



Participant Policies for In-School Youth

Foreword

A. – The Local Workforce Vision

Stated in the simplest terms, the Eastern Kentucky Concentrated Employment Program, Inc., (EKCEP) sees its mission to prepare, advance, and expand 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 the Workforce Innovation and Opportunity Act (WIOA) to develop and customize services to best meet the specific and unique needs of eastern Kentucky's workers and businesses.

EKCEP also sees itself as a broker that provides access to other workforce, training, and supportive services, and as a catalyst for partnerships within the workforce development system and between workforce development and private industry. EKCEP's JobSight network of one-stop workforce centers and affiliated sites serve as the hub for many of these brokering and partnership activities throughout the EKCEP region.

B. – Overarching Local Strategies

The overarching strategies that EKCEP has adopted to help fully realize its vision include:

- To be a solutions-based organization that responds to workforce needs as they arise by adapting, brokering services, leveraging resources and providing creative responses to the specific and unique needs of eastern Kentucky job seekers and employers as they are identified.

- To use the full flexibility provided by the legislation to adapt EKCEP services, programs, and partnerships to best meet the specific and unique needs of eastern Kentucky job seekers and employers.
- To be the single point of contact for eastern Kentucky employers seeking workforce-related services anywhere in the region.
- To communicate a clear and focused explanation of the workforce system to the public.
- To increase the “workforce intelligence” of employers, job seekers, and workforce staff.
- To administer the JobSight network of workforce centers in a way that will “strengthen our communities by providing workforce-relevant services for businesses and workers by creating partnerships that ultimately contribute to regional education, and a better quality of life for the citizens of eastern Kentucky.”

C. – Strategy for In-School Youth Services

EKCEP’s Contractors are not required to administer an In-School youth program. Contractors can choose to opt out of the In-School Youth program, choosing instead to focus all their Youth efforts on serving the Out-of-School Youth population. However, if a Contractor does decide to administer an In-School Youth program, EKCEP policies and procedures must be followed. Contractors administering In-School Youth programs must work with existing community and school partners to ensure that the services that are being provided are comprehensive and collaborative efforts to serve the at-risk In-School Youth population of the service area, and not duplicative in nature.

Although the young people served by EKCEP’s WIOA In-School Youth Program may be struggling to complete high school and decide what comes after graduation, they are still engaged with the educational system and therefore are able to make use of its many resources and the guidance and assistance of teachers and administrators. Because these education professionals are already engaged with EKCEP’s young clients, it makes sense for the WIOA In-School Youth program to focus its limited resources on providing these clients with the kind of specialized workforce services and career guidance that the workforce system is uniquely qualified to provide — services the schools are less equipped to deliver.

EKCEP's new design for In-School Youth services deals less with general educational advancement and more intensely with helping its young clients understand the working world, evaluate career alternatives, and develop a path that will lead to a successful career.

D. – 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 (EKWIB) and the local elected officials of the EKCEP service area, as represented by the EKCEP Board of Directors.

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

While Contractors have agreed to abide by the policies contained in this handbook, this handbook is not intended to cover the full breadth of rules and requirements contained in the Workforce Innovation and Opportunity Act (WIOA) and applicable federal regulations, with which Contractors are equally responsible to comply.

This handbook contains six sections:

- Section One explains performance goals.
- Section Two explains eligibility and registration requirements.
- Section Three describes program design elements and services.
- Section Four provides information related to contractors' client record-keeping.
- Section Five describes contractors' required information management.
- Section Six describes community partnerships for In-School Youth.

Section One: Performance Goals

A. Placements

Goal: Every young person enrolled as a client in the In-School Youth Program must be placed into one of the following by the end of their enrollment:

- Unsubsidized employment. (This applies only to youth who were not employed as of the date they were enrolled.)
- Postsecondary education. (This applies only to youth who were not in postsecondary education as of the date they were enrolled.)
- Military service.

Every In-School Youth Program client who is not placed in employment, postsecondary education, or military service counts as a negative outcome.

B. Credentials

Goal: Every young person who was enrolled in or attending school or training at any time during their WIA In-School Youth Program enrollment must earn the degree, diploma, or certificate that indicates that the training or course of study was successfully completed.

