”

Example Relocation Assistance Case Note:
“2019/07/04
Susie has secured employment as a Store Manager at Good Foods Grocery Store on 2019/07/15. She is relocating to Bristol, VA, for this employment position. She requested assistance with relocation costs due to financial hardship. The client’s employment was verified by Jenny with Good Foods Grocery Store at 276.888.1707. The Relocation Assistance has been approved and a copy of the approval has been placed in the file. She received a Relocation Assistance check on 2019/07/04 in the amount of $3,000.”

Relocation Assistance Completion Case Note Format
“YYYY/MM/DD
[Client Name] has been completed from Relocation Assistance on YYYY/MM/DD. He/she has received a Relocation Assistance payment to assist with relocation expenses. [Client Name] [continues/does not continue] employment as a [Position] at [Employer]. [If the client does not continue employment, provide information why the employment was not continued and whether the client or employer chose to end the employment].”

Example Relocation Assistance Completion Case Note
“2019/07/04
Tanner has been completed from Relocation Assistance on 2019/07/04. He has received a Relocation Assistance payment to assist with relocation expenses. Tanner continues employment as a Conductor at Pennsylvania Railroad.”

18. Progress Case Notes – Progress case notes provide detailed continual reporting of the client’s progress, changing circumstances, and action steps planned or taken in response to this progress. These case notes justify WIOA program services and activities. Progress case notes should include reports of:
• Client’s grades.
• Successful completion of a class, program, curriculum, training, or GED.
• Changes in classes (dropped or added) or course of study.
• Changes in course of study and any consequences.
• Any difficulties the client is having and the actions recommended to assist the client.
• Results of any previously recommended actions.

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

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

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

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

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

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

**Completion to Employment Case Note Format 1**:

“YYYY/MM/DD
[Client Name] is employed with [Employer Name]. I contacted the Human Resource Department at [Phone Number] and spoke with [Name and Title], who verified that [Client Name] began employment on Year/Month/Day as a [Job Title/Position] under the supervision of [Supervisor’s Name]. He/She works [number] hours per week at $[wage] per hour. The [List] activity was added in EKOS.”
Example Completion to Employment Case Note (Format 1):

“2019/07/04
Jane is employed with Acme Wholesale. I contacted the Human Resource Department at 606-555-1234 and spoke with John Jones, Personnel Director, who verified that Jane began employment on 2019/07/02 as an order fulfillment clerk under the supervision of Wanda Wilson. She works 38 hours per week at $15.75 per hour. The Obtained Employment activity was added in EKOS.”

Completion to Employment Case Note Format 2:

“YYYY/MM/DD
[Client Name] gained employment as a [Job Title] with [Employer] at [Street Address] in [City] on YYYY/MM/DD. His/her employment was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. The [List] activity was added in EKOS.”

Example Completion to Employment Case Note (Format 2):

“2019/07/04
Rodney gained employment as a Diesel Mechanic with Ace Mechanic Shop at 314 Hwy 23 in Louisa, KY. His employment was verified by Mark with Ace Mechanic Shop at 606.223.9876. The Obtained Employment activity was added in EKOS.”

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

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

Follow-up Case Note Format:

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

Example Follow-up Case Note:

“2019/07/04
Eastern Kentucky Concentrated Employment Program, Inc.  
Adult, Dislocated Worker, and Out-of-School Youth Program Policies  
Revised 07/2017

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

22. Follow-up Case Notes: Out-of-School Youth — Follow-up case notes are required for Out-of-School Youth clients who have been enrolled into follow-up after having been completed from all services and soft exited. The initial follow-up case note documents the client’s enrollment into follow-up. Later follow-up case notes document contact between the Career Advisor and client and any services that are provided during the year of follow-up.

Career Advisors are required to contact a client who is in follow-up at least monthly for 12 months from the date the client is enrolled into follow-up. In accordance with federal regulations 664.420 and 664.440, follow-up services may include:

- Leadership development.
- Supportive services.
- Assistance in addressing work-related problems.
- Assistance in securing better paying jobs, career development and further education.
- Work-related peer support groups (e.g., job club).

A follow up case note should include:

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

Follow-up Enrollment Case Note Format:

“YYYY/MM/DD  
[Client Name] has soft-exited from all WIOA services on YYYY/MM/DD. He/she was enrolled into Follow-Up on YYYY/MM/DD. He/she continues [education or employment] at [Education/Employment Provider].”