Every In-School Youth Program client who was enrolled in or attending school or training during their WIA enrollment and does not earn a degree, diploma, or certificate counts as a negative outcome.

C. Additional Goals

Additional goals for WIA In-School Youth Program clients may be included in contract language by EKCEP.

Section Two: Eligibility and Registration Requirements

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

- Be 16 to 21 years of age.

NOTE: In-School Youth ages 14 or 15 may be served only with a written waiver from EKCEP. Career Advisors or contractors must apply for a separate waiver for each 14 or 15 year old client they wish to serve, including details about the circumstances that make that client appropriate for the waiver.

- Be attending secondary school as a senior or be between their junior and senior school terms and intending to return.
- Be enrolled in or attending post-secondary education.
- Must provide and document the information proving eligibility as an In-School Youth as shown within the WIOA-1 form.
- Must have an identified barrier to employment or education.

Any male client who turns 18 while enrolled as a WIOA In-School Youth must be registered with Selective Service, if required. No other WIOA services can be provided until the client has completed the Selective Service registration. Once the registration has been completed, the WIOA-1 and EKOS must be updated.

Contractors administering an In-School youth program are strongly encouraged to choose one of the following and focus on that specific target population to serve:

- Pregnant and/or Parenting Youth
- Dropouts
- Homeless
- Offenders
- Foster Children

Section Three: Program Design and Service Elements

A. Case Management

Case Management is an individualized service that indicates an In-School Youth client is interacting with and receiving the assistance and guidance of a WIOA Career Advisor. A client should remain in Case Management as long as he/she is receiving any WIOA services or assistance.

One of the main purposes of the Case Management service is to develop a partnership with the young client based on trust, mutual respect, and information gleaned from a variety of activities that ultimately results in an Individual Employment Plan (IEP). The Individual Employment Plan has a single purpose: to help prepare the client for employment that leads to self-sufficiency. The Individual Employment Plan may involve many steps and address a variety of issues over a substantial period of time.

The Case Management service includes assessments, both formal and informal. In order to advise and guide young clients toward effective career decisions, the career advisor must understand each client's:

- Basic skills.
- Occupational skills.
- Prior work experience.
- Employability.
- Interests, aptitudes.
- Supportive services needs.
- Developmental needs.

Assessments must also consider a client's strengths, rather than just focusing on areas that need improvement.

The Case Management service also includes the development of an Individual Employment Plan (IEP). Career advisors will work with each client to develop an Individual Employment Plan that includes:

- The client's career interests and goals, based in part upon assessment results.
- Activities that will help the client explore those careers, including job shadowing and Work Experience.

- Academic and training requirements for those careers, including steps that the client must take to get the required academic degrees or training.
- Plans to overcome any barriers faced by the client.
- A timeline showing the sequence and duration of the identified activities, education, training, and barrier alleviation.

NOTE: The timeline of client's Individual Employment Plan may extend beyond his/her involvement in WIOA, especially if the career path involves postsecondary education. A well-designed Individual Employment Plan should give the client direction and steps to follow after he/she has been completed from WIOA into postsecondary education and even after the end of the WIOA Follow-Up period.

An Individual Employment Plan may be updated several times between enrollment and termination as the client's understanding of specific career and educational opportunities grows, leading to changes or refinements in objectives and the steps that the client will take to achieve them.

Career Advisor Responsibilities — When a Career Advisor enrolls a client into a 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.
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 as an In-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.)

B. In-School Youth Program Elements

In-School Youth Programs must be designed and coordinated with other community youth services in such a way that they 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 ISY 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. The 14 Youth Elements are:

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.
 11. Financial literacy education.
 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.

WIOA In-School Youth funds are not required to be used to provide each of the 14 program elements. Career Advisors may leverage partner resources to provide some of the readily available program elements. However, Career Advisors must ensure that all program elements are offered through partner resources or WIOA.

It is important that the Career Advisor documents the offering of the 14 Youth Elements on the Minimum Orientation Checklist or in case notes.

C. 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.

Work Experience may be used to help young clients develop career goals, understand the working world, and acquire basic workplace skills that will make them more attractive to employers.

Career advisors must ensure that Work Experience placements during the school year do not hinder any client's academic performance.

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

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

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

Limits — 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.

Work Experience during the school year may not exceed 10 hours per week and may not exceed a total of 180 hours per school year.

Qualifying Prerequisites – To be eligible for Work Experience, an In-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.
- Have completed a resume tailored to the job.
- Have completed an application for the position.
- Have completed an interview with the employer.
- Have completed 8 hours of job shadowing at the prospective work site.

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. Occupational Skills Training

Occupational Skills Training is a payment agreement established on behalf of a client or group of clients with a training provider.

Occupational Skills Training is provided by a training provider under a contract with EKCEP or a Contractor. EKCEP develops the Occupational Skills Training contract with the training provider in coordination with Contractor's staff. The contract establishes the curriculum for the Occupational Skills Training and must address the minimum level of Work S.E.N.S.E. training that will be required by the contract.

Occupational Skills Training may be appropriate for In-School Youth clients who do not intend to pursue postsecondary education.

To be supported by WIOA funds, an Occupational Skills Training must produce a state-recognized or industry-recognized occupational certification or credential that will enhance the client's employability. WIOA will not pay for any Occupational Skills Training that is redundant with training provided by locally accessible public vocational or technical schools.

The limit for maximum financial assistance for Occupational Skills Training for an individual In-School Youth client is \$750. Opportunities for Contractors to provide Occupational Skills Training may be very limited, depending upon funding.

Occupational Skills Training may be provided either:

- *During a Client's Senior Year of High School* — The objective of this approach is for the client to complete the Occupational Skills Training and high school at the same time, making him/her ready to enter a job immediately upon graduation. Contractors should establish criteria for selecting clients for this kind of training that are more stringent than simple eligibility and program participation.

Career advisors must closely monitor these clients to ensure that the Occupational Skills Training is not hurting their academic performance in school. To continue in Occupational Skills Training provided by WIOA, clients must maintain:

- A 2.0 GPA in their high school classes.

- A 2.0 GPA (or the equivalent minimum acceptable performance standard) in their Occupational Skills Training.

OR

- *Immediately After Graduation* — The objective of this approach is to allow clients who are inappropriate for Occupational Skills Training during high school to transition directly from high school into short-term occupational training—and then from occupational training into a job. This approach is also appropriate for clients who dropped out of high school after WIOA enrollment but have since earned a GED. Career advisors should work carefully with the selected clients to establish their career and training interests before graduation (or during GED preparation), to ensure that the transition is as quick and fluid as possible.

Client Eligibility for Occupational Skills Training — In order to be eligible for an Occupational Skills Training, 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 questions that establish the Need to Train:

- Is suitable employment available?

- Will client benefit from appropriate training?
 - Is there a reasonable expectation for employment following training?
 - Is training reasonably available?
 - Is the client is qualified to undertake and complete the training?
 - Is training is 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.
 - The client must have completed 8 hours of job shadowing related to the career for which they will be training.
 - The client must have a letter from a teacher or guidance counselor recommending the client for the training. (This requirement is waived for GED clients.)

Enrollment Procedure — When enrolling a client into Occupational Skills 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. 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 Occupational Skills 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 Occupational Skills Training, 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 Occupational Skills 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.
6. Begin facilitating job placement activities for the client.

3. Supportive Services

Supportive Services are limited to those clients who are participating in WIOA In-School Youth services. Supportive Services expenditures are limited to \$250 for any individual client. These services may include, but not limited to:

- Tools
- Boots
- Books and other related school supplies
- Permit and/or license fees
- Uniforms/work clothing
- 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 assess the clients Supportive Service needs and provide documentation of the needs before providing any Supportive Service. Case notes must also document successful referrals to other community service providers or the inability to meet the need without WIOA assistance.

Each payment for items must be approved by the appropriate EKCEP Workforce Coordinator.

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. Workforce Coordinator approval must be obtained prior to payment of the Supportive Service.
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.)

D. 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.

E. Follow-Up

Follow-Up services are critical services provided following a client's exit from the program to help ensure the client is successful in employment and/or post-secondary education and training. Follow-Up services must be provided to all In-School Youth. Follow-Up services must be provided for 12 months following soft exit and clients will be required to be entered into a Follow-Up service in EKOS. In-School Youth will require a monthly follow-up contact and case note.