Example Follow-up Enrollment Case Note:

“2019/07/01  
Dorothy has soft-exited from all WIOA services on 2019/06/30. She was enrolled into Follow-Up on 2019/07/01. She continues to retain employment as a CNA at Cedar Hills Assisted Living Facility.”

Follow-up Case Note Format:

“YYYY/MM/DD  

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

Example Follow-up Case Notes:
“2019/07/04
I contacted Joan by email at hername@email.net. She is still employed at Acme Products and said she doesn’t need additional assistance at this time.”

“2019/09/22
I contacted Henry by telephone at 606-555-9876. He is working at Acme Products and said he is having trouble getting along with two of his co-workers. We made an appointment for him to come to the office on 2019/09/26 to discuss things he might try to improve his workplace relationships.”

Follow-up Completion Case Note Format
“YYYY/MM/DD
[Client Name] has been completed from Follow-up on YYYY/MM/DD. He/she [current educational or employment situation details].”

Example Follow-up Completion Case Note
“2019/06/30
Caleb has been completed from Follow-up on 2019/06/30. He continues to be employed as a General Laborer with Collins HVAC.”

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

Performance Quarters After Exit Case Note Format:
“YYYY/MM/DD
[Client Name] [continues/does not continue] employment as [List Position] with [Employer Name]. His/her employment was verified by [Verifier’s Name] with [Verifier’s Employer] at [Verifier’s Contact Information]. This is his/her [First/Second/Third/Fourth] post quarter following exit from WIOA services.”

Example Performance Quarters After Exit Case Note:
“2019/07/04
Maggie continues employment as a Clinical Medical Assistant with Dr. Baker’s Medical Practice. Her employment was verified by Deanna with Dr. Baker’s Medical Practice at 606.859.1234. This is her fourth post quarter following exit from WIOA services.”
Section Five: Information Management

A. Data Entry into EKOS

Data entered into EKOS provides multiple advantages to clients. The data provides:

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

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

Career Advisors should enter data into EKOS when:

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

Data entered into EKOS should be:

- Entered in a timely manner, but not more than 10 business days following an event or contact.
- Grammatically correct and accurate because large portions of EKOS data will also appear on the client’s resume.
- Kept up to date in order to keep the client’s information current for potential employers. This especially applies to contact information.
- A running account of the client’s career plans, goals and progress.
- Used to produce a resume that could immediately get the attention of a potential employer and get the client a job.
Data entered into EKOS should **never** include:

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

**B. Client File Requirements**

Contractors are responsible for maintaining all client records. Contractors must maintain a separate folder for each client receiving Individualized and Training Services. Each client’s folder must contain documentation that supports the determination that the client was eligible for WIOA, as well as supporting documentation for any other WIOA services in which the client is enrolled.

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

In the event that a client file cannot be located, justification must be provided as to why the file cannot be located. If the file cannot be located, the contractor must submit a corrective action plan to be implemented. Additionally, any expenditure associated with the client whose file was misplaced or cannot be located will be considered questionable costs. If the file cannot be located for monitoring or data validation purposes, it will be marked “Unable to Locate” and will fail all monitoring and data validation measures.
Attachment One: Follow Up Determination Flow Chart

**Basic Services**
- DOB / Vet Tab in EKOS
- No Follow-Up

**Individualized Services**

**Activities**
- Full Paperwork
- Client remains active
- Confirmation of Employment
- Enter Obtained Employment activity
- No Follow-Up
  - Can enter Obtained Employment activity if confirmation of employment is determined at later date

**Paid Services**
- Full Paperwork
- Client become inactive prior to completion of paid service
- Attempt contact for 90 days (monthly case notes)
- No Follow-Up
- Exited
- No Follow-Up (no follow-up required due to employment not confirmed in 90 days)
  - NO Performance Quarterly
- Full Paperwork
- Successfully complete paid service
- After completion, client become inactive
- Attempt contact for 90 days (monthly case notes)
- Exited
- No Follow-Up
  - Performance Quarterly
- Full Paperwork
- Complete Successfully
- Confirmation of Employment within 90 days
- Enter Obtained Employment activity
- 12 Months of Follow-Up
  - Performance Quarterly

**All Youth require 12 months of Follow-Up Services**