The only two exemptions to Follow-Up services are if the client declines to receive Follow-Up services or the client cannot be located or contacted. In order to determine that a Career Advisor has been unable to locate or contact a client, attempts must be made during a 90-calendar-day period following soft exit using at least three different communication methods.

Follow-Up services may include regular contact with a client's employer, including assistance in addressing work-related problems that arise.

One or more of the services listed below must be provided to each client during his/her follow-up period. Follow-Up services provided to each client should be based on that client's needs and may include the following Program Elements:

- Supportive services.
- Adult mentoring.
- Financial literacy education.

- Labor market information.
- Activities that help the client transition to post-secondary education and training.

If client requires Supportive Services while in Follow-Up, approval must be provided by a Workforce Coordinator. Supportive Services are limited to \$250 per client and may include:

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

If Supportive Services are provided during Follow-Up, the Program Service Type in EKOS must be Follow-Up Services to prevent another WIOA enrollment.

Follow-Up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. Career Advisors must engage with the clients on a monthly basis for Follow-Up services.

Section Four: Record Keeping

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:

a. 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.”

b. Certification Case Note – The certification case note records the verification of eligibility, items for data validation, and enrollment 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.

- Single parent.
 - In-School Youth.
 - 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.
 - Occupational Skills 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) [In-School Youth, 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.

[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.”

- c. 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.

- d. 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 SENSE 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 SENSE 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 SENSE Training Case Note Format:

“YYYY/MM/DD

[Client Name] attended Ethics SENSE Training at [Location]. The client’s training attendance was verified by [Verifier’s Name] with [Training Provider] at [Verifier’s Contact Information]. The Workshop Attendance Activity was added in EKOS.”

Example Ethics SENSE Training Case Note:

“2019/07/04

Mark attended Ethics SENSE Training at Bell-Whitley CAA. The client’s training attendance was verified by Bonnie with EKCEP at 606.436.5751. The 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.”

- e. 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 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 costs associated, 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

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

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

[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.”

- f. 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.”

- g. Service Case Notes: Occupational Skills 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 Occupational Skills Training appear below:

Occupational Skills Training Enrollment Case Note Format:

“YYYY/MM/DD

[Client Name] was enrolled into Occupational Skills 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 Occupational Skills Training Enrollment Case Note:

“2019/09/01

Charlotte was enrolled into Occupational Skills 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.”

Occupational Skills Training Progress Case Note Format:

“YYYY/MM/DD

[Client Name] is currently enrolled in Occupational Skills 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 Occupational Skills Training Progress Case Note:

“2019/07/04

Noah is currently enrolled in Occupational Skills 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.

Occupational Skills Training Completion Case Note Format

“YYYY/MM/DD

[Client Name] completed his/her Occupational Skills 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 Occupational Skills Training Completion Case Note

“2019/07/04

Ava completed her Occupational Skills 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.”

- h. 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 be need assistance with [books, attire, 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 be 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 — Fees for Class:

“YYYY/MM/DD

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

Example Supportive Services for Training Case Note (Format 3 — 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.”

- i. 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 be need assistance with [tools, uniforms, 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 be need assistance with uniforms in order to obtain employment as a Respiratory Technician at Community Hospital.”

Supportive Services for Employment Case Note Format 1 —

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 1 — 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: 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 2 — 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 2 — 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 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.”

- j. 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.

- k. 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.

I. 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.”

m. Completion to Post-Secondary Education Case Notes — A completion to post-secondary education case note documents the client’s completion from WIOA services to post-secondary education. Completion to post-secondary education case notes will include:

- A statement that the client was completed from WIOA services to post-secondary education.
- The source of confirmation that the client is attending post-secondary education.
- The starting date for the client’s post-secondary education.
- The client’s course of study and training provider.

Completion to Post-Secondary Education Case Note Format:

“YYYY/MM/DD

[Client Name] is currently 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 Completion to Post-Secondary Education Case Note:

“2019/09/30

Chelsea is currently pursuing a certification in Dental Hygiene at Big Sandy Community and Technical College. I contacted Big Sandy Community and Technical College and spoke with Jane Dotson, Instructor, who verified that Chelsea began attending training on 2019/08/28.”

n. Follow-Up Case Notes — Follow-Up case notes are required for In-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.

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 C.N.A. at Cedar Hills Assisted Living Facility.”

Follow-Up Case Note Format:

“YYYY/MM/DD

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.”

“2019/03/27

Gracie came by the office today for an appointment to see how she is adjusting to post-secondary education. She is struggling in her college math class and wanted to know how she could get some help. I connected her with

Jamie in Adult Education to help her work on improving her math skills. She's going to start working with Jamie twice a week. We are going to have a follow-up appointment after her next math test to see how she's progressing in her math class."

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."

- o. 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 Career Advisor only assumes or observes without direct confirmation from the client.
- Opinions or judgments by the Career Advisor.
- 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.

Section Six: Community Partnerships

A. Importance of Community Partnerships

In addition to providing their own services, WIOA In-School Youth programs provide access to workforce, training, and supportive services that are funded and delivered by other agencies — including the required 14 elements (see Section X). Because the blending of these services is an integral part of the effort that WIOA In-School Youth programs seek to lead, community partnerships are crucial to the success of any local In-School Youth program.

In addition to participating in the partnerships established by EKCEP, Contractors are encouraged to seek out local community partners and form collaborative relationships that benefit their mutual clients.

B. Promise Zone Partnerships

Seven counties within the EKCEP local workforce area (and part of one county outside of EKCEP's service area) were designated as a Promise Zone on January 7, 2014, by President Barack Obama. (The EKCEP counties are Bell, Clay, Harlan, Knox, Leslie, Letcher, and Perry. The non-EKCEP area included is a portion of Whitley County.) Designation as a rural Promise Zone gives this region preference in obtaining grant funds under several federal departments, and helps the communities involved engage in a collaborative and comprehensive effort to improve the overall quality of life in the region.

Contractors delivering In-School Youth programs in EKCEP's Promise Zone counties are expected to participate in the community partnerships that the Promise Zone designation makes possible. At the time these policies were published, those partnerships include:

- *Promise Zone Performance Partnership Pilot (PZP3)* — This is a pilot grant that funds planning and interaction between WIOA Youth workforce programs and several educational initiatives to increase their collaboration, communication, and collective impact on youth ages 14-24 in the Promise Zone counties. Under this grant, WIOA services will work closely with and, in some cases may even combine with, educational programs that serve the same at-risk youth population. EKCEP is the grant recipient for this program, and is working closely with Berea College's Partners for Education (PFE) nonprofit, which currently oversees the educational programs. For the duration of the PZP3 grant, Contractors who provide WIOA In-School Youth

services in the Promise Zone counties funded by EKCEP must also agree to collaborate with and even take direction and supervision from PFE, which will fill the role of administrator and program coordinator for PZP3. Giving PFE a role in directing the ways in which youth workforce services are provided and coordinated with youth educational services gives the region an opportunity to improve outcomes for disconnected young people by increasing efficiency and impact.

- *“Paths 2 Promise”* — This grant is a pilot project of the Employment & Training section of the Supplemental Nutritional Assistance Program (SNAP). The grant’s purpose is to reduce dependency on SNAP benefits and increase the work requirements and work effort required for able-bodied SNAP recipients. The grant recipient is the Commonwealth of Kentucky’s Cabinet for Health and Family Services (CHFS), Department for Community-Based Services (DCBS), but EKCEP is the “backbone agency” in the Promise Zone counties. This ambitious pilot program aims to study outcomes for 2,000 SNAP recipients who receive some additional services (including a collaborative effort toward collective-impact among WIOA, DCBS, community colleges, and others) and compare their outcomes to the results for 2,000 SNAP recipients who received less focused services — or no services at all. While it is not directly targeted at In-School Youth, this grant could affect some members of the youth population.

C. Other Partnerships

If and when other grants and partnerships are acquired by EKCEP that can benefit In-School Youth — whether inside or outside of the Promise Zone — the Contractors that deliver EKCEP’s WIOA In-School Youth programs are expected to embrace those opportunities and participate in those programs.

When new grants are acquired, EKCEP will issue supplementary policies to provide guidance lacking in this manual. Whenever possible, EKCEP will try to align the policies and procedures that govern any new programs as closely as possible to the existing policies in this manual.